



U.S. Securities and Exchange Commission
**Office of Equal Employment
Opportunity**

ANNUAL EEO PROGRAM STATUS REPORT

FISCAL YEAR 2021

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

Part A: Department or Agency Identifying Information

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

Part B: Total Employment

Total Employment	Permanent Workforce	Temporary Workforce	Total Workforce
Number of Employees	4,423	113	4,536

Part C: Agency Leadership

Section I: Head of Agency and Head of Agency Designee

Agency Leadership	Name	Title
Head of Agency	Gary Gensler	Chair
Agency Head Designee	Rita M. Sampson	Director, Office of Equal Employment Opportunity

Section II: Agency Official(s) Responsible for Oversight of EEO Program(s)

EEO Program Staff	Name	Title	Occupational Series (xxxx)	Pay Plan and Grade (xx-xx)	Phone Number (xxx-xxx-xxxx)	Email Address
Principal EEO Director/Official	Rita M. Sampson	Director, Office of Equal Employment Opportunity	0905	SO	(202) 551-8742	sampsonr@sec.gov
Affirmative Employment Program Manager	M. Stacey Bach	Deputy Director, Office of Equal Employment Opportunity	0905	SK-17	(202) 551-8599	bachm@sec.gov
Complaint Processing Program/ Compliance Manager ¹	Ralph Suris	Acting Compliance and Resolutions Manager, Office of Equal Employment Opportunity	0340	SK-14	(202) 551-6396	surisr@sec.gov

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¹ In 2021, three staff members in the Office of Equal Employment Opportunity were temporarily promoted on a rotational basis as the Compliance and Resolutions Manager.

EEO Program Staff	Name	Title	Occupational Series (xxxx)	Pay Plan and Grade (xx-xx)	Phone Number (xxx-xxx-xxxx)	Email Address
Complaint Processing Program/ Compliance Manager	Rachel Anglade	Acting Compliance and Resolutions Manager, Office of Equal Employment Opportunity	0905	SK-14	(202) 551-2190	anglader@sec.gov
Complaint Processing Program/ Compliance Manager	Richard Dominguez	Acting Compliance and Resolutions Manager, Office of Equal Employment Opportunity	0905	SK-14	(202) 551-4553	dominguezr@sec.gov
Hispanic Program Manager (SEPM)	Pamela Gibbs	Director, Office of Minority and Women Inclusion	0340	SO	(202) 551-6503	gibbsp@sec.gov
Women's Program Manager (SEPM)	Pamela Gibbs	Director, Office of Minority and Women Inclusion	0340	SO	(202) 551-6503	gibbsp@sec.gov
Disability Program Manager	Dia Gonsalves	Branch Chief, Office of Human Resources	0343	SK-15	(202) 551-3166	gonsalvesd@sec.gov
Special Placement Program Coordinator (Individuals with Disabilities)	Takeya Bland	Human Resources Specialist, Office of Human Resources	0201	SK-13	(202) 551-8284	blandt@sec.gov
Reasonable Accommodation Program Manager	Dia Gonsalves	Branch Chief, Office of Human Resources	0343	SK-15	(202) 551-3166	gonsalvesd@sec.gov
Anti-Harassment Program Manager ²	Dwayne Boyd	Attorney, Office of Equal Employment Opportunity	0905	SK-14	(202) 551-6017	boydd@sec.gov
Anti-Harassment Program Manager	Charlene Proctor	Senior Counsel, Office of Equal Employment Opportunity	0905	SK-16	(202) 551-6059	proctorc@sec.gov
ADR Program Manager	Nseabasi Essien	EEO Specialist, Office of Equal Employment Opportunity	0260	SK-13	(202) 551-6004	essienn@sec.gov
Principal MD-715 Preparer	Alta G. Rodriguez	Senior Counsel, Office of Equal Employment Opportunity	0905	SK-16	(202) 551-6002	rodriguezag@sec.gov
Principal MD-715 Preparer	Maurice Champagne	Management Program Analyst, Office of Equal Employment Opportunity	0340	SK-14	(202) 551-2997	champagnem@sec.gov

² The harassment prevention program is a management responsibility, and many SEC offices coordinate responsibilities. The Office of Equal Employment Opportunity is the subject matter expert, and Dwayne Boyd and Charlene Proctor are identified here due to their leadership with the SEC's proactive harassment prevention dialogues and for providing educational awareness to managers and employees on preventing harassment in the workplace.

Part D: Subordinate Components and Documents

Section I: List of Subordinate Components Covered in this Report

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

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

Section II: Mandatory and Optional Documents for this Report

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

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

In the table below, the Agency may decide whether to submit these documents with its MD-715 report.

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

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EXECUTIVE SUMMARY (PART E)

EEOC FORM 715-01 PART E	<i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT
U.S. Securities and Exchange Commission	For period covering October 1, 2020 to September 30, 2021

This Equal Employment Opportunity (EEO) Program Status Report for Fiscal Year (FY) 2021 is prepared and submitted under the Equal Employment Opportunity Commission’s (EEOC) Management Directive 715 (MD-715) and accompanying instructions and guidance. According to the EEOC, “[t]he overriding objective of [MD-715] is to ensure that all employees and applicants for employment enjoy equality of opportunity in the federal workplace regardless of race, sex, national origin, color, religion, disability or reprisal for engaging in prior protected activity.” Consistent with this objective, MD-715 requires federal agencies to conduct a self-assessment on at least an annual basis to evaluate the effectiveness of their overall Equal Employment Opportunity (EEO) program, using EEOC-prescribed compliance indicators and measures. MD-715 also requires agencies to identify any institutional, structural, attitudinal, and/or physical barriers that may operate to exclude certain groups, and to develop strategic plans to eliminate identified barriers.

This report highlights accomplishments by the U.S. Securities and Exchange Commission (SEC, Commission, or Agency) in advancing EEO. This report also identifies additional actions the SEC began in FY 2021 and will continue to take in FY 2022 to enhance its overall EEO Program.

MISSION OF THE U.S. SECURITIES AND EXCHANGE COMMISSION

The SEC is an independent federal agency established pursuant to the Securities Exchange Act of 1934. The SEC’s mission is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation.

The SEC oversees \$110 trillion in securities trading annually on U.S. equity markets. Those markets touch many Americans’ lives, whether they are investing for their future, borrowing for a mortgage, taking out an auto loan, or taking a job with a company that is tapping our nation’s capital markets. The SEC engages with companies raising money and with the key parties that sit in between companies and investors, including accountants, auditors, and investment managers. SEC employees oversee the activities of over 28,000 registered market participants, including investment advisers, mutual funds, exchange traded funds, broker-dealers, municipal advisors, and transfer agents. The Agency also oversees more than 7,400 reporting companies, 24 national securities exchanges, nine credit rating agencies, seven active registered clearing agencies, as well as the Public

Company Accounting Oversight Board (PCAOB), the Financial Industry Regulatory Authority (FINRA), the Municipal Securities Rulemaking Board (MSRB), the Securities Investor Protection Corporation (SIPC), and the Financial Accounting Standards Board (FASB).

The SEC's core values are integrity, excellence, accountability, teamwork, fairness, and effectiveness. 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 17, 2021, Chair Gary Gensler was sworn in as the 33rd Chair of the SEC.

In FY 2021, the SEC's six divisions (Corporation Finance, Enforcement, Examinations, Economic and Risk Analysis, Investment Management, and Trading and Markets) and 25 offices worked collectively to advance the SEC's mission of protecting investors, facilitating capital formation, and maintaining fair and orderly securities markets. The SEC's Headquarters is located in Washington, DC (Headquarters or Home Office). The Agency also has 11 Regional Offices located throughout the country. As of September 30, 2021, the SEC had a total workforce of 4,536 employees, including 4,423 permanent employees and 113 temporary employees. *See Table A1.*

SEC's EEO Program

The accomplishments and developments highlighted in this report stem from collaboration among various offices responsible for aspects of the Agency's EEO Program, namely three SEC Offices—the Office of Equal Employment Opportunity (OEEO), the Office of Minority and Women Inclusion (OMWI), and the Office of Human Resources (OHR). These offices have specific and interrelated responsibilities to foster equal employment opportunity and to focus on diversity, equity, inclusion, and accessibility (DEIA) efforts in the Agency's workforce. Notably, in FY 2021, OEEO finalized its first office-level strategic plan to define its work and align it with overall Commission, diversity, and operations goals. This new foundation in OEEO will further support the collective work of a number of key offices and personnel across the Commission at the leadership and staff levels and provide a strategic framework for driving OEEO's approach.

OEEO safeguards employment-related civil rights at the SEC. It champions SEC efforts to foster a fair and equitable workplace—one where employment decisions are based on individual merit, and where everyone has an equal chance to succeed as far as their talents will take them. It works to integrate EEO into the SEC's everyday business by:

- Contributing subject-matter expertise to aid the SEC with realistic strategic thinking, problem-solving, and policy development toward achieving a model workplace;
- Analyzing data to identify concrete ways of removing potential impediments to equity in employment;

- Proactively engaging with internal and external stakeholders, such as SEC leadership, OMWI, OHR, the National Treasury Employees Union (NTEU), the Diversity Council, and employee affinity groups;
- Educating the workforce about EEO laws and about behaviors that could be perceived as unwelcome at work;
- De-escalating workplace conflicts through robust harassment prevention and alternative dispute resolution programs;
- Providing a neutral forum (outside the Office of General Counsel (OGC) or OHR) for addressing EEO concerns; and
- Independently investigating and assessing EEO concerns and remedying violations of employment discrimination laws.

Through these efforts, OEEO helps to engage, energize, and empower employees to contribute fully to the SEC's mission. The EEO Director is a Senior Officer (the equivalent of a member of the Senior Executive Service) who, pursuant to EEOC regulations governing federal sector EEO Programs found at 29 C.F.R. Part 1614 (hereinafter, Part 1614) and Section 403 of the *Elijah E. Cummings Federal Employee Antidiscrimination Act of 2020* amending the *Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002* (No FEAR Act), reports to the SEC Chair and designated staff in the Chair's Office on EEO programmatic matters. The Office of the Chief Operating Officer and the Managing Executive for Small Offices provide OEEO with support on certain operational and administrative matters including the development of OEEO's personnel and operational budget, facilitation of contract support to process EEO complaints and to conduct barrier analysis studies, and approval of the EEO Director's time and attendance.

To comply with Part 1614 and MD-715 requirements, OEEO remains impartial and safeguards its organizational autonomy. This helps to prevent institutional conflicts of interest that otherwise could arise and to instill confidence in the integrity of the Agency's EEO Program. For example, OEEO's Director exercises authority to carry out Part 1614 functions without interference from any office, including OGC. While OEEO maintains responsibility for many aspects of the Agency's overall EEO Program, it collaborates as appropriate with OHR and OMWI as well as the Office of Inspector General (OIG) and OGC to ensure fairness and equality under the law for all employees and applicants for employment. OEEO, OMWI, and OHR monitor the impacts and results of EEO and diversity standards developed by OMWI (pursuant to the *Dodd-Frank Wall Street Reform and Consumer Protection Act*), cultivate successful policies and practices to reinforce them, and develop enhancement strategies to strengthen all EEO and diversity and inclusion (D&I) programs agency wide. In addition, OEEO seeks to coordinate on a general basis with OMWI and OHR on (among other topics) the diversity recruitment and/or disability and religious accommodation

programs they administer as well as with the Offices of Information Technology (OIT) and Support Operations (OSO) on compliance with accessibility requirements pursuant to Sections 504 and 508 of the Rehabilitation Act of 1973 and the Architectural Barriers Act and with the Offices of Public Affairs and Investor Education and Advocacy to further SEC's commitment to language access for all underserved communities.

In FY 2021, to support the new government-wide Executive Order on *Diversity, Equity, Inclusion, and Accessibility within the Federal Government* (EO 14035), the SEC's Chief Operating Officer (COO) led a cross-functional working group comprised of key office stakeholders.

Although EO 14035 does not apply to independent agencies such as the SEC, the SEC committed to voluntarily complying with the spirit of a number of EO 14035's non-reporting requirements.

This commitment to equity and D&I prompted the SEC to be one of the early adopters of the Department of Commerce's *First Generation Professionals (FGP)* initiative. At the start of FY 2021, OEEO delivered a second annual program focused on *FGP*—a virtual panel discussion entitled *Resilience and Grit in Times of Crisis and Uncertainty*—featuring SEC Commissioners and Federal Deposit Insurance Corporation Chair Jelena McWilliams. The two *FGP* programs at the SEC, in turn, created the impetus for a cross-functional taskforce—the *UnCovering Taskforce*. The Taskforce's mission is to implement strategies to ensure that employees are comfortable bringing their authentic self to work, and that the SEC continues to strive to cultivate an inclusive and receptive environment for all. Other efforts related to EO 14035 include re-instituting a paid internship program, increasing collective responsibility to ensure a workplace free of harassment through enhanced bystander intervention training, revising requirements for interview panel composition and practices, reimbursing certain travel-related lactation expenses of SEC employees, assessing SEC's language access practices, and designating EEO education and information-sharing as a strategic priority to spur conversation and drive positive change, including through enhanced information-sharing with senior-level staff and through a new digital EEO Learning Center.

In FY 2021, OEEO prioritized offering consulting services to senior leadership, management, the Diversity Council, employee affinity groups, and others to help carry out leadership priorities and implement the EEO and D&I aspects of the SEC's *Strategic Plan for FY 2018 – 2022 (Attachment 2)*, the *Diversity and Inclusion Strategic Plan FY 2020 – 2022*, and OHR's *FY 2020 – 2022 Human*

Capital Strategic Plan and related *FY 2020 – 2022 Recruitment Strategy*. Through cross-functional coordination among key stakeholders led by OEEO, the SEC remedied two remaining deficiencies identified by the EEOC in August 2020 as part of its technical assistance review of the SEC's EEO and Disability Programs by: (1) updating the SEC's *Procedures to Implement the SEC's Policy on Preventing Harassment*; and (2) launching a cross-functional working group led by agency Senior Officers and comprised of subject matter experts in OEEO, OHR, OGC, and OMWI, and key leaders and members of the SEC's employee affinity group, Disability Interests Advisory Committee (DIAC). This working group met frequently and:

- Explored how persons with disabilities (PWD) and persons with targeted disabilities (PWTD) (collectively, PWD) who apply for advancement or developmental programs might be highlighted for focused consideration during the selection process;
- Reviewed available data to determine the extent to which PWD are participating in mission-critical occupations, promotional opportunities to higher levels including leadership positions, and across the various career advancement programs/offers and where there may be opportunities for improvement;
- Reviewed best practices in career advancement of PWD deemed exemplary by the EEOC; and
- Explored opportunities to enhance policies, practices, and procedures related to the recruitment, hiring, training and career advancement, promotion, reasonable accommodation, and retention of PWD.

The working group developed a number of recommendations to support the career trajectory of PWDs at the Commission, including actions the SEC can take to recruit, hire, develop, promote, reasonably accommodate, and retain PWDs.

In addition, in response to the EEOC's specific recommendation to increase compliance with 29 C.F.R. § 1614.203(d)(1)(iii), OHR reserved five (5) slots in the 2022 Mentoring Program cohort for employees with disabilities and has been collaborating with DIAC to communicate this opportunity to its membership.

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

OEEEO, in partnership with and through necessary stakeholders, adheres to and promotes the Six Elements identified by EEOC and MD-715 as essential for a Model EEO Program under Title VII of the Civil Rights Act of 1964 (Title VII), *as amended*, 42 U.S.C. § 2000e-16, and Section 501 of the Rehabilitation Act of 1973 (Rehabilitation Act), *as amended*, 29 U.S.C. § 791 (as well as the Americans with Disabilities Act Amendments Act of 2008 (Pub. L. 110-325)). During FY 2021, OEEEO again performed an annual EEO Program self-assessment. This Executive Summary recaps the SEC's FY 2021 self-assessment findings and action items, organized by each Essential Element and related compliance indicators.

Essential Element A: Demonstrated Commitment from Commission Leadership

Management Directive 715 requires Agency heads and other senior management officials to demonstrate a firm commitment to equality of opportunity for employees and applicants for employment. During FY 2021, SEC leadership again demonstrated commitment to ensuring that the SEC's talented and diverse staff have equal opportunities and are treated fairly and with respect.

The SEC's *Strategic Plan FY 2018 – FY 2022* underscores this approach. The five-year *Strategic Plan* contains three goals. SEC Goal 3 is to “[e]levate the SEC's performance by enhancing our analytical capabilities and human capital development.” SEC Goal 3 will be accomplished through the following strategic initiative:

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

As explained in the *Strategic Plan*, the SEC recognizes its success is dependent on an effective, highly-skilled workforce. Accordingly, the Commission focuses on recruiting, retaining, and training staff with the right mix of skills and expertise. It also promotes diversity, awareness, inclusion, and mutual respect within the workforce so that every staff member has an equal opportunity to contribute and succeed.

To support the SEC's commitment to its workforce, the FY 2020 – FY 2022 *Human Capital Strategic Plan* and related *Recruitment Strategy* emphasize attracting diverse talented staff to the Agency, developing leaders who manage effectively and engage staff, and increasing professional growth opportunities and development for staff. OEEEO's ongoing planning aligns with and supports these overall strategic goals and initiatives. Similarly, the SEC continued to implement the Agency's first *Diversity and Inclusion Strategic Plan FY 2020 – 2022*, further exemplifying leadership commitment to an equitable, diverse, and inclusive work environment and marketplace. In FY 2021, in support of the SEC's *Strategic Plan*, OEEEO developed a detailed

and comprehensive *Strategic Plan* for FY 2022 – 2024 with these five goals: (1) Deliver Expert Consultant Services; (2) Educate the Workforce; (3) Enhance Culture; (4) Drive Positive Systemic Change; and (5) Optimize Internal Operations.

Compliance Indicator A.1—The Agency issues an effective, up-to-date EEO policy statement.

The SEC’s commitment to equal employment opportunity is highlighted in its Equal Employment Opportunity Policy (*Attachment 3*) and Policy on Preventing Harassment (PPH) (*Attachment 4*). The SEC maintains an EEO Policy which advises employees of the SEC’s commitment to complying with EEO laws and provides information on how to participate in the EEO complaint process. In addition, the PPH expresses the SEC’s commitment to a harassment-free work environment and is designed to identify and stop behavior that might be offensive on a legally-protected basis before it escalates. These documents affirm that the SEC Chair, Commissioners, senior leaders, managers, and first-line supervisors will enforce EEO principles and laws and contain all content required by the EEOC.

On May 25, 2021, within weeks after being sworn in as SEC Chair, Chair Gensler issued these policies via email directly to all personnel with the following message:

On January 20, 2021, President Biden issued an Executive Order recognizing that “[e]qual opportunity is the bedrock of American democracy, and our diversity is one of our country’s greatest strengths.”

I couldn’t agree more. As I wrote to you all last month, though, we still have more work to do as a society to correct racial injustices. Today marks the one-year anniversary of George Floyd’s death, and we continue to see a rise in anti-Asian violence. I am committed to doing my part to advance the causes of equal opportunity, diversity, and inclusion at the SEC.

We’re all one team here. We all play a role in driving a comprehensive approach to advancing equity in the workplace. I believe the SEC should be a place where we can bring our whole selves to work.

Today, I am pleased to reissue the SEC’s Equal Employment Opportunity (EEO) Policy and Policy on Preventing Harassment. I encourage you to read each policy carefully. Additional information can be found in SEC’s No FEAR Act notice.

There is no place at the SEC for discrimination, harassment, or retaliation in violation of federal laws or SEC policies. This conduct undermines our core values and is detrimental to our ability to execute the SEC’s mission and to protect underserved and marginalized communities.

If you believe these EEO policies have been violated, or ever have questions about the right thing to do, I ask you to speak up—talk with your manager, any member of the SEC’s management team, or the SEC’s Office of Equal Employment Opportunity (OEEO) at 202-551-6040, OEEO@sec.gov, or (880) 877-8339 for TTY users. OEEO is a vital resource partnering with me to make EEO an essential part of SEC’s everyday work and is available to all.

These policy documents are readily available on OEEEO’s intranet page and are made available throughout the year directly to new employees on or around their first day of work during employee orientation, and to all new supervisors and managers as they are promoted or join the SEC.

In response to societal events, OEEEO also redoubled efforts throughout FY 2021 to communicate to the SEC workforce its continued availability to address EEO concerns and complaints. OEEEO staff developed and deployed a new digital Resource Center and published agency-wide communications on timely and cutting-edge civil rights/EEO-related topics of interest, including, but not limited to: newly-issued Executive Orders on DEIA; pandemic-related harassment concerns and accommodation updates; the use of arrest and conviction records in federal employment; hair discrimination; and diversity and interview panels. In these agency-wide communications, OEEEO regularly reminded SEC colleagues to review the SEC’s EEO and harassment prevention policies and to contact OEEEO staff with questions, concerns, or complaints of discrimination.

Compliance Indicator A.2—The Agency has communicated EEO policies and procedures to all employees.

In addition to the publication and communication of the policies noted above, the SEC has promulgated various other regulations and procedures to advance its EEO Program, all of which are readily accessible on the SEC’s intranet to all employees. Table 1 below contains a list of policies and procedures communicating EEO-related content.

Table 1: SEC EEO and Affirmative Employment-Related Regulations and Procedures

SEC Regulations and Procedures
Acceptable Use of SEC Information Technology Resources (SECR 24-4.3)
Administrative Grievance Procedure (SECR 6-25)
Affirmative Action Plan for Individuals with Disabilities and Targeted Disabilities
Delegated Examining (SECR 6-6)
Diversity Partnerships (SECR 28-2)
Domestic Violence, Sexual Assault, and Stalking in the Workplace (SECR 6-48)
Domestic Partner Benefits Program (SECR 6-75)
Employee Affinity Groups and Special Observances (SECR 28-3)
Equal Employment Opportunity Dispute Resolution Policy Statement
Equal Employment Opportunity Policy
Information and Communication Technology (ICT) Section 508/Accessibility Program (SECR 24-10)
Merit Promotion Program (SECR 6-23, SECR 6-24)
Nondiscrimination Pursuant to Sections 504 and 508 of the Rehabilitation Act of 1973 (SECR 27-3) & Procedures to Implement Complaint Process Pursuant to Sections 504 and 508 of the Rehabilitation Act of 1973 (SECOP 27-3)
Policy on Preventing Harassment & Procedures to Implement the SEC’s Policy on Preventing Harassment (SECOP 27-1)
Religious Compensatory Time (for bargaining unit employees) (SECR 6-22)
Standards for Equal Employment Opportunity, Workforce Diversity, and Workplace Inclusion (OMWI – September 8, 2016)

Notably, in FY 2021, OEEO led the SEC's efforts to comply with EEOC's technical assistance related to SEC's compliance with Section 501 of the Rehabilitation Act. OEEO also led the development and publication of the SEC's first Administrative Regulation *Nondiscrimination Pursuant to Sections 504 and 508 of the Rehabilitation Act of 1973* and related Operating Procedures setting forth complaint-filing procedures under Sections 504 and 508 and the Architectural Barriers Act (ABA).

Starting in FY 2020 and completed in FY 2021, OEEO refreshed its digital presence to enhance the customer experience and remedy information gaps on key EEO topics and rights. In addition to updating EEO content on [SEC.gov](https://www.sec.gov), which had been last updated in 2011, OEEO's intranet site was also significantly enhanced. It provides comprehensive EEO-related information in a central location (regardless of the office owning particular programs) as well as contact and location information for OEEO, ensuring that employees can easily seek OEEO's assistance—including EEO counseling—and highlighting prominently how to report harassment or file an EEO claim. The new site also makes it easy for an employee to learn how to request reasonable accommodation or religious accommodation, report workplace violence, or request assistance from the SEC transgender support coordinator. The digital OEEO Resource Center includes EEO fundamentals, EEO insights on cutting-edge topics, “quick reads” and resources covering all anti-discrimination laws, and FAQs. OEEO continues to expand information that is made available in this new resource.

In FY 2021, OEEO also prioritized communicating conduct expectations at the SEC by transitioning from a taped presentation to a live presentation for all new employees. OEEO deployed new training content and made available crucial policies and procedures (including the EEO Policy, Policy on Preventing Harassment, and EEO Dispute Resolution Policy Statement) during orientation. All employees also must complete a web-based training required by the No FEAR Act upon hire and every two years thereafter, which discusses rights and responsibilities, the federal sector complaint process, alternative dispute resolution (ADR), harassment prevention and reporting, and reasonable accommodation. This mandatory training is supplemented by additional training and information-sharing offered by other stakeholders. For example, OHR shared information about the SEC's accommodation program for disability, including providing access to relevant policies and procedures and how to make requests for an accommodation, at *New Employee Orientation* and in the SEC University (SECU) *College of Leadership and Team Development (CLTD)*, *Fundamentals of Human Resource Management (CLTD 307)*, and required supervisory training that includes links to OEEO policy statements, processes and contact information. To ensure that EEO remains a topic in everyday SEC operations, OEEO leveraged *SEC Today* (the SEC's daily employee newsletter) to communicate directly on 12 OEEO topics, for example, reasonable accommodation for disability and religion given its relevance for many pandemic-related concerns.

In FY 2021, OEEO continued conducting individual outreach and met with 24 newly-hired or promoted supervisors and managers to give them immediate information and tools to comply with EEO laws and best practices. OEEO shares written materials and a briefing that provide practical guidance on avoiding common EEO pitfalls, including access to additional electronic resources and policies that may be useful. The 30-minute briefing provides a foundation for subsequent, manager-specific training on ADR, merit principles and prohibited personnel practices, and managing in compliance with EEO laws. In addition, the one-on-one briefing also presents opportunities for new managers to ask situation-specific questions that they would otherwise not feel comfortable asking in a group setting. Managers appreciate the individualized briefings and detailed EEO information provided to them. OEEO also creates, conducts, collaborates in presenting, and/or sponsors other trainings on EEO-related topics, including, for example, harassment prevention dialogues and on-demand learning, retaliation awareness under various legal schemes, ADR in the EEO process, live and on-demand new supervisor training regarding EEO, reasonable accommodation, retaliation, whistleblowing, and on-demand training related to transgender rights in the workplace.

Collectively, these efforts apprise employees of the SEC's commitment to EEO across all its programs, policies, and activities.

Compliance Indicator A.3—The Agency assesses and ensures EEO principles are part of its culture.

In FY 2021, SEC senior leadership made a sustained and visible commitment to fostering a positive organizational culture and to integrating EEO compliance, diversity and inclusion, and opportunity into SEC business and personnel actions and decisions. The increased focus on these principles was highlighted in the *Agency Financial Report for Fiscal Year 2021*:

Diversity, Inclusion, and Opportunity

We promoted leadership commitment to diversity and inclusion; fostered a connected culture despite the remote work posture; and continued to build a diverse talent pipeline through a number of initiatives. These included trainings, Diversity Dialogues, a new Diversity and Inclusion Internship program offering paid internship opportunities through partnership with the Hispanic Association of Colleges and Universities, and a strengthened relationship with Historically Black Colleges and Universities.

As an agency, we continued to leverage diversity and inclusion for mission effectiveness. Agency officials collaborated across the SEC, with the guidance of a consultant, to assess best practices for embedding diversity, inclusion, and opportunity in agency-wide, mission-related outreach and engagement activities. OMWI continues to engage internal stakeholders, advisory committee members, and SEC-regulated entities on leading diversity and inclusion practices. Furthermore, OMWI and the SEC's regional offices engaged in outreach events to underserved communities on affinity fraud and how to prevent pandemic scams. Moreover, a key part of the OASB's [Office of the Advocate for Small Business Capital Formation] small business advocacy mission is proactively connecting with underrepresented demographic groups (including women and minorities), entrepreneurial ecosystems affected by natural disasters, and businesses and investors at different stages of the capital-raising lifecycle.

Exemplifying this commitment to integrating diversity and inclusion into our Agency’s mission, the Office of the Advocate for Small Business Capital Formation sponsored the 40th Annual SEC Small Business Forum in May 2021. The four-day forum featured different topics each day, with diverse speakers reflecting the gender, racial, and multicultural diversity of our nation who highlighted success stories, as well as areas for policy improvement to support capital formation.

In FY 2021, OMWI, SEC Commissioners, and Senior Officers also continued to actively sponsor one or more of the nine SEC Employee Affinity Groups (EAGs):

- African American Council
- American Indian Heritage Committee
- Asian American and Pacific Islander Committee
- Caribbean American Heritage Committee
- Disability Interests Advisory Committee
- Hispanic and Latino Opportunity, Leadership, and Advocacy Committee
- Pride Alliance (formerly the Lesbian, Gay, Bisexual, and Transgender Committee)
- Veterans Committee
- Women’s Committee

EAGs have been instrumental in helping to cultivate a workplace culture that attracts diverse talent and encourages employee engagement and retention. EAGs foster a supportive, inclusive, and fair work environment through their programs and activities, including programs to commemorate special observances. OMWI provides guidance, resources, and management support to the EAGs (with the exception of the Veterans Committee which is sponsored by OHR), and SEC’s senior leadership supports the EAGs and encourages employees to participate in EAG events and activities held throughout the year. A list of some EAG activities and events that were held in FY 2021 is included in *Attachment 8*.

At the Practicing Law Institute’s *SEC Speaks* FY 2021 event, the SEC emphasized its focus on weaving diversity and inclusion throughout the SEC’s mission both internally and externally. In addition, in FY 2021, employees who contributed significantly to the advancement of diversity efforts at the SEC or in their communities were presented the *Isaac C. Hunt Award for Diversity and Inclusion* as a demonstration of the Commission’s appreciation.

The SEC has also focused efforts on developing and presenting programming that highlights the less-visible characteristics of diversity. In October 2020, OEEEO sponsored a *First Generation Professional* Panel Discussion moderated by former SEC Chairman Clayton and featuring *FGPs*—Federal Deposit Insurance Corporation Chair Jelena McWilliams and SEC Commissioner Allison Herren Lee—and *FGP*-ally former SEC Commissioner Elad Roisman. Information learned from this program offering was leveraged to develop the *UnCovering* Taskforce initiative which focuses on employees bringing their true authentic self to work.

The SEC's FY 2021 Federal Employee Viewpoint Survey (FEVS) Results

The SEC's FEVS response rate of 68.1% was lower than in previous years, but not as large a drop as the rest of the federal government's response rate. After achieving the largest year-over-year increases in 2020, resulting in the highest FEVS average scores, the 2021 scores experienced small decreases. However, SEC's 2021 scores in the following key indices related to engagement, satisfaction, inclusion, and leader effectiveness are still among the highest scores in the past 10 years:

- **Global Satisfaction Index:** 78% positive (4 percentage point decrease);
- **Employee Engagement Index:** 80% positive (2 percentage point decrease); and
- **New Inclusion Quotient Index (the New IQ):** 73% positive (1 percentage point decrease).

The New IQ in FEVS measures enabling conditions that lead to an inclusive workplace and is made up of 20 FEVS questions grouped into the following “*5 Habits of Inclusion*”:

Fair: Are all employees treated equitably?

Open: Does management support diversity in all ways?

Cooperative: Does management encourage communication and collaboration?

Supportive: Do supervisors value employees?

Empowering: Do employees have the resources and support needed to excel?

The New IQ score reflects the percentage of positive responses to the questions corresponding to each *Habit of Inclusion*. The SEC's overall New IQ for 2021 was 73% positive, which was 1 percentage point lower than the Agency's overall New IQ for 2020, and the second highest percent positive score for the Agency in the last ten years. The SEC's scores on each *Habit of Inclusion* remained relatively steady from last year's highest scores, with drops between 0 and 4 percentage points across all of the subfactors: Fair (no change); Open (down 1 percentage point); Cooperative (down 4 percentage points); Supportive (no change); and Empowering (down 4 percentage points). Across all five subfactors, these remained among the second highest percent positive scores attained by the SEC in the past 10 years.

In addition to the New IQ, the SEC tracks the percentage of positive responses (i.e., percent positive) to three diversity-related FEVS questions, as shown in Table 2 below. The percent positive scores on each question changed by -4 and +2 percentage points between 2020 and 2021, maintaining all-time highs since 2015. These results suggest that support for the Agency's D&I efforts continues, and that employees positively perceive these efforts.

Table 2: SEC Scores on Select Diversity Related FEVS Questions

FEVS Question	2015	2016	2017	2018	2019	2020	2021
Q34 - Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).	62%	65%	67%	67%	66%	68%	69%
Q45 - My supervisor is committed to a workforce representative of all segments of society.	73%	76%	80%	82%	81%	84%	86%
Q55 - Supervisors work well with employees of different backgrounds.	64%	68%	77%	78%	77%	83%	79%

Source: Federal Employee Viewpoint Survey 2021, retrieved on February 3, 2022.

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

Management Directive 715 recognizes that equality of opportunity is essential to attracting, developing, and retaining the most qualified workforce to support an agency's achievement of its strategic mission. This element requires that the EEO Programs are structured to maintain a workplace that is free from discrimination and support that strategic mission.

Compliance Indicator B.1—The reporting structure for the EEO Program provides the principal EEO official with appropriate authority and resources to effectively carry out a successful EEO Program.

Compliance Indicator B.2—The EEO Director controls all aspects of the EEO Program.

Compliance Indicator B.4—The Agency has sufficient budget and staffing to support the success of its EEO Program.

As a direct report to the SEC Chair, the EEO Director exercises authority to conduct all aspects of the Agency's EEO Program efficiently and effectively and with the autonomy and authority needed to carry out a successful EEO Program. This authority was formalized through the SEC's first designation of authority from the then-Chair on December 23, 2020, to the OEEO Director which authorizes the OEEO Director to control all aspects of the Agency's EEO Program as required by 29 C.F.R. Part 1614, MD-715, and EEOC's Management Directive-110. The EEO Director also has regular access to Commissioners and other senior-level management officials.

In FY 2021, OEEO had resources, budget, and staffing to implement the EEO Program. The duties and responsibilities of these EEO officials and personnel are defined in position descriptions and in related standard operating procedures OEEO is developing. Staff turnover occurred in two leadership positions, necessitating the flexibility within personnel. Resources remained available, including three contractors and two student interns, to assist OEEO in identifying and working to eliminate identified barriers to employment for all protected groups. OEEO also has resources available through contract counselors, ADR professionals, and investigators. Consistent with EEOC guidance, personnel assisting with EEO counseling do not work on formal complaint processing. All counselors and investigators satisfied the 32 hours of training and/or 8 hours of refresher training required by EEOC Management Directive 110 (MD-110). By leveraging resources at different stages of the EEO complaint process, OEEO thoroughly and fairly processed EEO complaints, including by conducting EEO counseling, overseeing fact-gathering investigations, issuing Final Agency Decisions assessing whether or not discrimination occurred, and conducting legal sufficiency reviews.

Staff development and cross-training remained a focus in FY 2021. OEEO staff received virtual training to maintain and enhance competencies necessary for carrying out the EEO Program. For instance, staff members typically attend either the EEOC's annual Examining Conflicts in Employment Law (EXCEL) or the Federal Dispute Resolution (FDR) conference and several took certification courses through universities. OEEO supported developmental opportunities for three staff who took on acting supervisory roles in a rotating capacity.

In coordinating the SEC's overall EEO activities, OEEO leverages the efforts and expertise of staff in other offices. OEEO collaborates with OMWI on workforce DEIA issues, including affirmative employment efforts led by OEEO (e.g., barrier analyses) as well as special emphasis programs. OEEO works with OHR to implement the *SEC's Affirmative Action Plan for the Recruitment, Hiring, Advancement, and Retention of Persons with Disabilities (SEC's Affirmative Action Plan for Persons with Disabilities)*. OEEO consults with OGC to ensure compliance with OEEO and EEOC decisions and orders. OEEO coordinates with OIG and OGC to encourage sufficient workforce training on whistleblower protections and prohibited personnel practices under federal civil service laws. OEEO also works with management, OHR, OGC, and OIG related to the SEC's anti-harassment policy and program.

As appropriate, staff from these (and sometimes other) offices and teams collectively enabled the SEC during FY 2021 to:

- Conduct the annual MD-715 Agency self-assessment to identify possible EEO Program deficiencies;
- Conduct analyses of the SEC workforce;
- Provide supervisors and employees with training on the EEO Program (including on retaliation, harassment, disability accommodations, the EEO complaint process, and EEO-related ADR);
- Maintain accurate data collection and tracking systems for, e.g., EEO and harassment complaints, workforce demographics, and applicant flow data;

- Administer required special emphasis programs (such as the Federal Women’s Program, Hispanic Employment Program, and People with Disabilities Program);
- Manage the SEC’s anti-harassment and reasonable accommodation/personal assistance services (PAS) programs; and
- Ensure timely and complete compliance with EEOC orders.

Compliance Indicator B.3—The EEO Director and other EEO professional staff are involved in, and consulted on, management/personnel actions.

Throughout FY 2021, OEEO leadership frequently communicated with Senior Leadership, including Commissioners, the OMWI Director, the Chief Operating Officer, the Chief Human Capital Officer (CHCO), and other office leads to provide updates on the EEO Program. Further, the EEO Director is a member of the Agency’s Diversity Council, and of the Operations Steering Committee, which is a vetting and decision-making body related to major SEC internal operations and policies. In general, OEEO leadership and designated staff participated in meetings and initiatives regarding workforce changes that might implicate EEO issues or negatively impact any protected EEO group. For example, in FY 2021:

- OEEO leadership delivered a series of State of the Agency summaries directly to the SEC Chair, Commissioners, and Division and Office heads as well as a briefing to senior leaders in the Agency’s Operations Steering Committee, providing 10-year workforce trend analyses and identifying specific action opportunities to positively impact workforce trends for employees with disabilities, women, and minority employees.
- OEEO contributed its subject matter expertise to the SEC’s newly-created Performance Incentive Bonus (PIB) program and co-delivered with OHR training on the PIB to SEC supervisors, managers, and leaders implementing the PIB program.
- OEEO provided input to the SEC’s *Recruitment Strategy 2022 – 2024* to align it with the SEC’s *Affirmative Action Plan for Persons with Disabilities* and the *DEIA EO*.
- OEEO provided consulting services to OHR related to SEC’s compensation-related policies and practices, including on pay equity and pay setting.
- OEEO transitioned one barrier analysis study focused on SEC female accountants to the Agency’s Chief Operating Officer for management action.
- OEEO evaluated the Agency’s policy on screening and interviewing job candidates which led to additional refinements of the policy.
- OEEO finalized and published procedures related to processing complaints filed under Sections 504 and 508 and the Architectural Barriers Act.
- OEEO staff served as trainers in SEC’s *CLTD 307* training for new supervisors.
- OEEO contributed EEO expertise on several Administrative Regulations and SEC Operating Procedures related to Attorney Hiring, Religious Accommodation, Reasonable Accommodation under the Rehabilitation Act, and the SEC’s 508 Policy.

As noted above, the SEC *Strategic Plan*, the *Diversity and Inclusion Strategic Plan*, and *OEEO Strategic Plan* reference EEO, affirmative employment, and DEIA principles, committing the Agency to compliance with federal laws, Executive Orders, management directives, and policies related to equality of opportunity and affirmative employment. To achieve these objectives, OEEO's input related to major management decisions affecting the SEC workforce is critical. Accordingly, the EEO Director will continue to work through the SEC's Operations Steering Committee regarding personnel, budget, technology, and other issues to provide an EEO perspective, proactively and prior to final decisions being made, and seek to identify and participate in other decision-making bodies or processes. Further, OEEO will continue to seek partnership with OHR and OMWI in report and policy development and review, so that OEEO subject matter expertise can be contributed early in the drafting and coordination process.

Compliance Indicator B.5—The Agency recruits, hires, develops, and retains supervisors and managers who have effective managerial, communications, and interpersonal skills.

The SEC focuses on recruiting, hiring, developing, and retaining supervisors and managers with the managerial, communication, and interpersonal skills needed to supervise effectively in a diverse workplace. OHR also develops recruitment plans to attract and retain Senior Officers based on pre-determined skillsets needed for the role. The Commission's strategic plans, described above, emphasize these business imperatives.

Once on-board, the SEC provides supervisors and managers learning opportunities to enhance their managerial, communications, and interpersonal skills. In addition to substantive EEO training and outreach offered by OEEO (*see above*), in FY 2021, OMWI offered various virtual live classes to help supervisors and managers develop diversity and inclusion skills. Courses included *Conscious Equity 2.0* and *Language of Inclusion*. *Conscious Equity 2.0* was first offered in FY 2020 and was re-offered in FY 2021 in response to popular demand. As before, the course was primarily targeted toward supervisors and managers to help foster a connected culture where team members can feel empowered, psychologically safe, and prepared to manage self and others. OMWI also offered to supervisors and managers *Language of Inclusion*, a course designed to establish a toolkit of key terminology and concepts for fostering an inclusive culture.

Similarly, the SECU CLTD offerings described below are designed to promote leadership behaviors that support the Agency's vision to promote respect, honor the dignity of all people, develop others, and cultivate the creativity, growth and diversity of thought and experience for leaders at all organizational levels. In FY 2021, CLTD transitioned offerings to the virtual environment and reviewed content to ensure courses and programs align with and promote a culture of equality and inclusion for SEC staff, stakeholders, and by extension, those we regulate. Information on leadership development offerings by grade level follows:

Senior Officers (SOs)

Senior Officers attended leadership development offerings designed to support SEC leadership competencies, leadership development best practices, and the SEC's Diversity and Inclusion five strategic goals. In FY 2021, elements of psychological safety, openness to diversity and leveraging all team members' contributions, resilience tools, respect for all, and consideration of unintended consequences on staff were incorporated in leadership content as, with limited exceptions, the SEC continued in a 100% virtual environment.

In addition to the CLTD supervisory and open-enrollment curricula, SO-specific offerings included *Preparing for the Unpredictable* and *Strategies for Agility and Effectiveness*. These highly-interactive seminars provided opportunities for the Agency's "C-suite" executives to interact among themselves in small groups to discuss communication needs, share information, and strategically plan for agency-wide efforts, e.g., back-to-the-workplace transition scenarios. Outcomes included:

- Establishing rapport and meaningful connection with and among key stakeholders;
- Re-framing difficult conversations to identify and develop options for alternative outcomes while simultaneously maintaining relationships;
- Effectively leading Agency staff through the pandemic/anticipate return-to-work transition;
- Inspiring an organizational culture of inclusion, ownership, and results;
- Navigating organizational change—from managing mindsets and expectations to balancing priorities and communicating amid ambiguity;
- Cultivating a culture that embraces diversity of thought and experiences; and
- Reinforcing established skills and deepening the ability to effectively make decisions, engage others, and remain nimble and responsive as circumstances evolve.

SEC Senior Officers also participated in external training opportunities during FY 2021.

Senior Officers participated in the *Leader as Coach* course, alongside non-executive leaders as part of a deliberate approach to sensitize and convey the Agency's expectation that developmental feedback and coaching be meaningful, thoughtful and respectful. Equally important, Agency executives learned to practice active listening to understand others.

In FY 2021, the SEC continued designing a leadership evaluation, accession and development program, which places an agency-wide emphasis on ensuring that SO applicants across the Agency have the leadership skills needed to excel in a SO position. The program will improve the process for identifying and selecting future leaders by including standardized leadership assessments that screen candidates on essential leadership competencies in a fair and legally-compliant manner.

The design of the leadership development program began in FY 2020 with a leadership competency study to identify critical SO leadership skills required at the SEC. In the beginning of FY 2021, after identifying and defining these leadership competencies, SOs rated the leadership competencies in terms of how important they were for effective SO performance. Data analysis of the SO ratings identified the most critical leadership competencies for SOs at the SEC.

Development of four assessments to evaluate performance in these leadership competency areas was the next step. The tools developed include a Training & Experience Questionnaire, Supervisory Ratings, In-Box Exercise, and a Structured Interview. A diverse group of SOs, representing the major SEC Divisions and Offices, developed assessment content and structured rating scales to ensure a standardized evaluation of candidate performance on these assessments. Iterative SO reviews confirmed the relevance of these tools across SEC Divisions and Offices. Special advisors from OEEO and OMWI remain involved in the development process, reviewing content to ensure program materials and processes support fairness, diversity, and inclusion.

At the close of FY 2021, OHR designed and loaded content onto a leadership development website. The website will be available to all SEC employees to learn about the program, use leadership development tools, and discover strategies to improve in critical leadership areas. A targeted communication effort, designed to educate SEC employees and create program awareness, will launch in early FY 2022. Scheduled meetings with Divisions and Offices, sessions through the SEC's *Learn Engage Achieve Platform (LEAP)* online learning platform, and employee affinity group presentations are planned venues to share program information. After a pilot test of the assessments, program launch is anticipated during the second or third quarter of FY 2022.

SK-17 Managers

SECU facilitated *Managing Accountability and Workflow*, its fifth annual leadership development seminar series, in FY 2021. Seminars were designed to help mid-level leaders manage the complexity of leading within and across organizations and to challenge them to think about how they work with and lead others, and explore leadership strategies within their sphere of influence in unpredictable times.

The three-part series included: *Leader as Problem Solver*; *Leading Complex Systems*; and *Your Role as a Leader in this Organization: Delegating, Communicating and Feedback*. Each interactive two-hour session promoted:

- Recognizing and valuing individual differences, and treating all team members with respect;
- Managing individual and group workflows to maintain accountability and encourage strong relationships by understanding the difference between managing a complex system and managing tasks or processes;
- Communicating intentionally and with flexibility;

- Fostering trust behaviors and building resilience to maintain high performance;
- Appreciating the different roles and responsibilities of managing others;
- Delegating and empowering while managing through feedback; and
- Using problem-solving tools to be a skilled adaptive leader.

SK-15 Supervisors

In FY 2021, the College of Leadership & Team Development's fourth annual Leadership Development Seminar Series for SK-15 supervisors, *Finding Your Leadership Focus*, included the following seminars: *Increasing Capacity for Personal and Team Resilience*; *Building Trust with Individuals and Teams*; and *Leading and Inspiring Teams*. Seminars focused on leadership skills to help first-level supervisors by:

- Increasing leaders' capacity for resilience when facing difficult challenges by finding ways to leverage leadership strengths and weaknesses;
- Identifying and tailoring the best working styles to increase involvement and productivity within teams;
- Building structures and systems to hold virtual team members accountable for commitments in a constructive and positive manner to maintain trust and respect;
- Examining essential elements of building trust and those things we must do to make ourselves trustworthy;
- Building trust: why it matters and finding ways to restore trust when it is lost; and
- Self-assessing credibility-based aspects of character and competence.

All Managers

SECU's FY 2021 Leadership Development Curricula was strategically designed to provide easily-accessible and effective leadership content in the ongoing virtual environment. Offerings emphasized the importance of leadership skills and cultivated supervisors' baseline understanding of, and capacity to use, leadership behaviors in day-to-day work. Virtual sessions included:

- *Awakening Your Team*;
- *Six Word Stories: What's Your Story*;
- *Conversational Capacity*;
- *Building Trust (Franklin Covey)*;
- *Organizational Leadership for Employee Engagement*;
- *Leading Change*;
- *Finding Stability on Shifting Ground*;

- *How to Lead Effectively When Priorities Change;*
- *Deliberate Decision Making;*
- *Leading Through Transition;*
- *Building Resilience Amid Change;*
- *Difficult Conversations;* and
- *The ROI of Relationships at Work.*

SEC managers also elected to participate in external training opportunities in addition to attending SEC University offerings and programs during FY 2021.

Anticipated FY 2022 offerings include:

- *Forming Connection with Others;*
- *Developing Cross-Cultural Competence;*
- *Self and Other Awareness;*
- *Safe to Speak Cultures and Teams;*
- *Getting Results with Positive Accountability;*
- *Creating a Shared Vision;*
- *Self Trust (Franklin Covey);*
- *Relationship Trust (Franklin Covey);*
- *Building an Accountable Culture;*
- *Cultivating an Innovative Organization;*
- *Shifting to a Strategic Mindset;*
- *Dealing with Difficult Interpersonal Relationships;*
- *Managing Conflict;*
- *Maintaining Momentum for Strategic Thinking;*
- *Developing Your People;*
- *Empathetic Listening and Motivating and Influencing Others;*
- *Leading from the Front, Middle and Behind;*
- *Lead Forward;* and
- *Leadership Development for Women at the SEC.*

New Supervisor Leadership Development Training Program

The College of Leadership & Team Development facilitated the SEC's first comprehensive, multi-month leadership training for new supervisors that integrated existing relevant Skillsoft video courses and Books 24/7 books and chapters as assignments between instructor-led virtual sessions.

Executive Coaching

SEC managers and supervisors are eligible to receive 12 sessions of private executive coaching by an International Coaching Foundation (ICF) certified coach. The coaching supports managers as they pause, reflect, and explore new options for their careers and actions. In FY 2021, 58 managers participated in this executive coaching program.

College of Leadership & Team Development 2021 Reading Lists

The SEC University's College of Leadership & Team Development published winter and summer reading lists available to all SEC staff. Books selected promote the baseline leadership culture of inclusivity and engagement and best practices for leading self and others that the SEC is working to maintain. A 508-compliant job aid to access the books online is provided with each reading list.

The summer 2021 reading lists included the following books:

- *Ask More: The Power of Questions to Open Doors, Uncover Solutions, and Spark Change* by Frank Sesno;
- *The Fearless Organization: Creating Psychological Safety in the Workplace for Learning, Innovation, and Growth* by Amy Edmondson; and
- *Lead With a Story: A Guide to Crafting Business Narratives that Captivate, Convince, and Inspire* by Paul Smith.

The winter 2021 Reading lists included:

- *The Power of Understanding Yourself* by Dave Mitchell;
- *Lead From the Future: How to Turn Visionary Thinking into Breakthrough Growth* by Mark Johnson and Josh Suskewicz; and
- *The Work-Life Balance Myth: Rethinking Your Optimal Balance for Success* by David McNeff.

Books 24/7 and Skillsoft

In FY 2021, CLTD expanded its use of the Books 24/7 and Skillsoft online, cost-free resources. Curated “Skillsoft Hot Topics” lists are now available to SEC staff. Selected articles, videos, and books arranged by topic include, but are not limited to:

- *Leveraging Emotional Intelligence;*
- *Becoming an Inspirational Leader;*
- *Gender and Leadership;*
- *Choosing to Lead as a Woman;*
- *Your Role in Workplace Diversity;*
- *Leveraging Diversity;*
- *Bridging the Diversity Gap;*
- *Overcoming Your Own Unconscious Bias, Maintaining a Cohesive Multigenerational Workforce;* and
- *Managing Multigenerational Employees.*

OHR Online Resources

The Office of Human Resources and SEC University added two online sites for SEC managers and supervisors during FY 2021. The *New Manager* portal welcomes new SEC formal leaders and provides *Your First 30 Days* tools, checklists, and guidance for *Taking Care of People* and *Taking Care of Business*. The *Openline Conversations* portal supports leaders through just-in-time resources and cutting-edge leadership content broken down by: *Three Minute Reads*, articles, online training resources, videos, books, and access to the SEC’s professional coaching program.

All managers continue to have access to *All Things Management (ATM)* and the *AskHR* portal on the SEC’s intranet that include a review of Merit Principles, Prohibited Personnel Practices, the Agency’s selection processes and hiring toolkit, information about the SEC’s *Collaboration and Resolution Everyday (CaRE)* ADR program (non-EEO ADR), and key fairness and inclusion expectations for leaders.

In addition to the offerings above, the SEC provides the following mandatory training for all supervisors and managers:

- **Fundamentals of Human Resource Management (CLTD 307):** *CLTD 307* is required for all new managers. *CLTD 307* covers a broad range of human capital-related topics to educate SEC managers on the Agency’s HR policies, statutory, regulatory, and procedural requirements, and on federal sector best practices. Topics include the SEC’s policies on the prevention of workplace violence, providing accommodations, and EEO and whistleblower protections.

Participants complete eLearning modules on human capital-related topics that prepare them to participate in the in-person classroom session. During the pandemic, the offering's in-person component was transitioned to a highly-interactive two-day virtual offering. OEEO's and OMWT's training modules provide in-depth teaching on the SEC's EEO complaint process and EEO laws and Dodd-Frank legislative requirements. *CLTD 307* covers the Merit Principles and Prohibited Personnel Practices as foundational to federal employment; Merit Principle and PPP wallet cards are available to all participants. Subject matter experts facilitated the classroom portion of the course through the discussion of fact-based scenarios derived from a global case study read in advance. This allows participants to better understand the interconnectedness of managing the SEC's human capital.

- **Leader as Coach (LAC):** The *Leader as Coach* course is mandatory for all who supervise the performance of others, including Senior Officers. The *LAC* curriculum helps managers to provide effective coaching and feedback to all employees. Managers discussed a wide variety of case studies and role-played to practice listening and providing coaching and feedback. SEC managers develop an understanding of coaching as a conversation distinct from mentoring, feedback, supervising, or consulting with others and increased their knowledge of the basic “moves” of coaching and when to use them. This offering was redesigned to accommodate the Agency's ongoing telework posture.

Compliance Indicator B.6—The Agency involves managers in the implementation of its EEO Program.

Support from managers and supervisors is critical to an effective EEO Program. OEEO engaged Senior Officers, managers, and supervisors in Divisions and Offices in the EEO Program and related efforts. As described above, throughout FY 2021, SEC leadership frequently demonstrated meaningful commitment to EEO principles and to affirmative employment. Leaders at all levels were involved in different aspects of the SEC's EEO Program as appropriate, including in the development of management actions responsive to recommendations made by OEEO's barrier analysis program, and in Special Emphasis Programs and related initiatives. Managers are required to cooperate as necessary and appropriate with EEO-related counselings, investigations, and ADR efforts. The Agency also encouraged managers and supervisors to engage with OEEO on civil rights and EEO-related topics in a proactive manner. Similarly, when circumstances permit, OEEO intends in future fiscal years to engage more directly with Regional management teams through on-site visits, as feasible.

Essential Element C: Management and Program Accountability

This element requires the Agency head to hold all managers, supervisors, and EEO officials responsible for the effective implementation of the Agency's EEO Program and the *SEC's Affirmative Action Plan for Persons with Disabilities*. Per EEOC's MD-715, in ensuring such accountability, the SEC must:

- Conduct regular internal audits, on at least an annual basis, to assess the effectiveness and efficiency of the Title VII and Rehabilitation Act programs and to ascertain whether the Agency has made a good faith effort to identify and remove barriers to equality of opportunity in the workplace;

- Evaluate managers and supervisors on efforts to provide equality of opportunity for all employees;
- Maintain clearly defined, well-communicated, consistently applied, and fairly implemented personnel policies, selection and promotion procedures, evaluation procedures, rules of conduct, and training systems;
- Establish procedures to prevent all forms of discrimination, including harassment, retaliation, and failure to provide reasonable accommodation to qualified individuals with disabilities;
- Implement effective reasonable accommodation procedures that comply with applicable executive orders, EEOC guidance, the Architectural and Transportation Barriers Compliance Board’s Uniform Federal Accessibility Standards and Electronic and Information Technology Accessibility Standards;
- Be mindful of the Agency’s disability program obligations, including the provision of reasonable accommodations, when negotiating collective bargaining agreements with recognized labor organization(s) representing Agency employees;
- Review each finding of discrimination to determine the appropriateness of taking disciplinary action against Agency officials involved in the matter. Track these decisions and report trends, issues, and problems to Agency leadership for appropriate action; and
- Ensure compliance with settlement agreements and orders issued by the Agency, EEOC, and EEO-related cases from the Merit Systems Protection Board, labor arbitrators, and the Federal Labor Relations Authority.

Compliance Indicator C.1—The Agency conducts regular internal audits of its component and field offices.

The SEC is not organized in “field components” but does have 11 Regional Offices out of which employees perform mission-related work. For EEO Program purposes, Regional Office workforce data are considered and included in barrier analysis research along with workforce data from Headquarters.

Compliance Indicator C.2—The Agency has established procedures to prevent all forms of EEO discrimination.

As explained in Compliance Indicator A.2 above and set forth in Table 1 above, the SEC has promulgated various regulations and procedures to advance the EEO Program. These policies and procedures aid in the proactive prevention of EEO discrimination and increase accountability. Clear policies and procedures related to personnel programs generally work to minimize subjectivity, foster consistency in decision-making across the SEC, and clarify the roles and responsibilities of the various offices/programs. In addition to the regulations in Table 1 above, SEC managers and supervisors must comply with additional regulations and procedures governing major personnel programs, thus, helping to prevent unlawful discrimination. The SEC-NTEU Collective Bargaining Agreement (CBA),

which has 52 Articles, also creates an expectation of consistency in personnel decision-making and includes an article addressing Equal Employment Opportunity which affirms the parties' commitment to the principles of EEO and workplace fairness.

Of particular importance, the SEC makes available EEO information related to harassment prevention, reasonable accommodation, and permissible religious expression. For example, in FY 2021, the Chair re-issued the SEC's Policy on Preventing Harassment, which, in combination with the Procedures to Implement the SEC's Policy on Preventing Harassment, set forth the anti-harassment policy and program pursuant to the *Faragher-Elterth* line of Supreme Court cases and the EEOC's *Enforcement Guidance on Vicarious Employer Liability for Unlawful Harassment by Supervisors*. Based on technical assistance from the EEOC, the SEC updated its procedures to provide a clearer explanation of prohibited conduct and SEC processes. SEC is assessing implementation of this policy and program to identify enhancements that may help better operationalize SEC's stated commitment to harassment prevention and minimize risk. Similarly, the SEC has in place a Reasonable Accommodation Policy and Program to ensure that applicants and employees know about their rights under the Rehabilitation Act to receive a reasonable accommodation for disability-related limitations if needed to apply for a job, perform the essential functions of a job, or enjoy equal benefits and privileges of employment. This policy also explains management's responsibilities when a supervisor or manager is on notice that an employee requires a reasonable accommodation. In FY 2019 and again on March 12, 2021, the EEOC informed the Agency that its proposed policy and corresponding operating procedures had been approved and comply with applicable EEOC regulations and guidance. The SEC then conducted an internal review by collecting input from SEC stakeholders and negotiations with the SEC's union. The *SEC Reasonable Accommodation Administrative Regulation* (SECR 6-80) and corresponding *SEC Reasonable Accommodation Operating Procedures* (SECOP 6-80) will be released in FY 2022. Additional information about the SEC's reasonable accommodation program can be found in *Part E, Compliance Indicator A.2* and in *Part J, infra*.

In FY 2021, the SEC actively worked to enhance the SEC's Religious Accommodation Program. OHR drafted a religious accommodation policy and other associated materials designed to create structure for the program and increase awareness for managers and employees. The *SEC Religious Accommodation Regulation* (SECR 6-81) and corresponding *Religious Accommodation Operating Procedures* (SECOP 6-81) are currently under development and are expected to be finalized by September 2022. This new guidance will govern the processing and implementation of religious accommodation requests by employees and applicants seeking employment in accordance with Title VII of the Civil Rights Act of 1964. In the interim, requests for religious accommodation, including those in response to the vaccine mandate for federal employees, will be processed similarly to requests for disability accommodation and pursuant to the Agency's Reasonable Accommodation Program policy and operating procedures.

Compliance Indicator C.3—The Agency evaluates managers and supervisors on their efforts to ensure equal employment opportunity.

The successful performance of SEC managers and supervisors includes efforts to achieve a workplace free from discrimination. All SEC supervisors and managers have an element in their annual performance appraisal that evaluates commitment to Agency EEO policies and principles and participation in the EEO Program. *Leading People* is a critical element in the performance plan of SK-15 supervisors, SK-17 managers, and Senior Officers, all of whom have supervisory responsibilities. This critical element states:

- **Senior Officers:** This executive core qualification involves the ability to lead people and manage the workforce to meet the organization’s mission and goals. Included in this meta-competency are behaviors related to conflict management, leveraging diversity, developing others, team building, and human capital management. Fosters an environment that encourages employees to make whistleblower disclosures, which includes responding constructively when employees make disclosures and taking requisite action to resolve the disclosure.
- **SK-15/SK-17:** Plans, distributes, coordinates, and monitors work assignments; evaluates work performance and provides constructive feedback by taking action to address performance problems; ensures staff are appropriately selected and utilized and are treated in a fair and equitable manner regardless of race, gender, age, religion, and other individual differences. Champions and promotes a diverse and inclusive work environment in which all employees have an opportunity to be productive by managing, developing, and treating staff equitably regardless of individual differences. Contributes to a culture of respecting and appreciating diversity and the benefits of a diverse workforce through participating in diversity awareness activities and supporting and/or participating in the Agency’s diversity recruiting and hiring efforts. Fosters an environment that encourages employees to make whistleblower disclosures, which includes responding constructively when employees make disclosures and taking requisite action to resolve the disclosure.

The performance management program provides examples of behaviors in these areas for assessing specific levels of performance. The specific language in *Leading People* elements does not explicitly list all day-to-day EEO responsibilities. The general language included currently is intended to require that rating officials assess all those with supervisory duties on all aspects of EEO compliance. As interpreted and applied, therefore, these critical elements are considered by rating officials in evaluating the performance of all Senior Officers, managers, and supervisors on resolving EEO conflicts, participating in ADR, ensuring cooperation with complaint and harassment prevention processes, providing accommodations as required, ensuring subordinate supervisors are equipped to lead a diverse workforce, collaborating with OEEO and other stakeholders to identify and remove barriers, and complying with EEO-related settlement agreements and orders.

Compliance Indicator C.4—The Agency ensures effective coordination between its EEO Programs and Human Resources (HR) program.

OEEEO and OHR continue to coordinate effectively and work on ways to enhance early coordination and collaboration, particularly with respect to identifying and eliminating barriers to equality of opportunity, proactively training supervisors and managers on EEO topics, and substantively reviewing SEC strategic workforce plans, programs, policies, and procedures. The CHCO, EEO Director, and OHR Deputy Director meet monthly to discuss personnel programs, policies, and procedures. In addition, to ensure effective coordination among key stakeholders, the SEC's Chief Operating Officer hosts recurring meetings with the directors of OEEEO, OHR, and OMWI to focus attention and collective efforts on specific personnel programs, policies, and procedures. OEEEO continues to prioritize transparency by sharing information on barrier analysis studies to SEC leadership and program offices such as OHR and other internal stakeholders. These briefings raise awareness of the cross-cutting nature of the barrier analysis work, highlight intersections and areas for collaboration to improve equality of opportunity in the employment life cycle, and increase buy-in from partners across the SEC to EEO-related strategic planning. Through these coordinated efforts, OEEEO's recommendations to enhance equality of opportunity have been implemented by numerous stakeholders across the Agency, including OHR.

One such example involves OHR's progress in addressing open recommendations from the Awards Barrier Analysis conducted by OEEEO, including OHR's development and implementation of a Recognition Dashboard that was launched in Quarter 2 of FY 2021. The Dashboard increases awareness and simplifies access to detailed data on employee recognition. The Dashboard provides supervisors and leaders with information about awards received by their team members, with breakdowns by award type, occupation and grade level, and employee demographics. Results are presented in the aggregate to protect confidentiality of staff at an individual level. The Dashboard is available to business office personnel, supervisors, and Division/Office directors who work with recognition processes.

Addressing another recommendation from the Awards Barrier Analysis, OHR conducted an internal review of SEC's recognition programs. OHR worked with a consultant team to complete an evaluation of all SEC recognition programs by assessing current recognition programs, processes, and strategies used to reward employees and offering recommendations for improvement and enhancement. The subsequent Recognition Evaluation Report identifies key areas that are doing well and offers government and industry best practices for SEC's consideration. OHR established an action plan to address the recommendations and is partnering with OEEEO, OMWI, and other stakeholders to implement enhancements.

In collaboration with OEEO and OMWI, in FY 2021 OHR completed enhancements for SEC employee recognition by designing and implementing the new Performance Incentive Bonus program. The program recognizes exceptional SK employee performance that led to extraordinary results and contributions, with a cash bonus up to \$10,000. The OHR, OEEO, and OMWI partnership for the program's design included feedback sessions for program resources; OEEO presentation of EEO and Merit Principle topics during PIB training sessions hosted by OHR; and feedback sessions for the program's post-evaluation framework development. The first PIB recognition was completed in Quarter 1 of FY 2022.

Finally, OHR, OMWI, and OEEO prepared and/or reviewed various annual reports (e.g., MD-715, No FEAR Act, the Federal Equal Opportunity Recruitment Plan, and the Disabled Veterans' Affirmative Action Plan) and will continue to enhance early collaboration with respect to all required reports to ensure fulsome and comprehensive reporting. For information on collaborative efforts to implement the SEC's *Affirmative Action Plan for Persons with Disabilities*, see Part J.

OEEO will continue to coordinate with OHR on these efforts, in line with areas for study and/or opportunities identified through its barrier analysis work, and will contribute an OEEO perspective to future SEC recruitment strategies.

Compliance Indicator C.5—Following a finding of discrimination, the Agency explores whether it should take a disciplinary action.

The SEC's EEO Policy Statement sets forth its commitment to maintaining a work environment that is free of discrimination, harassment, and retaliation. On February 10, 2020, the SEC implemented revised *SEC Administrative Regulation 6-20, Disciplinary and Adverse Actions*. The regulation sets forth policies and principles for taking disciplinary and adverse actions with respect to bargaining unit and non-bargaining unit employees. The process and procedures covering SEC disciplinary and adverse actions are incorporated by reference in the CBA between the SEC and NTEU. Consistent with 5 U.S.C. §§ 7503(a) & 7513(a), the SEC's CBA explains that adverse actions are taken "for such cause as will promote the efficiency of the service." The Agency does not have a Table of Penalties and uses progressive discipline when appropriate.

In FY 2021, there were no findings of discrimination. In the event of a finding, and as required by Section 342(a)(3) of the Dodd-Frank Act, OEEO would coordinate with the OMWI Director regarding the design and implementation of any appropriate remedies and relief in accordance with subpart E of 29 C.F.R. § 1614. Where appropriate and permissible, OEEO also would share findings—and/or related necessary policy or practice changes—with other relevant staff. SEC personnel may also learn about findings through posted notices and appropriate discussions in trainings. In sharing such information, OEEO would seek to share lessons learned to avoid additional future violations. In all instances, the Agency would take care to keep identities of personnel involved confidential to the extent required by law.

In certain cases where conduct is found not to be unlawful, but nonetheless problematic, the OEEO Director or designee is also prepared to recommend particular improvements or corrections. OEEO provides specific feedback, as appropriate, to SEC officials with oversight responsibilities for the involved program or team/employee to improve EEO knowledge, management practices, and share lessons learned. This type of technical assistance is provided on a need-to-know basis, only after (a) carefully evaluating the propriety of giving feedback, (b) redacting information to maintain confidentiality where possible and as required by law, and (c) determining that such information can be shared with officials consistent with OEEO's role as a neutral.

Compliance Indicator C.6—The EEO office advises managers/supervisors on EEO matters.

At the same time that the SEC holds managers and supervisors accountable for inappropriate EEO-related conduct, it also invests significant effort into equipping them proactively with information to avoid pitfalls altogether.

The recently-enhanced OEEO intranet page, the newly-launched EEO Resource Center, SEC's public website, and posters throughout SEC facilities invite all managers, supervisors, and employees to contact OEEO. OEEO expressly makes clear that OGC provides legal advice to management on EEO matters, and that OEEO personnel are readily available to provide technical assistance and EEO Program-related information, and do so frequently when contacted directly or through generic email accounts.

During FY 2021, the SEC engaged in numerous actions to promote transparency of its EEO Program, including, but not limited to, the following:

- Pursuant to EEOC's MD-715, the SEC made progress towards finalizing two barrier analyses; formally transitioned one analysis on female accountants for management action; briefed relevant managers on analytic work; and continued work on monitoring actions and evaluation based on prior barrier analysis work.
- Consistent with EEOC regulations and MD-110, the EEO compliance program provided timely counseling, alternative dispute resolution, investigation, and final adjudication processes³ to individuals raising complaints of discrimination, including orienting participants (including supervisors and managers) to the federal sector process and rights and responsibilities.
- The SEC posted EEO complaint processing data on its public website, consistent with the No FEAR Act, and informed new employees of their rights and remedies under antidiscrimination laws and whistleblower protection laws within 90 days of their appointment.
- OEEO offers education, upon request, regarding conduct that could be viewed as inappropriate in the workplace to raise awareness and to support civility and professionalism in the workplace.
- OEEO continued to offer EEO briefings to new and/or newly-promoted supervisors within weeks of starting their positions to equip these new leaders with practical tips regarding EEO compliance and points of contact to assist them before more formal training is available.

3 The timeframe for issuing a final agency decision was exceeded in one conflict case that was processed by a third party.

Essential Element D: Proactive Prevention of Unlawful Discrimination

This element requires that the Agency make early efforts to prevent discrimination and to identify and eliminate barriers to equal employment opportunity. According to MD-715:

Agencies have an ongoing obligation to prevent discrimination on the bases of race, color, national origin, religion, sex, age, reprisal and disability, and eliminate barriers that impede free and open competition in the workplace. As part of this on-going obligation, agencies must conduct a self-assessment on at least an annual basis to monitor progress, identify areas where barriers may operate to exclude certain groups, and develop strategic plans to eliminate identified barriers.

Compliance Indicator D.1—The Agency conducts a reasonable assessment to monitor progress towards achieving equal employment opportunity throughout the year.

OEEO's dedicated Barrier Analysis Team (BAT) continued to lead SEC efforts to identify triggers, investigate barriers, and offer opportunities for management to adopt corrective action plans (as needed) on a year-round basis. BAT work was performed on a day-to-day basis by an Industrial/Organizational Psychologist, a Senior Counsel, and a data scientist who coordinate with OEEO management, OHR personnel, and Division/Office staff who are necessary partners in conducting effective analyses. BAT work is also supported by contractors who have expertise in data analytics.

Compliance Indicator D.2—The Agency identifies areas where barriers may exclude EEO groups.

The SEC continued to conduct research that helps to identify barriers (if any) and areas of improvement to EEO for specific segments of the workforce and applicants. Research into barriers was conducted using EEOC's recommended methodologies and by applying best practices in social science and Industrial/Organizational psychology. OEEO conducted barrier analyses throughout the fiscal year using data sources to identify triggers, collecting qualitative and quantitative data, conducting analyses, incorporating social science and legal research related to areas of study, and synthesizing results from a variety of sources to identify and share practical opportunities for action with decision makers. It made significant progress on a number of barrier analysis studies in FY 2021:

- OEEO concluded studies related to female accountants and male attorneys. OEEO transitioned the results of the study on female accountants for management action, and management officials identified specific actions to take in FY 2022 to improve equality for this demographic group.

- OEE0 continued to monitor and evaluate actions taken based on prior barrier analyses. As part of its program evaluation, OEE0 monitored actions taken by OHR in response to a prior promotions barrier analysis study that led to OHR’s policy memorandum on screening and interviewing job candidates. OEE0 shared the results of this monitoring effort with OHR which highlighted the significant value gained from OHR’s policy implementation and helped support continuous improvement in documenting the screening and interviewing process. In FY 2021, OHR revised this policy memorandum to incorporate several new enhancements that directly support fairness. The key updates include:
 - Encouraging Divisions/Offices to convene a diverse⁴ group of interviewers to serve on the interview panel;
 - Requiring a minimum of three interviewers in the first round interview panel;
 - Requiring each interview panel to include a panelist from outside the hiring Division/Office in an effort to promote objectivity and consideration of diverse perspectives; and
 - Requiring all supervisory interviews to include at least one question that addresses the need for SEC supervisors to support a diverse and inclusive workplace.
- OEE0 provided expert consultation on compensation practices, drawing on statistical analysis, legal research, and social scientific research literature that suggests the removal of requirements to provide salary history in paysetting or job offer negotiation may prevent historical disparities with respect to pay equity from persisting at current or future employers. In FY 2021, the SEC removed requirements to provide salary history in paysetting.
- OEE0 extended its reach externally by speaking at local area networking and professional society events, and through outreach and support of intra-agency working groups of colleagues working in federal equal employment opportunity.
- OEE0 began development of a barrier analysis research agenda. Planning includes, *inter alia*, obtaining input from various stakeholder groups to gather their insight and perspective on areas of interest/concern in order to generate potential ideas for the research agenda.

⁴ Diversity is defined broadly and refers to the range of similarities and differences across a set of panelists, including diversity of background, thought, and experience.

A description of the work on specific barrier analysis studies follows.

a. Barrier Analysis Study: Analyses of discretionary cash and time-off awards

During FY 2021, in response to OEEEO's recommendations on discretionary cash and time-off awards, Agency leadership, under the direction of the COO, initiated management action toward improvement in areas of awards distribution, including improved leadership-focused guidance and reporting on awards distribution throughout the year. As reflected in Compliance Indicator C.4 above, OHR developed and implemented a Recognition Dashboard to provide greater visibility on the distribution of awards and offers supervisors and leaders aggregated information about awards received by their team members, with breakdowns by award type, occupation and grade level, and employee demographics. Leaders are encouraged to monitor their distribution throughout the year and at minimum quarterly. OEEEO participated in user testing of the dashboard built on Microstrategy technology.

OHR also conducted an internal assessment of SEC's recognition programs which identified key areas of strength as well as areas of opportunity for improvement. OHR established an action plan to address areas for improvement and is partnering with OEEEO, OMWI, and other stakeholders as it implements enhancements to the SEC's recognition program.

b. Barrier Analysis Study: Analysis of the accountant occupation

In FY 2020, OEEEO enhanced its qualitative research on the accountant occupation by conducting focus group discussions with incumbents serving in the accountant occupation in close coordination with OHR and Union representation. Subsequently, in FY 2021, OEEEO finalized the study focused on female accountants and conducted leadership briefings for OHR, OMWI, Labor Relations, the COO, and the Operations Steering Committee to share study results and recommendations for management action to enhance the career development and progression of female accountants at the Agency. OEEEO received responsive actions that Division and Office leadership will take in FY 2022 to address the recommendations emanating from this study. Additional information about this study is included in *Part I* of this report, *infra*. The study is now closed.

c. Barrier Analysis Study: Analysis of the attorney occupation

In FY 2021, OEEEO finalized a research study begun several years ago into the participation of men in the attorney occupation (the occupation with the largest employee population at the SEC). OEEEO conducted additional regression analysis on the separation of attorneys, and data analysis related to the promotion of attorneys, and did not identify any SEC policy, practice, or procedure that created barriers to equality of opportunity for male attorneys. Additional information about this study is included in *Part I* of this report, *infra*. This study is now closed.

Compliance Indicator D.3—The Agency establishes appropriate action plans to remove identified barriers.

OEEO's careful analysis, and synthesis of research results provides a strong, data-driven basis for Agency efforts to further its affirmative employment program. OEEO shares research results and encourages concrete, measurable actions management can take for further improvement. Pursuant to the framework that OEEO implemented with the SEC's COO the previous year to transition barrier analysis studies for management action:

- The COO and other relevant management officials provided SEC management's written response to an analysis no later than 60 days after receipt, including identifying the actions that the SEC intends to take, the timeline for taking the action, and a method of tracking and reporting on the actions management takes.
- The COO, relevant management officials, and OEEO leadership met three times in FY 2021 to discuss the status of the SEC management's action planning. These meetings also served as an opportunity for OEEO and SEC management to assess any observable impacts and engage in additional consultation.
- On October 29, 2021, the COO provided OEEO and the Chair's Office with the required annual report discussing the status of SEC management's actions and action planning that relate to OEEO's analyses and recommendations.

This framework provides the means not only for action planning, but also for the monitoring necessary to ensure accountability. Meetings pursuant to this framework have been positive and add transparency and rigor in addressing the results of the barrier analysis studies.

Compliance Indicator D.4—The Agency has an affirmative action plan for people with disabilities, including those with targeted disabilities.

The SEC has an EEOC-approved affirmative action plan for persons with disabilities. OEEO has applied its research approach to support and assess progress under the *SEC's Affirmative Action Plan for Persons with Disabilities* as well as encouraged the SEC to align objectives in the affirmative action plan with its overall recruitment strategy. *See Part J of this report for a full discussion.*

Essential Element E: Efficiency

According to the MD-715 instructions, “[t]his element requires the Agency head to ensure that there are effective systems for evaluating the impact and effectiveness of the Agency’s EEO programs and an efficient and fair dispute resolution process.”

Compliance Indicator E.1—The Agency maintains an efficient, fair, and impartial complaint resolution process.

The SEC continues to follow the requirements, standards, and practices in Part 1614 and has developed additional tools to promote uniformity and efficiency in complaint-program activities. These resources help facilitate consistent and timely processing of EEO matters. OEEO continued to make enhancements to the complaints program in FY 2021, including, for example:

- Creating a new Formal Complaint Form to align with current legal requirements and 508 accessibility requirements;
- Creating templates for Final Agency Decisions and Final Agency Orders;
- Updating a witness notification to include sanctions language pursuant to 29 C.F.R. Part 1614;
- Revising acceptance letter templates to eliminate redundancies;
- Updating the EEO Intake Form to include a process to identify cases for ADR earlier;
- Enhancing quality control of data entry for complaints tracking to be consistent with EEOC guidance; and
- Working to secure additional federal agencies with whom to partner for processing of complaints deemed “conflicts” for OEEO to process.

In FY 2021, OEEO processed 22 informal complaints under Part 1614. Ten informal complaints were timely processed utilizing traditional counselings. Twelve informal complaints were processed through the SEC’s ADR (*Conflict-to-Resolution*) program and were timely completed within 90 days. In each of the informal complaints, the Agency provided the regulatory-required notification to individuals of their various rights and responsibilities in the EEO process. This information was provided verbally during the initial intake session and subsequently in writing.

In FY 2021, 15 new formal EEO complaints were filed under Part 1614—compared with 16 in FY 2020. In all new formal complaints, the Agency issued acknowledgement letters. Of the new formal complaints that were filed in FY 2021, OEEO generally issued all Acceptance letters/Dismissal decisions within a reasonable time (e.g., 60 days) after receipt of the written EEO counselor’s report.

In FY 2021, OEEO conducted investigations of formal EEO complaints in a timely fashion. Of the 16 investigations completed during FY 2021, all were timely. OEEO provides complainants with the regulatory-required “180-day letter” if an investigation is expected to exceed 180 days. This letter notifies complainants of the date by which OEEO expects to complete the investigation and informs complainants of their right to request a hearing before an EEOC Administrative Judge or to file a lawsuit.

In FY 2021, OEEO issued four Final Agency Decisions (no discrimination found). In FY 2021, the discrimination bases alleged most frequently at the SEC were: reprisal (11), age (eight), sex (eight), disability (six), and race (five). For comparison purposes, according to the most recent EEOC report available, EEOC’s *Annual Report on the Federal Workforce for FY 2019*, Complaint Tables (EEOC’s *Annual Report*), the top five bases in complaint allegations filed for FY 2019 were reprisal/retaliation, age, disability – physical, race – Black/African American, and sex – female. In FY 2021, the issues most frequently raised at the SEC were: non-sexual harassment (eight), performance evaluation/appraisal (eight), terms/conditions of employment (seven), assignment of duties (three), and promotion/non-election (three). According to the EEOC’s *Annual Report*, the top five issues in complaint allegations were harassment—non-sexual, disciplinary action, terms and conditions of employment, promotion/non-selection, and reasonable accommodation.

As soon as OEEO receives notice that a complainant has requested an EEOC hearing before an Administrative Judge (AJ) or has filed an appeal of a final Agency action with EEOC’s OFO, OEEO uploads all documents to FedSEP (the EEOC’s online password-protected federal sector EEO portal). The SEC also timely issues Final Agency Orders following receipt of any EEOC AJ decision and the associated hearings file.

Compliance Indicator E.2—The Agency has a neutral EEO process.

OEEO carefully safeguards its neutrality and impartiality, which is critical to having an efficient and fair EEO complaint resolution process. OEEO neutrality ensures that employees and managers know that the pre-complaint and investigation stages of the Part 1614 process are not adversarial, that OEEO will compile a neutral and impartial factual record, and that, when requested, OEEO will issue a final decision assessing the facts and law to determine whether or not one or more of the applicable employment discrimination laws have been violated.

OEEO continues to emphasize its office’s independence and impartiality to ensure that all SEC staff understand the importance of OEEO independence. OEEO independence is prominent in the office’s published communications and materials, and this message is relayed on OEEO’s intranet page and in this report. OEEO staff also reiterates this message in other routine trainings and meetings.

Compliance Indicator E.3—The Agency has established and encouraged the widespread use of a fair alternative dispute resolution (ADR) program.

Consistent with MD-110 guidance, the SEC has an ADR program entitled *Conflict-to-Resolution*, or C2R, which primarily uses mediation. Under its ADR policy and the C2R program, the Commission is committed to resolving workplace disputes in an appropriate, fair, and efficient manner and to using alternative methods for resolving employment-related disputes where appropriate and feasible. The Agency's ADR Policy states that although ADR is voluntary for EEO filers, supervisors and managers must participate in good faith if a filer elects ADR and OEEO authorizes its use. The SEC recognizes that resolving issues early and expeditiously helps maintain a work environment that fosters open communication, trust, and engagement. Used properly in appropriate circumstances, ADR can provide faster, less expensive and contentious, and more productive results in eliminating workplace disputes, including claims of discrimination, harassment, and retaliation, as well as workstyle or personality conflicts that may arise. Thus, some key objectives of the C2R program include resolving workplace conflicts at an early stage if possible, improving workplace communication and morale, and creating a more efficient EEO Program.

OEEO promotes the benefits of ADR on the SEC's intranet and in training materials, including through a mandatory ADR module for supervisors and a tip sheet entitled *Top 10 Reasons to Consider ADR*. OEEO continued to provide the tip sheet to employees and management officials when ADR was approved in FY 2021. In FY 2021, OEEO continued to support a virtual structure for ADR to ensure that the ADR process remained viable in a mandatory telework environment.

The SEC allocated funding to use contract ADR professionals to resolve workplace disputes; in some instances, OEEO worked with the SEC Dispute Resolution Specialist to support facilitation efforts. Consistent with MD-110, the SEC's COO—not the responsible management official directly involved in the dispute—has settlement authority for EEO cases, including during the EEO counseling and ADR processes. OEEO works with OGC to ensure that an official with settlement authority is accessible during the dispute resolution process.

In FY 2021, OEEO processed a total of 22 informal complaints (informal complaints carried over from FY 2020 and new informal complaints initiated in FY 2021). Among these, the option to pursue ADR in lieu of traditional EEO counseling was routinely explained to counselees. Through C2R, OEEO conducted 12 mediations in FY 2021 during the informal process. One of these 12 matters (or, 8.33%) settled through the C2R process. OEEO will continue to monitor whether efforts to increase ADR participation and resolution rates are successful. In support of this goal, OEEO disseminated a new EEO Complaint dashboard in FY 2021 visualizing data to share with key stakeholders to relay trends, including ADR participation and resolution rates. This sustained focus on transparency may prompt assessment on resolution practices.

OEEEO is developing a new SEC Administrative Regulation and operating procedures for the C2R program which will be published on the Agency's internal website by the end of FY 2022.

Compliance Indicator E.4—The Agency has effective and accurate data collection systems in place to evaluate its EEO Program.

The SEC has systems in place to accurately collect, monitor, and analyze various sorts of data critical to a successful EEO Program:

- OEEEO uses the Tyler iComplaints platform to track and analyze complaint activity, including the issues and bases of the complaints, the aggrieved individuals/complainants, and the alleged responsible management officials.
- OHR uses the Department of Interior, Interior Business Center's DataMart to store employee demographic data by sex, race, national origin, and disability status. This demographic information is voluntarily supplied by employees who complete or update certain forms, including Selective Service registrations, SF-181, and SF-256.
- OHR uses USAJOBS to collect internal and external applicant flow data by sex, race, national origin, and disability status for all vacancies posted through USAJOBS.
- The harassment prevention team in OEEEO uses a SharePoint system to track incoming allegations of harassment. The system capabilities include the ability to attach relevant documents.
- OHR's Reasonable Accommodation (RA) Program uses SEC Forms 2937 and 2938 to capture, track, and analyze processing of requests for reasonable accommodation or PAS. The RA Program tracks reasonable accommodation requests and case processing timeliness efforts through Microsoft Excel.
- OMWI and OHR track and assess recruitment efforts quarterly via shared spreadsheets and similar tools.

All data collected is treated in accordance with applicable federal law and SEC policies for data protection, including, but not limited to, the Privacy Act. Offices supporting the SEC's EEO Program share information, as necessary, in order to conduct assessments and drive enhancements to equality of opportunity at the Agency.

Compliance Indicator E.5—The Agency identifies and disseminates significant trends and best practices in its EEO Program.

The SEC regularly monitors trends in its EEO Program to determine whether it is meeting its obligations under the workplace anti-discrimination laws. In preparing the Agency's No FEAR Act year-end report in FY 2021, OEEEO examined data to identify potential problems, spotted trends, and developed action plans. OEEEO staff members have gained insights that have helped improve the SEC's overall EEO Program, including the following.

- Maintaining OEEEO's independence is indispensable to safeguarding the statutory enforcement mechanisms. Not only is this independence required under federal law and EEOC requirements, but it is also vital to fostering trust that the EEO Program is (and appears) impartial and separate from other offices with potentially conflicting interests.
- Many substantive EEO concepts are complex, and new supervisors may sometimes struggle to apply complicated rules (e.g., those involving disability and anti-retaliation laws). Consistent proactive prevention of discrimination, harassment, retaliation (including whistleblower retaliation), and other prohibited personnel practices—through training and targeted technical assistance—remains vital to fostering workplace civil rights and upholding Merit System Principles.
- The federal sector EEO process itself can seem confusing to new employees, and often even to career civil servants. There are numerous, sometimes overlapping sources of legal protection (e.g., via statutes, regulations, and Executive Orders) and various related enforcement processes (e.g., the Part 1614 process, intra-agency harassment procedures, Union grievances, and Office of Special Counsel/Merit Systems Protection Board complaints). Accordingly, regular messaging reinforced through outreach can aid understanding and minimize confusion. In particular, explaining the differences between filing an EEO complaint alleging violations of federal law and reporting harassment under the SEC's harassment prevention policy is important.
- Creating collective responsibility for stopping words and conduct that could be perceived as offensive in the workplace can help improve culture and reduce EEO complaints alleging harassment. OEEEO will educate on the benefits of bystander intervention and continuing to raise awareness of perceptions in the workplace.
- Operationalizing EEO and DEIA into SEC's everyday business requires close coordination and consistent communication across various SEC Offices and stakeholders. Sharing information on these concepts spurs discussion and action.

- All organizational leaders must consider EEO and civil service protections before and while implementing new or changed policies, practices, procedures, and organizational matters that could affect the workforce. Reaching out to the OEEO Director early and often to obtain crucial input and feedback on personnel, budget, technology, and other workforce issues can help prevent potential EEO missteps and ensure EEO best practices are adopted.
- Resolving issues early and expeditiously helps maintain a work environment that fosters open communication, trust, and engagement. Used properly in appropriate circumstances, ADR can provide faster, less expensive and contentious, and more productive results in resolving workplace disputes, including claims of discrimination, harassment, and retaliation or workstyle or personality conflicts that may arise. The SEC must be open to and make reasonable efforts to settle complaints of discrimination as early as possible in, and throughout, the administrative processing of complaints.

OEEO applied the above experience defining its strategic priorities for FY 2022 and beyond. A primary focus will be implementing Goal 3 of the SEC's *Strategic Plan for Fiscal Years 2018 – 2022* (Elevate the SEC's performance by enhancing analytical capabilities and human capital development) and Initiative 3.1 (Focus on the SEC's workforce to increase capabilities, leverage shared commitment to investors, and promote diversity, inclusion, and equality of opportunity among the Agency's staff). To this end, OEEO published on the SEC's intranet a comprehensive strategic plan that aligns with the SEC's *Strategic Plan* through its five goals. In addition to implementing its new *Strategic Plan*, in FY 2021, OEEO continued daily operations including:

- Continued to process all informal and formal complaints and requests for ADR it handled in compliance with 29 C.F.R. Part 1614 and EEOC MD-110;
- Drove efforts to continue implementing the EEOC's affirmative action regulations under Section 501 of the Rehabilitation Act of 1973 and contributed expertise to a variety of Agency efforts focused on disability, including the creation of a cross-agency working group focused on advancement opportunities for employees with disabilities, leading efforts to finalize complaint procedures related to accessibility issues under Sections 504 and 508 of the Rehabilitation Act, and reviewing and commenting on the SEC's religious accommodation policy;
- Conducted ongoing barrier analyses, including monitoring action plans that effectively address identified barriers;

- Collaborated with the federal sector EEO community to share and learn best practices and innovative approaches to enhance equality of employment opportunity;
- Continued to incorporate the EEOC's Six Essential Elements of a Model EEO Program to achieve greater program effectiveness;
- Briefed senior leadership on the State of the Agency EEO Program to reaffirm support for the program, provide awareness of issues and trends (systemic or otherwise), and solicit input and commitment to strengthening the EEO Program;
- Improved accuracy of EEO complaint data;
- Leveraged internal communication channels to distribute EEO-related information and promoted communication of information and early intervention to help officials identify the issues and bases that may give rise to EEO complaints;
- Trained supervisors and managers to provide proactive approaches to resolving issues stemming from alleged violations of personnel policies and practices;
- Fostered constructive, open, continuous communication between employees and management to help resolve workplace conflicts at the earliest possible opportunity, and to ensure that employees, management officials, and persons with settlement authority understood the purpose and value of ADR;
- Increased employee awareness of EEO statutes, executive orders, and leading practices;
- Continued to collaborate with stakeholders across the Agency to analyze workforce demographic data and to foster employment opportunity for all consistent with applicable law, rules, regulations, and guidance;
- Reviewed information from employee surveys, exit interviews, focus groups, and training to identify opportunities to improve equality of opportunity at the SEC; and
- Incorporated EEO best practices gained through the SEC's coalitions with other federal agencies.

OEEO identifies and keeps abreast of significant external EEO complaint processing trends and best practices and compares SEC data with data for similar size and mission-focused agencies using existing and available government-wide federal sector reports. This concerted, sustained engagement with EEO peers and other colleagues help OEEO learn about and share EEO best practices, and implement leading practices at the SEC.

Essential Element F: Responsiveness and Legal Compliance

According to MD-715, federal agencies must:

- Ensure that they are in full compliance with the law, including EEOC regulations, orders, and other written instructions;
- Report Agency program efforts and accomplishments to EEOC and respond to EEOC directives and orders in accordance with EEOC instructions and timeframes; and
- Ensure that management fully and timely complies with final EEOC orders for corrective action and relief in EEO matters.

Compliance Indicator F.1—The Agency has processes in place to ensure timely and full compliance with EEOC Orders and settlement agreements.

The SEC has a system of management controls to ensure that its officials timely comply with all EEOC orders/directives, final Agency actions, and settlement agreements. OEEEO compliance team members are tasked with monitoring and facilitating compliance (working with OGC and other stakeholders) with all orders and directives issued by EEOC Administrative Judges and the EEOC's OFO, as well as with any final Agency action issued by OEEEO, as applicable. The SEC's OGC monitors compliance with settlement terms.

In addition, as discussed above, Senior Officers, managers, and supervisors are evaluated under the *Leading People* critical performance elements that are interpreted to require them to comply with settlements agreements and orders issued by the Agency (e.g., through OEEEO final actions, including final decisions on EEO complaints), EEOC (e.g., by AJs or by OFO on administrative appeals), and EEO-related cases from the Merit Systems Protection Board, labor arbitrators, and the Federal Labor Relations Authority. Individuals who fail to adhere to these performance standards would be held accountable accordingly through the performance management process. Relatedly, any SEC employee responsible for compliance with EEOC orders would be held accountable for poor work product and/or delays connected to compliance with such orders.

Compliance Indicator F.2—The Agency complies with the law, including EEOC regulations, management directives, orders, and other written instructions.

As a general matter, when an EEO complainant requests a hearing or files an appeal, OEEEO staff will check FedSEP regularly to ascertain whether the matter has been docketed. Regardless of docketing status, OEEEO staff will upload the complaint file as prescribed by EEOC orders and/or established regulatory timeframes for use by the EEOC (either by an EEOC AJ as part of hearing proceedings or by OFO in adjudication of an appeal).

Throughout FY 2021, the SEC timely responded and fully complied with all EEOC orders issued as part of the hearings and/or appeals process. Where necessary, the Commission promptly provides EEOC with required documentation for completing compliance with any such orders.

In any case involving an EEOC finding of discrimination that would not be the subject of an appeal by the Agency, OEEEO compliance staff would work with OGC and other necessary stakeholders to ensure timely and full compliance and to promptly provide EEOC with any required documentation substantiating such compliance.

Compliance Indicator F.3—The Agency reports to EEOC its program efforts and accomplishments.

The SEC regularly complies with regulatory requirements to submit or post the annual EEOC Form 462 Report and MD-715 Report, and quarterly and annual No FEAR Act reports. In FY 2021, all annual reports were accurate and complete and submitted early or on time. Also in FY 2021, OEEEO posted all four quarterly No FEAR Act data reports on its public website, [SEC.gov](https://www.sec.gov), on time (i.e., within 30 days after the end of each fiscal year quarter) as well as the FY 2020 *Annual No FEAR Act Report to Congress*. OEEEO also published the SEC's FY 2020 *Annual EEO Program Status Report* and FY 2020 *Affirmative Action Plan and Report for the Recruitment, Hiring, Advancement, and Retention of Persons with Disabilities* on its public website and communicated the publication of these reports to all SEC employees.

WORKFORCE ANALYSES

The SEC analyzes workforce data to identify triggers that may require further inquiry regarding whether or not barriers to equal employment opportunity based on race, ethnicity, sex, or disability exist. The next sections provide a selected analysis of workforce data by ethnicity/race and gender. *Part J, infra*, provides analyses of workforce data by disability status.

Within these workforce analyses, this report describes identified “triggers,” or observed differences in participation rates (i.e., the proportions of employees across the demographic groups) and/or inclusion rates (i.e., the proportions of a total employee group found in a particular condition). A “trigger” is a trend, difference, variance, outlier, or anomaly that suggests the need for further inquiry into a particular policy, practice, procedure, or condition. Statistics are only a starting point for analysis that must consider the totality of the circumstances.

In many cases, triggers are evidenced through comparison of workforce data to civilian labor force participation rates. The *EEO Tabulation*, produced using the 2014 – 2018 American Community Survey (ACS) data, is the most current primary external benchmark for conducting comparisons between the ethnicity/racial and sex composition of each employer's workforce to its available labor market. In January 2022, the EEOC requested that agencies utilize the 2014 – 2018 ACS

data commencing with the FY 2021 MD-715 Report. For brevity, benchmark data from the 2014 – 2018 *EEO Tabulation* is referred to as the 2018 civilian labor force (CLF) or for specific mission critical occupation (MCO) positions, the occupational civilian labor force (OCLF), in this report and accompanying workforce tables. Occupational comparisons are initially made using broad categories of civilian jobs that do not differentiate between characteristics such as industry (e.g., finance versus health care) or specialization (e.g., securities versus employment law).

The SEC's Total Workforce

At the end of FY 2021, the SEC had 4,536 employees, 4,423 permanent, and 113 temporary. Of the 4,423 permanent employees, there were 2,382 (53.85%) men, 2,041 (46.15%) women, 1,571 (35.52%) minority employees, and 2,852 (64.48%) White employees. The SEC gained a total of 222 permanent employees, 124 (55.86%) men, 98 (44.14%) women, 100 minority employees, and 122 White employees.

In FY 2021, the SEC had a separation rate of 4.68% (207 separations) of its total permanent workforce. This was an increase from recent years, in which separations were generally below 4%. The SEC aims to keep its turnover rate relatively low, i.e., below 8% per year. In FY 2021, separations among Black or African American females were higher than expected as a proportion of the SEC permanent workforce (Black or African American females represented 16.43% of separations, while they represent 10.56% of the permanent workforce). Separations for most other demographics were consistent with or lower than their proportion of the permanent workforce: of the 207 voluntary separations, 9 were Hispanic or Latino employees, 127 were White employees, and 23 were Asian employees.

Table A1 provides a comparison of the FY 2021 participation for each ethnicity/race and gender combination to the 2018 CLF. The participation of White female employees at the SEC shows the largest difference at 6.23% points below their participation in the 2018 CLF, a gap which has narrowed by 2.21% points compared to the 2010 CLF. Hispanic or Latino men and women show levels of difference that are about 3% points below their participation in the 2018 CLF (Hispanic or Latino men at -3.52% points and Hispanic or Latino women at -3.47% points). Increases in the CLF benchmarks for Hispanic or Latino males and females, of 1.65% points and 1.37% points, respectively, have caused Hispanic or Latino differences from the benchmarks to increase.

Relative to the national civilian labor force, the SEC's permanent workforce has higher participation of Asian employees, both men and women, and Black or African American women. For these groups, the participation in the SEC's permanent staff is 3.95% to 4.58% points higher than that demographic group's 2018 CLF participation. While participation in the total SEC permanent workforce for these groups is higher than in the 2018 CLF, specific analysis by occupation and pay grade is more nuanced, as described further below.

The SEC's Mission Critical Occupations (MCOs)

The SEC has five MCOs: attorney, accountant, securities compliance examiner, information technology management, and economist. Among the SEC's total permanent employees, there were 1,878 attorneys, 821 accountants, 350 securities compliance examiners, 315 information technology (IT) management employees, and 95 economists. For each MCO, selected analysis of current status in terms of participation and inclusion by SK-levels, gains through external hiring and progress through competitive promotion of men, women, and minority group members are presented below. Detailed analysis of promotion for PWD and PWTB is provided in *Part J, infra*. Background information on the analyses presented provides the reader a basis for interpreting these selected analyses.

Employee Gains and Career Progression (Table A6)

Information about employee gains from external hiring and progression through competitive promotion are relevant to assessing EEO for the Agency's MCO workforce. Detailed information on employee gains is found at workforce Table A6.

Applicant Flow Data (AFD) is an important tool used to examine the fairness and inclusiveness of recruitment efforts and career progression of the workforce. These data are available through OPM's USA Staffing® (the federal government's integrated talent acquisition system, that *inter alia*, provides data analytics such as time-to-hire metrics and applicant flow data) only for SEC vacancies posted on the federal government's official employment site, USAJOBS. Applicants apply for the posted vacancies through the USAJOBS portal. The SEC uses USAJOBS for most, but not all, of its hiring actions (although hiring into accountant and economist positions under the SEC's fellows authority and, in some cases, attorneys into the Excepted Service under 5 C.F.R. § 213.3102(d) do not require public posting through USAJOBS, the SEC does proceed with public posting for a large number of vacancies even where such is not required). In FY 2021, the SEC did not have a tool to capture and report on applicant data for hiring actions outside of USAJOBS.

Definition of Applicant Flow Data (AFD)

First, a few important notes about AFD help facilitate interpretation. Selections designated within AFD are tentative because AFD only tracks candidates who self-identified when they applied for a posted position and is comprised of only vacancies that were closed during FY 2021. AFD also shows various workforce tables regarding the demographic makeup for all applications (note that one applicant may file multiple applications for the same vacancy, and each application is counted separately) from persons who self-identified and were: (1) qualified; (2) referred; or (3) tentatively selected for vacancies posted on USAJOBS that closed during FY 2021. Various hiring process steps, beyond a tentative selection decision, may impact success in onboarding a new hire (e.g., suitability assessment or declination of offer). To help distinguish the data on hiring, the workforce data tables provide separate rows of information for all employees newly-hired and onboarded during the course of the fiscal year. Differences are observed in the demographic statistics of those selected versus those hired and brought on board.

Definition of “New Hire”

Applicants for external hiring are encouraged to voluntarily provide data on their gender, race/ethnicity, and disability as part of their USAJOBS profile. Because self-identification is not required by USAJOBS and depends on applicants’ willingness to volunteer their demographic information, all data should be interpreted with caution and should not be extrapolated from the group that voluntarily identified their demographics to the remaining applicants who did not.

In FY 2019, OPM implemented a number of actions to help agencies in their analysis of AFD. OPM: (1) made information about appointment type (permanent or temporary) available for each vacancy; (2) created a variable so that agencies can more easily identify supervisory versus non-supervisory vacancies; and (3) changed AFD so that all applications submitted by the same applicant reflect a unique identifier, providing valuable data for agencies to analyze and identify demographic trends for successful and unsuccessful applicants. These actions provide some, but not all, of the information needed to complete workforce data tables under the MD-715 2.0 design. In particular, OPM’s USA Staffing[®] system does not capture information about the interview stage of the hiring process, as such, these data are not reflected in Tables 6, 7, and 8. In addition, a system issue in the audited USA Staffing[®] results precludes the ability to distinguish which applicants were referred from those who were qualified, but not referred. As such, AFD regarding the referred stage should be interpreted with caution.

Analysis of internal competitive promotions is another area of interest in the SEC’s review of equal employment opportunity. To explore data related to promotional opportunity, comparisons are made to the composition of the SEC’s overall workforce. In particular, EEOC instructs that agencies consider the Relevant Applicant Pool (RAP) in benchmark comparisons for each occupation. The demographic profile of the RAP represents more closely an attainable standard for workforce composition as the RAP for each MCO is based on the number of employees holding a qualifying occupation series. Data on the RAP for each MCO is provided in summary level in Table A6.

Pursuant to EEOC’s instruction, internal competitive promotion data include AFD for vacancies posted for internal SEC-only and Merit Promotion (MP) consideration. Other methods of progressing to higher-graded positions are not captured. As the SEC has continued to evaluate data on competitive promotion, it has learned that candidates, including SEC employees, are less likely to self-identify their demographic information when applying for a posting. To help ensure higher quality analysis of competitive promotions within the SEC, OEEEO leverages the employee demographic data maintained by OHR in its Human Resource Information System (HRIS). To ensure data accuracy, in FY 2021, OEEEO encouraged employees to review their demographic data and update as necessary, particularly with regards to disability status. Having up-to-date employee demographic data allows OEEEO to leverage a combination of AFD and internal HRIS records when analyzing competitive promotions among SEC employees.

Employees in the competitive service across the federal government are eligible to apply for MP postings. However, the only demographic data that OEEEO is able to access and analyze for non-SEC federal employees is the AFD that these candidates voluntarily provide when applying for a MP posting. Summaries of these vacancy postings are thus restricted to AFD available through OPM's USA Staffing[®] tool.

Finally, the SEC's fellows programs are an important pathway into MCOs. In FY 2021, the SEC continued to post all fellows opportunities on USAJOBS. This enables better monitoring of demographic data on fellows for MCOs.

With this context, the following sections present available AFD for each MCO and for the SEC's senior-graded and leadership positions. These data do not reflect *all* applications—only those applications where the applicants provided demographic information.

Attorneys (Table A6)

The current workforce, including gains through external hiring and internal competitive promotion of attorneys, is presented in Table A6. In FY 2021, among the 1,878 attorneys, there were 1,012 (53.89%) men, 866 (46.11%) women, and 435 (23.16%) minority group members. SEC hired 91 attorneys and promoted 46 attorneys.

Gains, AFD for External Hiring: Attorneys (0905)

The SEC posted 44 vacancies through USAJOBS and made 33 selections for attorney positions. Of the 2,853 applications that included demographic information (self-identified applications), 1,733 (60.74%) were submitted by men, 1,120 (39.26%) by women, and 1,266 (44.37%) by minority group members. Of the 33 selectees who self-identified, 16 were men, 17 were women, and 16 were minority group members. A difference between qualified applicants (61.37%) and new hires (47.25%) ("new hires" refers to onboarded employees) was found for male applicants; this should be interpreted with caution because a number of vacancies were open, continuous postings (which do not generate demographic information in the audited AFD from USA Staffing[®] and are not included as selections in the audited AFD for the fiscal year) and only closed selections are included. Further, previous research indicates that open, continuous postings may result in a different demographic profile. However, in FY 2021, the gender profile of attorney selections implied by AFD matched the gender profile implied by attorney onboards (48.48% male in AFD vs. 47.25% male HRIS onboards). The Agency has completed an analysis on the attorney occupation, discussed further in *Part I, infra*.

Progression, AFD for Internal Progression Competitive Promotion: Attorney (0905)

The SEC received 338 applications for 43 attorney competitive promotion postings and 46 selections. Of the 338 self-identified applicants, 302 qualified for promotion, 182 men, 120 women, and 74 minority employees. Of those tentatively selected for the promotions, 22 were men, 24 were women, and 14 were minority. White males comprised 136 (45.03%) of the qualified applicants and received 14 (30.43%) of the promotions. White females comprised 92 (30.46%) of the qualified applicants and received 18 (39.13%) of the selections. A further demographic breakdown by ethnicity/race and gender of the candidates who applied for internal promotions is presented in Table A6.

Accountants (Table A6)

For accountants, their current workforce status, gains through external hiring and competitive promotion, is presented in Table A6. In FY 2021, among the 821 accountants, there were 465 (56.64%) men, 356 (43.36%) women, and 243 (29.60%) minority group members. The Agency hired 22 accountants and promoted 7.

Gains, AFD for External Hiring: Accountants (0510)

In FY 2021, the SEC received 152 self-identified applications through USAJOBS and made 4 selections for accountant positions. Of the 152 applications, 86 (56.58%) were submitted by males and 66 (43.42%) by females. A trigger with respect to selections exists when selections are below the qualified applicant pool. A trigger was found between the qualified applicant pool and selections with respect to gender overall in AFD (the qualified applicant pool was 52.34% male compared to 25.00% of selections). The HRIS data on employee onboards suggested a smaller trigger (males were 50.00% of employee onboards). Differences between qualified applicants and new hires were found for Black or African American males (4.55% new hires vs. 13.08% of qualified applicants), Black or African American females (4.55% of new hires vs. 21.50% of qualified applicants), and Asian males (4.55% of new hires vs. 9.35% of qualified applicants). Detailed demographics are reflected in Table A6.

Progression, AFD for Internal Progression Competitive Promotion: Accountant (0510)

The SEC received 78 self-identified applications for 7 internal competitive promotion postings and 7 selections. Of the 78 applications, 59 were deemed qualified (32 men, 27 women, and 30 minority employees). In FY 2021, female qualified applicants (45.76%) were above their Relevant Applicant Pool (44.08%), and females received four (57.14%) of the seven promotions. Therefore, no anomaly was found for females. However, differences between selections and qualified applicants were found for Hispanic or Latino males and females and Asian males and females. In contrast to the prior year, no anomaly was found for Black or African American males or females. The Agency has completed an analysis of competitive promotions among women in the accounting occupation, discussed further in *Part I, infra*.

A more detailed analysis of men and women who hold positions in the attorney and accountant occupations, the Agency's two largest MCOs, is presented below.

Securities Compliance Examiners (Table A6)

The current workforce and gains through competitive promotion and external hiring of securities compliance examiners is presented in Table A6. In FY 2021, among the 350 securities compliance examiners who self-identified, there were 225 (64.29%) men, 125 (35.71%) women, and 122 (34.86%) minority group members. The Agency hired 13 securities compliance examiners (9 men, 4 women, and 3 minority group members) and promoted 6.

Gains, AFD for External Hiring: Securities Compliance Examiners (1831)

In FY 2021, the SEC received 144 applications on USAJOBS, and hired 13 securities compliance examiners. There was one selectee in AFD, and 13 onboardings (AFD only reports data on postings that closed during the fiscal year, omitting open, continuous postings). Differences were found between qualified applicants and new hires for Hispanic or Latino males, Black or African American females, and Asian males and females. New hires for all other demographic groups were at, close to, or above their representation among qualified applicants. *See Table A6.*

Progression, AFD for Internal Competitive Promotion: Securities Compliance Examiner (1831)

The SEC received 122 self-identified applications for 8 postings and 6 selections reflecting the following demographics: 84 men, 38 women, and 68 minority employees. Of these 122 applications, 47 were deemed qualified (39 men, 8 women, and 22 minority employees). Differences between qualified applicants and the Relevant Applicant Pool were found for White females and Black or African American females. Differences between qualified applicants and selections were found for White females, Black or African American males, Asian females, and Hispanic or Latino males. Selections for all other demographic groups were at, close to, or above their representation among qualified applicants.

Information Technology Management (Table A6)

The current workforce and gains through external hiring and competitive promotion of information technology (IT) management employees is presented in Table A6. The Agency hired 35 employees in IT management and promoted 9.

Gains, AFD for External Hiring: Information Technology Management (2210)

In FY 2021, the SEC received 1,790 self-identified applications through USAJOBS and hired 35 information technology management specialists. Of the 1,790 applications, 78.04% were submitted by men, 21.96% by women, and 74.69% by minority employees. Differences between qualified applicants and new hires were found for Hispanic or Latino males and Black or African American males and females. New hires for all other demographic groups were at, close to, or above their representation among qualified applicants.

Progression, AFD for Competitive Promotion: Information Technology Management (2210)

The SEC received 1,026 self-identified applications (812 males and 214 females) for 14 information technology management postings and 9 selections. Of the 1,026 applications, 666 were deemed qualified. Males represented 80.48% of qualified applicants (536 applicants) and females represented 19.52% of qualified applicants (130 applicants). Differences between the proportion of qualified applicants and selections were found for women (all race/ethnicity groups), Hispanic or Latino males, Black or African American males, and Asian males. Table A6 reflects the demographic breakdown.

Economists (Table A6)

The current workforce of economists is presented in Table A6. In FY 2021, among the 95 economists at the SEC, there were 65 (68.42%) men, 30 (31.58%) women, and 32 (33.68%) minority group members. In FY 2021, the Agency hired six economists and promoted two economists.

Gains, AFD for External Hiring: Economists (0110)

In FY 2021, the SEC received 376 self-identified applications through USAJOBS, selected 7 economists and onboarded 6 economists. Of the 376 self-identified applications, 69.68% were submitted by men, 30.32% by women, and 55.05% by minority group members. The Agency hired 2 Hispanic or Latino males, two White males, one Black or African American male, and one Asian female. Table A6 reflects the demographic breakdown.

Progression, AFD for Competitive Promotion: Economists (0110)

The SEC received 33 applications for 3 postings and 2 selections. Differences between the Relevant Applicant Pool (all economists at one grade below the vacancy) and qualified applicants were found for Black or African American males and Asian females. Of 14 White male applicants who applied, 11 were deemed qualified, and 2 of these qualified applicants were selected. Given the small number of qualified applicants from other demographic groups (three women and five minority employees) and total selections (two), it is impossible to draw meaningful conclusions about the selection phase from these data. Table A6 reflects the demographic breakdown.

Detailed Workforce Analysis for Attorneys and Accountants

Accountants and attorneys comprised 61.02% of the SEC's total permanent workforce. Male and female SEC accountants and attorneys participated at levels at, close to, or above their benchmark in their respective occupations in the civilian labor force, or OCLF, except for the demographic groups of female accountants and male attorneys as shown in Table A6. Females represented 43.36% of the SEC's accountant workforce compared to an OCLF that is 61.03% female. Males represented 53.89% of SEC attorneys compared to an OCLF that is 62.64% male. These differences have been studied as part of the Agency's barrier analysis program.

The barrier analysis of the accountant occupation that was concluded in FY 2021 found that differences are driven by the application phase of the promotions process. White females were less likely than males to apply for promotion multiple times, which was shown to increase promotion success, and declining promotion opportunities for accountants had an impact on the upward mobility of women in accountant positions. Some had switched to other occupational series (often examiner) in which promotion opportunities were less scarce relative to the size of the occupational workforce. There was also a hesitancy to apply for SK-15 positions among female accountants, which was tied to a widespread perception that alternative work schedules and expanded telework are less frequently accepted in supervisory roles. Finally, an earlier barrier analysis on female new hires in three MCOs found that the OCLF for accountants varies significantly by salary level, with a significant portion of accountants at lower salary levels working seasonal jobs. The SEC tends to hire from the higher segment of the salary distribution, which is more male than the overall accountant occupation. The OCLF for accountants is about 57% male in positions earning \$90,000 or more, which was a smaller difference between the SEC's gender distribution and the gender distribution of accountants in the national workforce than observed when including accountants in occupations earning below \$90,000.

The barrier analysis of the attorney occupation (concluded in FY 2021) found that separations explained the greater part of the SEC's gender difference from the attorney OCLF with respect to males. Female attorneys separated from the SEC at lower rates than male attorneys, with family and work-life balance factors having a larger impact on female attorneys' decision-making than male attorneys' decision-making. These factors were most relevant when considering shifts to the private sector. Male attorneys more frequently pursued post-SEC opportunities in the private sector.

Detailed Workforce Analysis of Promotions for Examiners and IT Management

Examiners and IT Management are two of the fastest growing MCOs. From FY 2011 through FY 2021, the examiner occupation increased 90.22% from 184 positions to 350 positions. Over the same timeframe, the IT Management occupation increased 64.06% from 192 positions to 315 positions. In FY 2021, promotions within these two occupations demonstrated triggers.

For example, among examiners, qualified applicants for promotion were roughly 10 or more percentage points below expected (the Relevant Applicant Pool) for White females and Black or African American females. Other demographic groups were at or close to their Relevant Applicant Pools with respect to qualified applicants. The SEC made six selections for promotion among examiners; none were female and one was from a minority group (16.67%).

Assessing the IT Management occupation has added complexity because the IT Management Occupation within the American economy is heavily male (70.73% male; 29.27% female). However, promotion applications from women were six percentage points below the Relevant Applicant Pool, and no women were selected for promotion. In addition, there were 471 minority applicants who reached the qualified stage, which comprised 70.72% of the qualified applicant pool. Three of the nine selections for promotion were minority employees, a participation rate of 33.33% of selections, which was 37.39 percentage points below the qualified applicant pool.

Senior Grade Levels from SK-13 to Senior Officer

The SEC conducts analysis on the participation of men, women, and minority group employees at various grade levels to understand equality of employment opportunity in the Agency's career progression. Specifically, the SEC reviewed the participation of men, women, and minority group members within the Agency's grade levels equivalent to the senior grades in the General Schedule and Senior Executive Service. The SEC crosswalks its alternative pay plan's senior grade levels to the General Schedule according to the following equivalencies: SES = SO and EX; GS-15 = SK-15, SK-17, AL-02, and AL-01; GS-14 = SK-14, SK-16, and AL-03; GS-13 = SK-13. The current status, including gains through external hiring and internal competitive promotion, in senior grade levels is presented in Table A7. This section describes the results of those analyses by ethnicity/race and gender. Analysis of career progression for persons with disabilities is described in *Part J, infra*.

To evaluate EEO for the current status and internal competitive promotion into senior grades at the SEC, unlike what was done for current status of the total workforce and for each MCO, comparisons are made to the composition of the SEC's overall workforce. In particular, EEOC instructs that agencies consider two comparators when evaluating participation in and promotional opportunity to their senior-graded or supervisory and management workforce: the Relevant Applicant Pool and the Upward Mobility Benchmark. Inclusion rates are considered for these populations to assess whether employee groups are distributed in senior-graded and leadership level positions at rates similar to the overall population.

Among senior grades as a whole, 43.43% of the positions are held by women and 56.57% by men. In comparison, the workforce comprising the Upward Mobility Benchmark is 45.15% women and 54.85% men. Minority group members hold 32.12% of positions in senior grades as compared to 33.97% of employees participating in the Upward Mobility Benchmark. Additional detail comparing the workforce composition of senior-graded and leadership positions is found in the next section. *See Table A7.*

As was true for MCO positions, a review of AFD for senior-graded and leadership level positions helps uncover the Agency's success in attracting, recruiting, and hiring talent. Table A7 summarizes AFD for external hiring and internal promotion aggregated across all senior-graded positions. Data are presented on the ethnicity/race and gender of the applications submitted by, deemed minimally qualified for, referred for consideration, tentatively selected, and onboarded for senior grade level positions.

Gains, AFD for External Hiring: Senior-Graded Positions

In FY 2021, the SEC received 5,698 self-identified applications through USAJOBS and hired 183 employees for senior-graded positions. Of the 5,698 applications, the diversity demographics were 64.37% men, 35.63% women, and 56.41% minority. Across the hiring phases, women's participation among qualified and referred candidates remained similar to their participation in the applicant pool. However, a larger proportion of women (48.44%) were selected for senior grade level positions than expected compared to their rate of qualification (34.76%).

Among the 183 external applicants who were eventually onboarded in FY 2021, 106 (57.92%) were men and 77 (42.08%) were women. *See Table A7.*

In general, the participation of minority group members, unlike the participation of women, declined across the hiring phases. Minority group members represented 56.41% of the self-identified external applicants, 55.61% of qualified applicants, and 42.63% of new hires. New hires were two to six percentage points below qualified applicants among Hispanic or Latino applicants, Black or African American applicants, and Asian male applicants.

Progression, AFD for Internal Competitive Promotion: Senior Grade Promotions

The SEC received 5,354 self-identified applications for 131 senior grade level postings, and 112 selections. The applications reflected that 58.54% were submitted by men, 41.46% by women, and 67.22% by minority candidates. White female and White male employees applied for promotions among senior grades at rates below their respective Upward Mobility Benchmark. White male employees were 22.13% of applicants, compared to an Upward Mobility Benchmark of 40.25%; and White female employees were 10.65% of applicants, compared to an Upward Mobility Benchmark of 25.79%. In contrast, selections were significantly above the percentage of qualified applicants for White male and White female employees. White male employees were 33.93% (38) of selections for promotion, and 24.48% (754) of qualified applicants; White female employees were 23.21% (26) of promotions, and 10.68% (329) of qualified applicants.

Similar to the decline as applicants moved through the hiring phases with respect to external hiring, 67.22% of self-identified internal competitive promotion applicants were minority employees. Their participation in the qualified applicant pool was 64.84% and 69.35% among referred applicants; 42.86% (48) of the candidates tentatively selected for promotion were minority employees. This result seems attributable to an 8 percentage point difference between selections and the qualified applicant pool among Black or African American males (7.14% of selections, 15.68% of qualified applicants), which is less than the 10 percentage point difference observed the previous year in FY 2020; and a 6 percentage point difference between selections and the qualified applicant pool for Asian males (6.25% of selections; 12.56% of qualified applicants). In FY 2021, the difference between selections and qualified applicants for Black or African American females declined to 3.52% (15.18% of selections; 18.70% of qualified applicants), down from a gap of seven percentage points in FY 2020 (12.26% of selections, 19.67% of qualified applicants). Table A7 reflects the demographic breakdown.

Notably, in FY 2021, the Agency examined its policies on the formation of interview panels, which applies to all selection panels, with policy changes to be implemented in FY 2022. These changes include measures to increase cross-office participation on interview panels, establish a minimum threshold for the number of interviewers, and require interviews for supervisory positions to include at least one candidate question that addresses the need for SEC supervisors to support a diverse and inclusive workplace.

Supervisors, Managers, and Executives

In light of the critical importance of leadership to the Agency and to the workplace experience for employees across the organization, the following provides analysis of the workforce in the SEC's leadership ranks, including evaluation of equal employment opportunity for career mobility among ethnic/racial and gender groups. The current status, gains through external hiring, and competitive promotion in three leadership levels for supervisor, manager, and executive is presented in Table A8. This section summarizes results from those analyses.

To understand these data, reviews of the relevant applicant pools or feeder positions and Upward Mobility Benchmarks are made. Upward Mobility Benchmarks are reference points defining the proportion of a demographic group that one would expect to reach senior positions, based on their occupations. The SEC offers the opportunity for employees in any occupation to be promoted to the first level supervisor, the SK-17 manager level, or the Senior Officer executive level. The Leadership Upward Mobility Benchmark provides a useful comparison for the demographic composition of leadership because that benchmark includes those occupations where a career path to leadership

is established. The Leadership Upward Mobility Benchmark includes all employees serving in occupations for which the Agency has established career paths to the SO ranks, without regard to SK-level. It includes only employees within occupations held by at least two percent (2%) of SOs. This includes the Attorney (0905), Accountant (0510), Securities Compliance Examiner (1831), IT Management (2210), Economist (0110), Miscellaneous Administration and Program Series (0301), and Program Management Series (0340) occupations.

Table A8 provides selected workforce analysis for supervisor, manager, and executive positions by ethnicity/race and gender. Similar to the data presented for each MCO, at each leadership level, data include the current status as of the end of the fiscal year, gains through external hiring, and progression through internal competitive promotion during the reporting period. Analysis of career progression to leadership for persons with disabilities is described in *Part J, infra*.

A summary of Table A8 shows that among supervisory and managerial levels as a whole, 39.05% of positions are held by women, 60.95% by men, and 26.65% by minority employees. In comparison, the workforce comprising the Leadership Upward Mobility Benchmark is 44.17% female, 55.83% male, and 31.95% minority. Additional detail comparing the workforce composition of senior-graded and leadership positions is found in Table A8.

Detailed Analysis of Current Status and Trends over Time in the SO ranks

The representation of women among SOs continued to trend upward. The participation of women among SOs was higher than the representation of women among Senior Executives in the federal workforce. According to OPM's FedScope, in FY 2021, women made up 37.85% of Senior Executives in the federal workforce, compared to 45.65% among the SEC's SO population.

As of the end of FY 2021, the proportion of minority SOs at the SEC remained below the FY 2021 participation rate of 24.16% among Senior Executive positions in the federal workforce. Since FY 2016, the participation rate of minority employees among SOs increased from 13.38% to 18.11%. From FY 2016 to FY 2021, the number of permanent staff Black or African American SOs increased from 7 to 11, while the combined number of Asian SOs, Hispanic or Latino SOs, and those in other race/ethnicity groups increased from 12 to 14.

As was true for MCO positions, a review of AFD for leadership levels helps explore the Agency's success in attracting, recruiting, and hiring talent in its leadership ranks. Table A8 summarizes AFD for external hiring and internal promotion across leadership positions at the executive, manager, and supervisory levels.

Gains, AFD for External Hiring: Leadership Levels

In FY 2021, the SEC received 917 self-identified applications through USAJOBS and made 18 new hires for supervisory positions across all levels. Among the applicants were 647 (70.56%) men and 270 (29.44%) women. Nine men, nine women, and eight minority group members were hired for managerial or supervisory positions. In FY 2021, a trend observed in previous years continued in which the male proportion of new hire selections for leadership positions was lower than the qualified applicant pool. Males were 73.82% of qualified applicants for leadership positions, but 30.77% of selections, a difference of 43.05 percentage points. This difference was a decline from the 53.51 percentage point difference between male qualified applicants and selections observed in FY 2020.

A trend was observed for Hispanic or Latino males, Black or African American males, and Asian males. Forty Hispanic or Latino males, 114 Black or African American males, and 118 Asian males reached the qualified stage for leadership positions. No Hispanic or Latino males, no Black or African American males, and one Asian male was selected as a new hire for a leadership position. These data should be considered with the caveat that Applicant Flow Data do not cover open, continuous postings; HRIS data covering onboarded employees that do include the results of open, continuous postings showed the same results for Black or African American males and Asian males.

Table A8 provides the demographics of the individuals who applied and self-identified for leadership positions, those who qualified, and the applicants who were tentatively selected.

Progression, AFD for Internal Competitive Promotion: Leadership Levels

The SEC received 1,850 self-identified applications (66.43% from men, 33.57% from women, and 62.11% from minority employees) for 55 postings and 45 selections for supervisory or managerial positions.

As was shown in the senior grade level positions, women's participation among applicants who applied, qualified, were referred, and were selected for promotion progressively increased from 32.67% of the qualified applicant pool to 48.89% of those tentatively selected for promotion.

Minority group member participation declined from 59.45% of the qualified applicant pool to 37.78% of those tentatively selected for promotion, an increase in the difference between the qualified and selected stages by 3.9 percentage points compared to FY 2020 for minority employees (when minority employees were 49.84% of qualified applicants, and 32.08% of selections). There were differences between qualified applicants and selections for promotion to managerial or supervisory positions for Black or African American males, who represented 204 of the qualified applicants (16.92%) and 3 selections (6.67%), and Hispanic or Latino males, who represented 84 of the qualified applicants (6.97%) and 1 selection (2.22%). Table A8 reflects the demographic breakdown.

Additional Detail on the Workforce Analysis for Senior Leadership and Senior Grade Level Positions (Tables A4 and A8)

The FY 2021 participation rates of men, women, and minority groups differ across the SEC's supervisory and management ranks, with a notable pattern shown for women at the SK-15 first-line supervisor level, and for minority groups at the SK-16, SK-17, and SO levels, as compared to the composition of the feeder or relevant applicant pools at lower SK-levels.

Women represent 44.41% (982 employees) and men represent 55.59% (1,229 employees) at the GS-14 equivalent level. Among SK-15 first level supervisors, men make up 64.33% (220 employees) and women comprise 35.67% (122 employees) of the workforce. Participation of women was lower in this first-level supervisor position than found in other leadership levels (except for minority women); there were 1.8 times as many male SK-15 first-level supervisors as female. The participation rate of males is lower in higher leadership levels. At the highest individual contributor level, SK-16, there is greater female participation. Although SK-16 employees are usually not supervisors, they are eligible to apply for manager and executive, SO, positions. There were a total of 559 permanent SK-16 employees in FY 2021; men accounted for 61.36% (343) and women accounted for 38.64% (216) of this level's workforce composition.

The participation rates of men and women at the SK-17 manager level were distributed relatively similarly to the SK-16 employees. There were a total of 386 managers of whom 61.40% were men (237 employees) and 38.60% were women (149 employees). Within the total of 138 SOs, 54.35% are men (75 employees) and 45.65% are women (63 employees).

The participation rates for minority groups were lowest at the SK-16, SK-17, and SO levels, but the pattern of decline in the feeder pools varied for each minority group. Participation rates for Black or African American women are highest in the feeder pool for SK-13 positions, and decrease at each successive grade up to the SO level. The participation rate for Black or African American women begins at 41.18% at the SK-12 level, declines to 24.33% at the SK-13 level, and 6.11% at the SK-14 level. There is a slight increase at the SK-15 (typically first-line supervisor) level (7.69%), and a decrease to 2.86% of SK-16 individual contributors, and 4.90% of SK-17 managers. Black or African American women are 5.80% of SOs, an increase of two SOs from six to eight compared to FY 2020.

Similarly, the participation rate for Black or African American men begins at 9.95% at the SK-12 level, stays flat at 9.36% at the SK-13 level, and declines to 4.30% at the SK-14 level. There is an increase at the SK-15 level (4.40%), and a decrease to 3.40% of SK-16 individual contributors, and 1.80% of SK-17 managers. In contrast to Black or African American females, there was no change in the number of Black or African American male SOs compared to FY 2020 (three SOs, 2.17%).

Participation rates for Hispanic or Latino women are 5.43% at the SK-12 level, and decrease to 3.74% at the SK-13 level, 2.94% at the SK-14 level, 1.37% at the SK-15 level, 1.25% at the SK-16 level, 0.77% at the SK-17 level, and 0.00% at the SO level. Hispanic males were different from their participation in the permanent workforce (3.30%) at the SK-16 level (1.61%). They were at or near their participation in the permanent workforce at the other senior grades.

Asian men were below their participation in the permanent workforce at the SO level. Asian men represented 0.72% of SOs, though they ranged from 5.67% to 8.79% in the feeder grades for SO positions (SK-14 through SK-17). A similar pattern emerged for Asian women. Asian women represented 2.90% of SOs, though they ranged from 4.40% to 8.05% in the feeder grades for SO positions. *See Tables A4P and A8.*

Leadership Development Programs

The Agency has evaluated selection data for its leadership development programs, including the *Excellence in Government Fellows Program*, the *Aspiring Leaders Program*, and the *Women in Leadership Program*. While these programs do not lead to the expectation of achieving placement at a specific grade (a criterion for inclusion in the MD-715 Workforce Data Tables), they do contribute to the pool of employees who may potentially apply for and be considered for leadership positions in the future. Data for these leadership programs have been consolidated into the “Other Career Development Programs” category in *Part J*. Among 114 selectees for these 3 leadership development programs, the inclusion rate for White males was 2.04% (36) and 3.26% (38) for White females. Black or African American males (1.38%, three) and Asian males (1.01%, three) had lower inclusion rates than White males. Hispanic or Latino males and females, Black or African American females, and Asian females had inclusion rates at or above those of White males.

Employee Recognition and Awards

In addition to analyzing workforce statistics, the SEC analyzes data on the distribution of discretionary cash and time-off awards to understand equal employment opportunity based on race, ethnicity, sex, and disability in these programs. Data presented on the distribution of discretionary awards for this report has been refined to more closely examine discretionary awards of higher value. In the analysis below, data have been summarized to align with the SEC’s Employee Recognition Program.

The SEC’s Employee Recognition Program has defined two types of discretionary cash awards, *On the Spot Awards*, with a maximum limit of \$1,000, and *Special Act Awards*, with an approval limit delegated to Division and Office leadership up to \$3,000. *Special Act Awards* between \$3,000 and \$10,000 require additional approval by the COO or the Chair. Similarly, time-off awards of at least 40 hours are subject to that same additional approval. In FY 2021, no discretionary time-off awards greater than 40 hours were distributed.

In consideration of these process differences, data for discretionary cash and time off-awards in this section are summarized by collapsing across Table A9 categories. Data for two categories of time-off awards are described: up to 10 hours, and 11 – 40 hours. Cash awards are summarized in five categories: \$500 and under; \$501 – \$999; \$1,000 – \$1,999; \$2,000 – \$2,999; and \$3,000 or more. For ease of interpretation, the summary level data are presented in the section below by ethnicity/race and gender. Summary analysis of awards by disability status are presented in *Part J, infra*.

Time-Off Awards Summary by Ethnicity/Race and Gender

Women were more likely than men to receive both low value (less than 10 hours) and high value (more than 10 hours) time-off awards. The inclusion rates for low value awards were 21.70% for males and 26.65% for females. The inclusion rates for high value time-off awards were 21.54% for males and 24.45% for females. With the exception of Asian males (who were two percentage points below baseline for higher value time-off awards), all minority groups were about as likely to receive a time-off award as the baseline of White males.

Cash Awards Summary by Ethnicity/Race and Gender

SEC implemented a new Performance Incentive Bonus Program in FY 2021. This program was designed to reward employees who demonstrate an extraordinary and rare level of performance that significantly surpasses what would normally be expected for the employee's position, grade, series, and/or years of experience. PIB awards are generally larger than the *Special Act* and *On-the-Spot* awards that previously encompassed the Agency's Discretionary Cash and Time-Off Awards Program, with award levels of \$5,000, \$7,500, and \$10,000. Equal Employment Opportunity training for all PIB panelists and multiple layers of review are included as part of the program design. While the first cycle of PIB awards were not distributed until FY 2022, complete information on how awards decisions were made in FY 2021, with corresponding demographic results, cannot be provided until the first cycle of PIB results has been finalized. However, the Agency continues to provide demographic data on its *Special Act* and *On-the-Spot* awards programs.

For all demographic groups, the largest portion of each group received cash awards of \$1,000 – \$1,999. Inclusion rates were 38.84% for White males, and 38.34% for White females, with Hispanic or Latina females, Asian males, and Asian females at inclusion rates above that of White males, and Hispanic or Latino males (35.62%), Black or African American males (28.30%), and Black or African American females (32.33%) at inclusion rates below that of White males. Differences for minority groups were largest at cash award levels of \$2,000 – \$2,999, with White males at an inclusion rate of 11.57%, Hispanic or Latina females at an inclusion rate of 4.20%, Black or African American males at an inclusion rate of 4.25%, and Black or African American females at an inclusion rate of 5.57%. White females were at an inclusion rate of 9.98%, Asian males were at an inclusion rate of 11.15%, and Asian females were at an inclusion rate of 9.36%. Data at other cash award levels were inconclusive.

Discretionary cash and time-off awards were the focus of an Awards Barrier Analysis study conducted by OEEEO and previously reported on in prior MD-715 reports. That analysis found that organizational characteristics, such as grade and occupational series, account for some of the disparities in discretionary award distribution. At the same time, the analysis found that disparities for Black or African American employees persisted after controlling for certain organizational characteristics, and it found disparities for Asian employees after controlling for such organizational characteristics. As part of its management response to the Awards Barrier Analysis, in FY 2021, the SEC implemented an agency-wide awards monitoring system, which enables key staff to track awards distribution with respect to race, gender, disability status, and age on a quarterly basis, and enables all staff to track and monitor awards distribution short of including protected characteristics.

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

Accomplishments

The following provides an update and overview of activity completed by the SEC as part of its barrier analysis program and to correct previously-identified program deficiencies.

Action Plans Implemented

In FY 2021, OEEEO continued to advance its barrier analysis and reporting functions. As described in Compliance Indicators C.6, D.2, and D.3, *supra*, OEEEO concluded two barrier analyses (focused on the accountant and attorney occupations); briefed relevant management on analytic work; and continued work on monitoring actions and evaluation based on prior barrier analysis work.

In response to studies that were transitioned in FY 2020 for management action, management reported on actions implemented or planned for implementation to address OEEEO's recommendations to improve equality of opportunity for female applicants to MCO positions, as well as in the distribution of awards. Consistent with the agreed-upon framework, the COO, relevant management officials, and OEEEO leadership and staff met on a tri-annual basis to discuss the status of the SEC management's action planning.

Consistent with OEEEO's research-based suggestions for strong senior leadership support and modeling of disability inclusion, in early FY 2021, the SEC—through the collaborative efforts of OEEEO, OMWI, OHR, and the Disability Interests Advisory Committee—hosted a Senior Officer career panel discussion moderated by Commissioner Roisman and DIAC's executive sponsor. During this impactful session, Commissioner Roisman led a discussion with senior SEC leaders who self-identify as persons with a disability. The event included discussion of each leader's personal experiences and journey toward success, the benefits of leveraging the SEC's reasonable accommodation program, and the value of relationships and strong supportive community.

Improving the Reasonable Accommodation Program

In the second quarter of FY 2022, the SEC will issue *SECR 6-80, Reasonable Accommodation Program Administrative Regulation* and *SECOP 6-80, Reasonable Accommodation Program Operating Procedures*. Through these documents, the SEC seeks to ensure that employees and applicants know their right to receive a reasonable accommodation for disability-related limitations under the Rehabilitation Act, if needed, to perform the essential functions of their position, enjoy equal benefits and privileges of employment, and/or apply for employment at the SEC. The operational guidance further explains: (a) stakeholder responsibilities for the provision of reasonable accommodation; (b) how persons with disabilities may request accommodations; (c) how RA requests are processed and includes information about the interactive process; and (d) as applicable, how requestors may seek review of decisions when a request has been denied.

In addition, the SEC's administrative regulation and operating procedures on religious accommodation are under development. This new guidance will govern the processing and implementation of religious accommodation requests by Agency employees and applicants seeking employment at the SEC, in accordance with the requirements of Title VII of the Civil Rights Act of 1964. The guidance will be published under Religious Accommodation Administrative Regulation (SECR 6-81) and corresponding SEC Religious Accommodation Operating Procedures (SECOP 6-81) and are expected to be finalized by September 2022.

The Commission is finalizing the documents for this program internally. Once finalized, OHR will disseminate the materials and train appropriate staff on the new policy and procedures (and forms). A 508-compliant version of these documents will be posted on [SEC.gov](https://www.sec.gov), as required under Section 501 Affirmative Action Regulations, and on the internal interactive portal *AskHR* in FY 2022.

In FY 2021, the SEC met its goal of processing 100% of accommodation requests within 20 business days, the timeframe specified in the Agency's reasonable accommodation policy. However, the Agency still faced a number of challenges and identified solutions that follow. An explanation of challenges encountered and solutions identified and/or implemented to satisfactorily address this compliance requirement follows.

a. Challenges Encountered in FY 2021

The SEC anticipated implementation of *SECR 6-80, Reasonable Accommodation Program Administrative Regulation* and *SECOP 6-80, Reasonable Accommodation Program Operating Procedures* in FY 2020; however, collaborations between Agency stakeholders were delayed due to unforeseen circumstances of the pandemic. Once the program guidance is finalized and implemented, manager/supervisors, employees, and all staff with responsibilities under these procedures will be informed of the updates. The updated RA procedures will be incorporated in the mandatory new supervisor and new employee trainings, and the on-demand trainings

available in the SEC online training platform *LEAP* that will be made available to Agency employees. At least annually, an announcement goes out to the workforce regarding the reasonable and religious accommodation programs to assist managers and employees in their understanding of the SEC accommodation programs.

The SEC has also worked on identifying a case management solution to track the entry, management, and reporting of data related to requests for reasonable accommodation. The Agency intends to implement a web-based case management solution that will mitigate challenges related to tracking of current and recent cases, process reasonable accommodation requests for decision, provide a secure storage repository for RA requests and supporting medical information, and analyze processing timeliness and trend data.

b. Solutions Identified and/or Implemented

Organizationally, the Agency maintained sufficient funding to acquire and implement approved accommodations for individuals with disabilities requesting accommodations. Throughout most of FY 2021, the program was staffed with three full-time equivalent employees (FTEs) to administer the RA Program and respond to the RA Program requests. The RA Program staff includes two senior-level federal employees, one junior-level federal employee, along with the Disability Program Officer (DPO) who also manages a portfolio of other HR programs. During FY 2021, the processing timeliness for accommodation requests improved by 15 percentage points from 85% in FY 2020 to 100% in FY 2021. All accommodation requests were processed within the 20 business day timeframe.

Further, in an effort to support employees' ability to do their jobs and maintain a high level of productivity, the SEC initiated frequent consultations with medical experts at Federal Occupational and Health (FOH) to complete medical reviews of employees with a wide range of conditions. In FY 2021, FOH processed requests faster—on average within 21 business days—an improvement of three (3) business days from the average 24.3 days in FY 2020.

Through much of FY 2021, the SEC remained in a mandatory telework posture. On August 9, 2021, the SEC started its initial phase of reopening and transitioned to a maximum telework/voluntary return to the office posture for its non-essential employees. The SEC's Temporary Medical Telework (TMT) program provides temporary telework to employees with short-term medical conditions that may not constitute a covered disability under the Rehabilitation Act of 1973 when supervisory officials and the Disability Program Office determine that it is appropriate. Since the SEC continued its maximum telework posture throughout FY 2021, the RA Program office did not receive any TMT requests to process during this time period. The Agency intends to publish the revised TMT policy and related operational procedures in calendar year 2022.

In late FY 2021, the SEC procured a new automated reasonable accommodation case management solution with Tyler Technologies that will improve case management processing efficiency and data reporting. The case management system will complement the Agency's reasonable accommodation process and is expected to simplify case tracking, help identify systemic delays, improve customer service by allowing employees to request reasonable accommodations personally and privately, and allow the Agency to continue to meet timeliness standards. This case management solution will improve effectiveness by monitoring timeliness and providing notification to reasonable accommodation program staff, employees, and manager/supervisors when requests are approaching delinquent status. To advance RA Program maturity and success, system requirements analyses are expected to be completed and full design and implementation of the system, which includes finalizing RA electronic system requirements, conducting user acceptance testing, and training the SEC workforce on the new interactive processing portal is expected in calendar year 2022.

Also in FY 2021, the SEC implemented a new five-year contract vehicle with Deaf Access Solutions (DAS) for its Sign Language Interpretation Program. DAS provides enhanced interpretation solutions to include Communication Access Realtime Translation (CART) and Federal Relay Services that also provide a more diverse pool of interpreters who can provide a greater array of support services for the Deaf/Hard-of-Hearing community.

As a result of the COVID-19 public health emergency, throughout FY 2021, the Agency made incremental adjustments to its operations to include widespread telework in all offices. Prior to COVID-19 and the transition of employees to mandatory telework, SEC employees already participated in a robust telework program where 98% of the workforce had an active telework agreement. Sixty-one percent of those agreements are for recurring telework schedules and 39% are ad-hoc telework agreements. The SEC provides equipment for teleworking individuals who meet certain criteria. The SEC continued to provide equipment for all employees, to include employees with disabilities working on-site or authorized to telework, as a reasonable accommodation during this time period.

Improving Accessibility for Persons with Disabilities and Persons with Targeted Disabilities

The SEC's reasonable accommodation procedures and personal assistant services guidance remain available on its external [SEC.gov](https://www.sec.gov) website for PWD and PWTD. In late FY 2021, the SEC—through the collaborative efforts of OEEO, OMWI, OHR, and DIAC—established a dedicated adaptive technology (AT) support contract to increase assistive technology access and aid in the advancement of innovative approaches and accessible solutions for persons with disabilities seeking assistance as reasonable accommodation. Also, the OHR Talent Acquisition Group (TAG) continues to assist newly-selected employees who self-identify as a PWD/PWTD to determine the accessibility options, if any, they may need, so that solutions can be readily identified and made available when

the employees report for duty at the SEC. In FY 2021, the SEC published additional resource information for employees, supervisors, and managers on its *AskHR* portal that provides a general overview and insight into its reasonable accommodation program process. Additional information about the status of these efforts are provided in *Part J* of this report, *infra*.

Year over year, the Agency continues to improve upon current business practices to ensure all information technology is accessible to internal and external parties, as mandated by Section 508 of the Rehabilitation Act of 1973. In FY 2021, the Agency focused greater attention on accessibility in the workplace. Specifically, the Agency worked to provide consistent, dedicated, and timely support for information technology accessibility to the PWD and PWTD communities. Additionally, the Agency continues ensuring that physical work environments remain compliant with procedures under Section 504 of the Rehabilitation Act and the Architectural Barriers Act. Updates include an explanation of the Rehabilitation Act and Architectural Barriers Act, informal processes for providing feedback about accessibility of facilities and technology to the SEC, contact information and specific complaint processes for filing a formal claim related to accessibility, and additional resources for individuals to enhance their learning about reasonable accommodations. In FY 2021, the SEC developed and published on its external website an Administrative Regulation and SEC Operating Procedures setting forth the complaint process related to Sections 504 and 508 of the Rehabilitation Act, and the Architectural Barriers Act.

The SEC continues to improve upon current practices to ensure all Information and Communication Technology (ICT) is accessible to internal and external parties, as mandated by the Rehabilitation Act of 1973. The Agency's testing and validation process includes dedicated resources, testing tools, documented test processes, and a remediation process. The majority of ICT products and tools are tested before they are deployed. If a product is deemed not 508-compliant, project teams are instructed to submit a Remediation Plan indicating a plan of action or timeline in which the vendor will make the respective product 508-compliant and obtain an approval from senior management before deploying.

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

In FY 2021, the SEC conducted general training for managers and supervisors on the Rehabilitation Act, their role and responsibilities in the reasonable accommodation process to include the interactive process provision, and how to respond appropriately when an individual places them on notice of the need for reasonable accommodation. Also, on-demand Skillsoft training is available to assist managers and employees in their understanding of the reasonable and religious accommodation programs through the Agency's online training platform, *LEAP*. New managers and supervisors are required to attend scheduled training to obtain in-depth overview for the provision of reasonable accommodation. This includes disseminating program-specific information during the *New Employee Orientation* and *CLTD 307 Fundamentals of Human Resources Management* course offered by SECU.

In FY 2021, the SEC conducted two virtual *CLTD 307* trainings in addition to the course's eLearning modules which provides real-time, scenario-based specific illustrations for supervisors and managers to heighten their awareness of the: (1) Schedule A hiring authority; (2) SEC's RA Program; (3) TMT to ensure their awareness of their role in hiring and retaining employees with temporary or permanent disabilities; (4) types of requests made by employees with disabilities; and (5) roles and responsibilities with respect to the Agency's reasonable accommodation program. This training was enhanced by the Disability Program Office to ensure awareness of the SEC's RA Program process and related program guidance and regulations under the Rehabilitation Act of 1973 in the pandemic virtual environment. In-depth, situation-specific training was provided as-needed to individual managers who supervise employees with disabilities. Additional information about *CLTD 307* is provided earlier in this report, *supra*.

Moreover, refresher training course offerings are readily available for employees and managers through the Agency's *LEAP* that provides an effective overview of the Rehabilitation Act and the federal and SEC reasonable accommodation process.

Finally, each hiring manager who requests to fill a position is required to receive just-in-time training and guidance on Schedule A hiring from the assigned staffing specialist. The hiring checklist the staffing specialists use includes a Schedule A section that is discussed in-depth during the one-on-one hiring conversation. The HR specialist trains the hiring manager on the various procedures of the Schedule A hiring process and offers it as a course of action where applicable. The SEC will continue to provide training to supervisors and hiring officials to ensure that they are aware of their responsibilities with regard to hiring and supervising employees with disabilities. The training will cover restrictions on questions related to medical information, Schedule A hiring authorities, SEC's disability accommodation procedures, overlap between the Family Medical Leave Act and the Rehabilitation Act of 1973, and confidentiality requirements.

Hiring and Accommodating Individuals with Disabilities

In FY 2021, the SEC continued to take steps to improve overall disability recruitment efforts. The SEC's FY 2018 – 2019 *Recruitment Strategy* was extended into FY 2021 due to the current telework posture and to accommodate additional hiring efforts. In FY 2021, the SEC continued the following activities to support this initiative related to hiring and accommodating individuals with disabilities:

- Continued the streamlined approach to the general hiring process by filtering external hiring requests through the Selective Placement Program Coordinator (SPPC) for further review. The SPPC referred qualified applicants from the Schedule A database to hiring managers prior to or concurrently with the general staffing process.

- Attended 18 virtual career events which allowed the SEC to maintain a recruitment presence and support efforts to build a talent pool for future employment.
- Continued to distribute Schedule A recruitment materials via social media and professional organizations. The SEC hired 10 employees under the Schedule A hiring authority.
- Continued to work with selecting officials through training, meetings, and internal communications to encourage the use of special appointment authorities to recruit veterans with disabilities.
- Continued to maintain partnerships with professional organizations and partnered with various professional associations across the Agency, such as the SEC Veterans Committee and the Disability Interests Advisory Committee.
- Hosted three National Disability Employment Awareness Month celebrations. One event, *Increasing Access and Opportunity at the SEC*, was moderated by Commissioner Roisman and featured a panel of SEC senior officers who identify as persons with disabilities. Another celebration was a TED Talk featuring Haben Girma, author of “Deafblind Woman Who Conquered Harvard Law School.” The third event was a session sponsored by OHR’s WorkLife4You on “Caring for Your Older Special Needs Child.”
- The Disability Program Officer formerly served as a co-chair and member of the Disability Interests Advisory Committee, thus strengthening the partnerships with stakeholders to include SEC program offices, NTEU, OMWI, DIAC, the PWD/PWTD communities, and other Employee Affinity Groups to identify sustainable actions and improve the Agency’s Diversity and Inclusion initiatives for PWD and PWTD. These actions promote further inclusion of these communities and support their immediate and long-term needs when the Agency transitions back to a post-pandemic office environment.
- In July 2021, the DIAC hosted a membership “Meet and Greet” with Chair Gensler, demonstrating his commitment to supporting PWDs at the Commission.
- Developed and communicated guidance for accommodating Deaf and Hard-of-Hearing employees participating in virtual instructor-led courses that include video and/or breakout rooms, to include steps for Program Managers, employees, and interpreters.
- Trained all new employees on Work-Life, RA, TMT, and leave programs to ensure awareness of various solutions or flexibilities for employees.
- Established a dedicated adaptive technology support contract to increase assistive technology access and aid in the advancement of innovative approaches and accessible solutions for persons with disabilities seeking assistance as a reasonable accommodation.
- Implemented a new five-year contract vehicle with Deaf Access Solutions for its Sign Language Interpretation Program. DAS provides enhanced interpretation solutions to include Communication Access Realtime Translation and Federal Relay Services and also has the capability to provide a more diverse pool of available interpreters who can provide a greater array of support services for Deaf/Hard-of-Hearing community.

- Received and timely processed 34 RA requests.
- Continued to update OHR's interactive portal, *AskHR*, on the SEC's intranet. The site provides employees with information about hiring, compensation and benefits, employee development, performance management, and disability programs to include the provision of reasonable accommodation among a number of other topics.

Promoting Career Development and Advancement for Employees with Disabilities

In FY 2020, the EEOC conducted a technical evaluation of the SEC's EEO and Disability Programs, and recommended, *inter alia*, that the SEC take additional steps to support employees with disabilities in career development and advancement opportunities, pursuant to 29 C.F.R. § 1614.203(d)(1)(iii). The EEOC indicated that it expected the SEC to establish a comprehensive plan designed to ensure advancement opportunities for PWD, including training and mentoring programs, career development opportunities, award programs, promotions, and similar programs focused on advancement of employees with disabilities. The EEOC also recommended that the SEC ensure that a number of participants in the SEC's Mentoring Program are employees with disabilities.

In response to the EEOC's recommendation that the SEC ensure PWDs participate in the SEC's Mentoring Program, OHR reserved five (5) slots in the 2022 Mentoring Program cohort for employees with disabilities and collaborated with DIAC to communicate this opportunity to its membership.

In addition, the SEC recognized that ensuring advancement opportunities for PWD/PWTD remains an area of opportunity and has increased efforts to ensure full compliance with this regulation. In FY 2021, the SEC launched a cross-office working group comprised of SOs who are champions of disability inclusion, subject matter experts in the Offices of Human Resources, Equal Employment Opportunity, and Minority and Women Inclusion, and key members of the Disability Interests Advisory Committee. This working group began meeting in FY 2021 and, leveraging evidence-based data, made recommendations with regards to the recruitment, hiring, career development, and advancement of PWD and PWTD. The working group explored enhanced marketing of available SEC career development programs, possible tailoring of existing and developing SEC advancement-related programs, and creating new development programs tailored for employees with disabilities. The working group also explored available data related to other employment policies, practices, and processes to provide recommendations on improving the employment life cycle for individuals with disabilities.

Agency EEO, Diversity and Inclusion, and Leadership Development Accomplishments

In FY 2021, 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 previously listed above, and more specifically, in the section below.

a. Outreach and Recruitment of Diverse Talent

Under OMWI's leadership, the SEC pursues a comprehensive strategy for building and maintaining a diverse workforce and fostering an inclusive workplace culture. A key component of that strategy has been outreach and recruitment to develop and maintain pathways for diverse talent for future SEC employment. During FY 2021, the SEC coordinated, participated in, sponsored, or facilitated over 40 diversity outreach and recruitment events and distributed approximately 175 targeted job advertisements to educational organizations, institutions, and job boards to inform diverse professionals and students about job vacancies and internships.

The SEC, through collective efforts by OMWI and OHR, continued to take steps to ensure a pathways for talent in the disability and veteran community by:

- Participating in the Bender Career Fair for PWDs in July 2021;
- Serving as an interviewer for the Department of Labor's Workforce Recruitment Program;
- Continuing to leverage relationships with key organizations throughout FY 2021;
- Continuing to promote the multi-year marketing campaign entitled "*I Am the SEC*," which highlights various occupations and SEC employees who bring a range of skill sets from diverse backgrounds as a means to attract prospective candidates including veterans and people with disabilities (available at: [SEC.gov/news/sec-videos/i-am-sec](https://www.sec.gov/news/sec-videos/i-am-sec));
- Attending several disability- and veteran-focused career fairs and events;
- Streamlining the unsolicited application intake process by developing a webform that is located on the [SEC.gov](https://www.sec.gov) page to collect information from potential applicants who identify as PWD and veterans in order to non-competitively refer them for future position vacancies; and
- Strengthening partnerships with external and internal employee affinity groups, and the DIAC to bring awareness to SEC personnel regarding disability and veteran hiring initiatives.

The SEC continued to engage with the following organizations to expand its talent pool: Bender; American Association of People with Disabilities; American Association on Intellectual and Developmental Disabilities; American University Academic Support and Access Center; Campaign for Disability Employment; Deaf and Hard of Hearing Bar Association; Disability Support Services—University of Maryland; Disabled American Veterans; Disaboom; Office of Disability Employment Policy in the U.S. Department of Labor; Office of Disability Services—George Mason University; Professionals with Disabilities; U.S. Business Leadership Network; and the Workforce Recruitment Program.

b. Work-Life Programs

The SEC supports its employees and their family members through an array of work-life programs that includes the Employee Assistance Program (EAP), a fitness program, health and wellness units, an on-site child care facility, a child, adult, and elder backup care program, and various opportunities to engage with experts to obtain guidance on better managing responsibilities and life events via *WorkLife4You*. The SEC further offered a large spectrum of services to support its employees' needs and life circumstances by offering live events including: 126 webinars, 6 supervisory-only webinars, 41 health, wellness, and specialty seminars/workshops, 6 challenges, 65 meditation, and 54 stretching seminars. Additionally, the Work-Life Program issued a monthly EAP Newsletter to employees, a Quarterly EAP Newsletter to Supervisors, presented Work-Life Programs at All Hands/Division meetings to over 1,500 employees and created a Work-Life Resources Page with 6,300 visits during this time period.

c. Training and Leadership Development

The SEC provided numerous virtual opportunities for employees to acquire the skills and certifications needed to succeed in their positions and to progress in their careers. SECU 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.

SECU College of Leadership and Team Development offerings promote leadership behaviors that support OCOO's and OHR's vision to promote respect, honor the dignity of all people, develop others and cultivate the creativity, growth and diversity of thought and experience for leaders at all organizational levels. Virtual offerings during the pandemic incorporate 508-compliant content and the availability of on-demand sign language interpreters. SEC leaders can access leadership development offerings, regardless of one's learning style or location.

Compliance Indicator B.5 above provides detailed information on leadership development focused on specific levels of SEC leadership.

Career Development Programs

SEC offered the career development programs described below:

a. The C.O.R.E. Connections—Opportunity—Relationships—Equity

The SEC's CLTD launched its inaugural program in FY 2021, *C.O.R.E.* *C.O.R.E.* is a transformative professional development experience, with a focus on the unique perspectives of minority leaders at the SEC, and provides tools and techniques to increase their effectiveness, span of contributions and engagement within their function, and support their personal well-being and growth. The series equips minority leadership talent with knowledge, skills, and strategies to successfully manage their unique challenges as they strive to reach senior-level positions at the SEC while helping to drive our Agency's overall success and mission effectiveness. The series has five two-hour webinars, in which participants learn strategies for authentic and difficult conversations, managing conflict, and exploring the role that emotions play in leadership outcomes.

b. Women in Leadership Program

The *Women in Leadership Program* is offered under the auspices of the Brookings Institution. In FY 2021, Brookings did not facilitate this program due to the COVID pandemic. The SEC will participate in the Brookings program when it resumes. In its place, the CLTD will offer *Lead Forward: Leadership Development for Women at the SEC*.

c. Strategic Management of Regulatory and Enforcement Agencies Executive Leadership Program

The SEC sponsored three Senior Officers to participate in Harvard University's *Strategic Management of Regulatory and Enforcement Agencies Executive Leadership Program* during FY 2021. This program examines the distinctive strategic and managerial challenges that surround government agencies' regulatory and enforcement functions, investigates cases spanning a range of regulatory and enforcement domains—from the environment to public health to crime—and uses case studies, small-group discussions, and workshops.

d. Excellence in Government (EIG) Fellows Program

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

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

e. **Aspiring Leaders Program**

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; and
- Increasing self-awareness through guided self-assessments and feedback from course instructors.

f. **Upward Mobility Program**

The SEC continued its *Upward Mobility Program* in FY 2021 and encouraged eligible employees to apply. Pursuant to the 2018 Collective Bargaining Agreement between the SEC and NTEU, the *Upward Mobility Program* offers SEC employees in support staff positions the opportunity to expand their careers by competing for entry-level program specialist positions (classification series 301) starting at the SK-7 or SK-9 level and with promotion potential to the SK-12 level. Positions are open to all SEC employees serving under a permanent appointment.

The *Upward Mobility Program* includes two years of formal training designed to foster the success of participants. The training, developed by SEC University, includes tailored guidance and mentoring for participants and their supervisors.

g. **Career Advancement Program**

In FY 2021, the SEC offered two employees the opportunity to participate in the *Career Advancement Program* (CAP)—a 12-month external professional development program geared toward mid-career professionals who aspire to senior leadership roles. CAP is conducted by Management Leadership for Tomorrow (MLT), a nonprofit organization that aims to transform the career trajectories of diverse leaders by providing the skills, coaching, and connections needed to accelerate their careers. CAP’s professional development journey includes realistic business simulations, sustainable strategies and tools for professional growth and development, and a cohort of peers representing various industries and functions. The SEC also offered a Meet-and-Greet session with past CAP participants who talked about their experience with, and the benefits of, the program.

h. **Mentoring Program**

In FY 2021, the Agency offered a third cohort of 30 employees the opportunity to participate in the SEC’s *Mentoring Program*. The registration process for this third cohort received overwhelming interest among employees. Thirty employees were paired with mentors across the Agency. This offering started in January 2021 with an orientation session for both mentors and mentees, and the session ended with a Capstone event on June 8, 2021. Throughout the *Mentoring Program*’s duration, employees and their mentors engaged regularly to discuss career development among other topics. Formal program events for both mentors and participants were scheduled and facilitated by OCOO, OMWI, and SECU experts. OCOO gathered feedback from both mentees and mentors about the program’s efforts.

In response to the EEOC’s recommendation that the SEC ensure PWDs participate in the SEC’s *Mentoring Program*, OHR reserved five slots in the 2022 *Mentoring Program* for employees with disabilities and collaborated with DIAC to communicate this opportunity to its membership.

Training on EEO, Diversity & Inclusion, and Team Effectiveness

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

- *Diversity and Inclusion:* SECU continues to work with OMWI to procure and support web-based and classroom training related to diversity and inclusion. In addition, SECU offers non-conscious bias courses as requested for intact teams and within specific leadership programs (e.g., *Aspiring Leaders Program*) throughout the year.
- *Team Effectiveness:* SECU offers intact team training for supervisors/managers and their teams through a variety of team effectiveness workshops. These workshops are typically two-to-four hours in length, can be taken individually to address a need, learn about a specific topic or as part of a workshop series. Content is custom-designed for a team to address their unique challenges and opportunities. The *Team Effectiveness* workshops available to organizations in FY 2021 by SECU included:

Communication Styles;

Workplace Trust;

Achieving Results;

Emotional Intelligence;

Emotional Intelligence 2.0;

Leading with the Brain in Mind;

Leadership Presence;

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

DiSC Behavioral Styles;

Simple Strategies to Engage Employees;

Becoming a More Collaborative Leader;

Building Workplace Trust;

Developmental Coaching;

Developmental Conversations;

NASA Team Building Moon Survival;
and

Difficult Conversations (for supervisors and non-supervisors).

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

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

I, Rita M. Sampson, Director, OEE0/0905/SO-1, am the
 (Insert name above) (Insert official title/series/grade above)

Principal EEO Director/Official for The U.S. Securities and Exchange Commission
 (Insert Agency/Component Name above)

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

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

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



6/07/22

Signature of Principal EEO Director/Official

Date

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



6/03/2022

Signature of Agency Head or Agency Head Designee

Date

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

The SEC did not have any deficiencies in FY 2021.

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AGENCY EEO PLAN TO ELIMINATE IDENTIFIED BARRIER (PART I)

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

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

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

Section I: Analysis of the Accounting Occupation

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

EEO Group(s) Affected by Trigger

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

Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	<p>Workforce data tables and participation rates for women in the accounting occupation from FY 2013 – FY 2019.</p> <p>Applicant flow, new hire, and competitive promotion data from FY 2013 – FY 2019 for the accounting occupation.</p> <p>Benchmark data available from the Census Bureau that provide more detail into the participation of women in the civilian labor force.</p>
Complaint Data (Trends)	Yes	EEO complaint activity filed between FY 2012 – FY 2017 identifying any trends in complaints filed by applicants or employees in the accountant occupation.
Grievance Data (Trends)	Yes	Grievances filed by accountants between FY 2013 and FY 2018.
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable.
Climate Assessment Survey (e.g., FEVS)	Yes	<p>Federal Employee Viewpoint Survey (FEVS) data on indices and items related to recruiting, hiring, promotion, training, and career development.</p> <p>Employees' responses to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018 regarding recruiting, hiring, career development, promotion, recognition, and retention.</p>
Exit Interview Data	Yes	Employee survey data from the Agency's exit survey to better understand the reasons for voluntary separation.
Focus Groups	Yes	<p>Focus group interviews with Regional Office leaders about the procedures and practices for career development, promotion, recognition, and retention of accountants.</p> <p>Focus group interviews with employees in the accounting occupational series, including employees at Headquarters, regional staff, supervisors or other members of management, and members of the bargaining unit.</p> <p>Focus group discussions and idea-generation sessions with representatives of the various Divisions and Offices that employ accountants for purposes of identifying action options toward improvement.</p> <p>Focus group discussions with bargaining unit accountants as well as non-bargaining unit accountants, in coordination with NTEU and OHR.</p>
Interviews	Yes	<p>Interviews with subject matter experts in OHR, SECU, and OMWI about recruitment, hiring, and career development for accountants at the Agency.</p> <p>Interviews with Diversity and Inclusion leadership at the "Big Four" public accounting firms (i.e., Deloitte, EY, KPMG, and PwC).</p> <p>Individual interviews with Agency leaders at Headquarters about the procedures and practices for career development, promotion, recognition, and retention of accountants.</p>

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Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Data definitions and potential benchmark information from the Census Bureau and OPM defining population data for the accountant occupation in the civilian labor force and the federal workforce.
Other (Please Describe)	Yes	<p>Records related to employee telework schedules and usage from FY 2013 – FY 2019.</p> <p>Pay scales and compensation levels among the Agency's encumbered grade levels in the accountant occupational series.</p> <p>Position descriptions and vacancy announcements for the job of accountant.</p> <p>Training records from SF-182 on requests for internal and external training submitted by SEC accountants through the learning management system.</p> <p>More than 300 resumes submitted during FY 2015 by applicants for accountant vacancies.</p> <p>Written policies and formally established procedures affecting the employment of women, and in particular, the employment of women in accountant positions.</p> <p>Research literature, collective bargaining agreement language, and reports to better understand career development, promotion, retention, or recruiting and hiring processes for the accounting occupation.</p> <p>Information about best practices in recruiting women in accounting in the federal government and private industry.</p>

Status of Barrier Analysis Process

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

Statement of Identified Barrier(s)

Barrier Name (required)	Description of Policy, Procedure, or Practice
Analysis of women in accounting	<p>On the basis of the analytic work conducted, OEEO did not identify any specific barriers for women in the accounting occupation. OEEO's analysis suggests the following will have measurable impact on support for the career development of women in the accounting occupation:</p> <ul style="list-style-type: none"> • Evaluate and consider changes to workforce structure that may limit available career development opportunities; • Design programs, communication, and outreach focused on encouraging accountants to seek career development and promotion; and • Continue work on changing attitudes toward, and support for, flexible work arrangements among both individual contributors and supervisors of accountants.

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date From (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
<p>As of September 30, 2018, the following areas were identified for further analysis and review:</p> <ul style="list-style-type: none"> • Processes for the career development and promotion of accountants; and • Career progression and workforce planning within the SEC's accountant occupation. <p>The SEC will consider these action opportunities and develop an action plan to help foster equal employment opportunity.</p>	03/01/2017	5/31/2021	Yes	06/30/2020	5/26/2021

Responsible Official(s)

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

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
05/31/2020	Compile and share results from interviews and focus groups conducted with Accountant incumbents.		8/6/2020
06/30/2020	Update analyses with FY 2019 workforce data and FY 2020 qualitative data collection.		9/2/2020
10/31/2020	The SEC will begin to identify actions as appropriate to help foster equal employment opportunity.	04/30/2020	9/18/2020
12/31/2020	OEEO will begin to design an evaluation plan to monitor results based on the work completed on this study.	06/19/2020	N/A – No barrier identified
04/30/2021	Briefings for Division and Office leadership for the accountant workforce.		5/26/2021
05/31/2021	OEEO Director initiates project close out and transition to ongoing monitoring.		5/28/2021

Report of Accomplishments

Fiscal Year	Accomplishments
FY 2021	<p>OEEEO concluded this study without identifying any specific barriers to women accountants. OEEEO conducted leadership briefings for OHR, OMWI, Labor Relations, the COO, and the Operations Steering Committee to share the study results and recommendations for management action to support female accountants at the SEC.</p> <p>Division and Office leadership identified responsive actions to address OEEEO's recommendations.</p> <p>This study is now closed.</p>
FY 2020	<p>During FY 2020, OEEEO completed data collection, integration, and interpretation of summary analyses for this study. In FY 2021, OEEEO shared with stakeholders the results of this study, including the identified opportunities for action to support female accountants at the Agency.</p> <p>The following provides detail about this analytic work.</p> <p>Insights gained from qualitative and quantitative analyses conducted during FY 2019 suggested the need to better understand an incumbent's decision to seek promotion. OEEEO extended the study's timeline into FY 2020 to incorporate expanded data collection and analysis on:</p> <ul style="list-style-type: none"> • An employee's decision to seek and apply for competitive promotion within the accounting occupation and across occupational series among regional staff in the National Examination Program; • The use and support for flexible working arrangements for accountants, particularly under the SEC's telework program; and • Organizational structures and changes in the Agency's accounting workforce at different SK-levels that impacted the availability of career mobility over time. <p>To gather additional data on the areas listed above, OEEEO:</p> <ul style="list-style-type: none"> • Hosted idea-generation sessions with business management office representatives from Divisions and Offices who employ accountants to suggest lawful and practical opportunities for action. • Collaborated with national representatives from the NTEU to solicit participation in and conduct focus group sessions with incumbent accountants during February and March of 2020; • Conducted sessions with accountant incumbents in positions not covered by the SEC's collective bargaining agreement; and • Conducted a total of 11 focus group sessions with 66 SEC accountants, representing different SK-levels, participating from Headquarters and Regional Offices. <p>OEEEO hosted seven read-out sessions describing results from the focus group sessions to which all incumbent accountants were invited.</p> <p>Directly resulting from the data and information shared during the focus group sessions, OEEEO refined this study's analytic research questions to: 1) explore the timing of changes to telework schedules relative to an employee's application for promotion; 2) consider the close connection between securities compliance examiners and accountants within the National Examination Program; and 3) assess more specifically the differences noted from focus group discussion in the employee experience between the National Examination Program versus National Enforcement Program among regional staff, a construct that was not sufficiently addressed in prior analysis from 2019.</p> <p>Based on the newly-gained insights about promotion, career decisions, and opportunities for action, OEEEO compiled a research summary of the analyses conducted and results obtained as part of this study. In FY 2021, the research summary was shared with Agency leadership as part of transitioning the study for management action.</p>

Section II: Analysis of the Attorney Occupation

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

EEO Group(s) Affected by Trigger

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

Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	Workforce data tables and participation rates from FY 2012 – FY 2019 to review the participation rates for men in the total workforce and in the attorney occupation. Available applicant flow data for attorney hiring from FY 2012 – FY 2019.
Complaint Data (Trends)	Yes	EEO Complaints filed between FY 2016 and FY 2020.
Grievance Data (Trends)	Yes	Grievances filed by attorneys between FY 2014 and FY 2018.
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable.
Climate Assessment Survey (e.g., FEVS)	Yes	Federal Employee Viewpoint Survey data on indices and items related to recruiting, hiring, promotion, training, and career development. Employees' responses to a survey conducted by a vendor in July 2014 regarding promotions at the SEC. Employees' responses to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018 regarding recruiting, hiring, career development, promotion, recognition, and retention.
Exit Interview Data	Yes	Employee data for the Agency's exit survey to better understand the reasons for the voluntary separation among attorneys.
Focus Groups	No	
Interviews	Yes	Interviews with subject matter experts in OHR and OMWI.
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Audit reports regarding personnel management at the SEC based on research from GAO. Data definitions and potential benchmark information from the Census Bureau and OPM defining population data for the attorney occupation in the civilian labor force and the federal workforce.
Other (Please Describe)	Yes	Attorney position descriptions by grade level and across Divisions/Offices. Vacancy announcements posted on USAJOBS. Attorney demographic trends in private law practice, in particular, large law firms, and as in-house counsel. Literature and reports published by, among others, the National Association of Legal Placement and the American Bar Association to better understand recruiting, hiring/lateral hiring, training, and promotion processes and practices at private law firms. Reports published by, among others, the American Bar Association, Minority Corporate Counsel Association, and Institute for Inclusion in the Legal Profession about best practices in recruiting and retaining attorneys, particularly, minority male attorneys in the federal government and law firms. Research from scientific journals related to factors influencing separation among male and female attorneys, incentives to move into the private sector, and the role of public versus private sector compensation levels versus work/life balance in producing differential retention rates by gender among attorneys.

Status of Barrier Analysis Process

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

Statement of Identified Barrier(s)

Barrier Name (required)	Description of Policy, Procedure, or Practice
Analysis of male attorneys	No barrier was identified.

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date From (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
Investigate processes across the employment life-cycle for men in the attorney occupation to determine any areas needing improvement and begin developing action plans to help foster equal employment opportunity.	07/15/2017	09/30/2022	Yes	10/31/2021	07/07/2021

Responsible Official(s)

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

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
09/30/2020	OEEEO will begin to conduct quantitative analysis of new hire and separations data to inform barrier analysis.		1/1/2020
03/01/2021	OEEEO will begin to conduct quantitative analysis of promotions data to inform barrier analysis.		11/1/2020
11/01/2021	OEEEO will begin integrating and interpreting quantitative and qualitative data, trends across year, root causes, and identified triggers to establish evidence for any areas in need of improvement.	07/07/2021	07/07/2021
01/31/2022	The SEC will begin to identify actions as appropriate to help foster equal employment opportunity.	04/30/2021	N/A
04/18/2022	OEEEO will begin conducting briefings for Division and Office leadership for the attorney workforce.	8/31/2021	10/27/2021
07/30/2022	OEEEO Director initiates project close out and transition to ongoing monitoring.	10/31/2021	12/09/2021
09/30/2022	OEEEO will begin to design an evaluation plan to monitor results based on the work completed on this study.	10/30/2021	N/A

Report of Accomplishments

Fiscal Year	Accomplishments
FY 2021	OEEEO conducted additional regression analyses on the determinants of differential separation rates for attorneys across groups, and descriptive statistical analysis on promotions. At the conclusion of this study, OEEEO did not identify a barrier for male attorneys. However, OEEEO did make findings the SEC may consider as it continues to enhance its personnel policies and processes, particularly in a post-pandemic work environment, and shared these findings with SEC management. This study is now closed.
FY 2020	The following provides detail about analytic work OEEEO conducted in FY 2020 in support of this analysis: <ul style="list-style-type: none"> • Interviewed subject matter expert in OHR regarding recruitment of attorneys; • Analyzed data regarding new hires, promotions, and separations of attorneys; • Identified additional promotions data analysis to be conducted, including trends by race, age, and disability status; • Reviewed records documenting applicant flow and selection decisions for specific attorney vacancy postings; • Integrated original research from scientific journals related to factors influencing separation among male and female attorneys, incentives to move into the private sector, and the roles of public versus private sector compensation levels versus work/life balance in producing differential retention rates by gender among attorneys; and • Produced regression analysis on the selection process among attorney new hires.

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

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

SECTION I: EFFORTS TO REACH REGULATORY GOALS

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

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

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

The following background information is provided to assist the reader in reviewing this report:

- This report presents separate results for both persons with disabilities (PWD) and persons with targeted disabilities (PWTD) employed, or seeking employment, with the Securities and Exchange Commission (SEC). As required by the U.S. Equal Employment Opportunity Commission (EEOC), the analysis and report reflect the participation of persons with (targeted) disabilities in two different “clusters”—Cluster GS-1 to GS-10, and Cluster GS-11 to SES (Senior Officer-equivalent for the SEC). The clusters are calculated based on the locality adjusted salary specified in the revised regulations implementing Section 501 of the Rehabilitation Act of 1973. As a point of reference, in FY 2021, the locality adjusted salary of a GS-11, step 1, in the Washington, DC area was \$72,750.

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- The EEOC has established numerical goals for the employment and utilization of persons with disabilities (12%) and persons with targeted disabilities (2%) for each of the two clusters. The SEC’s goal is to meet and exceed these relevant benchmarks for PWD and PWTD for each cluster.
- As in prior years, and consistent with EEOC regulations, the SEC included permanent and temporary employees hired under authorities that take disability into account as PWD under the relevant hiring authority. Permanent and temporary employees who did not self-identify on standard form 256 (SF-256) as having a disability but whose personnel record indicates they received veterans’ preference (e.g., *CPS—preference based on compensable service-connected disability of 30% or more*) are included in the total PWD workforce data tables. Similarly, permanent and temporary employees not self-identified on SF-256 but whose personnel record documents that they were hired or converted into the competitive service under Schedule A, part u (5 C.F.R. § 213.3102(u) *Appointment of persons with intellectual disabilities, severe physical disabilities, or psychiatric disabilities*) are included in the total PWD workforce for purposes of utilization analysis.

For employees with salaries below a GS-11, step 1, the Agency achieved the numerical goal for PWD participation; eight or 62.50% of employees in this cluster were PWD compared to the 12% benchmark.

For employees with locality adjusted salaries above a GS-11, step 1, the Agency did not achieve the required numerical goal, as 8.81% of employees in this cluster were PWD compared to the 12% benchmark. While the numerical goal was not achieved, the current participation rate represents an increase of 2.27 percentage points since the end of FY 2015. Between FY 2015 and FY 2021, the participation of PWD in the total workforce increased from 6.57% to 8.81%; participation increased in both the lower and higher salary clusters.

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

- | | | |
|---------------------------------|-----------------------------------------|-----------------------------|
| a. Cluster GS-1 to GS-10 (PWTD) | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/> |
| b. Cluster GS-11 to SES (PWTD) | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/> |

The SEC did not achieve the numerical goal established for PWTD in the lower salary cluster during FY 2021. In the lower salary cluster, none of the eight permanent employees are PWTD. The SEC did not achieve the numerical goal for PWTD among higher-salaried employees—1.81% of higher-salaried employees are PWTD.

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

In FY 2021, the SEC's Office of Human Resources (OHR) developed the *2022 – 2024 Recruitment Strategy (Recruitment Strategy)* which describes the support and collaboration necessary from senior leadership, the Office of Equal Employment Opportunity (OEEEO), and Office of Minority and Women Inclusion (OMWI) to recruit a diverse candidate base. The *Recruitment Strategy* specifically states that the SEC's objective is to "Increase workforce representation for people with disabilities and people with targeted disabilities." The *Recruitment Strategy* identified two goals towards this objective: (1) build a talent pool of qualified Schedule A applicants; and (2) improve veteran recruitment efforts. Specific strategies and tasks in the plan for recruitment explain how this objective will be accomplished.

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

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

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

Throughout FY 2021 and particularly during National Disability Employment Awareness Month in October 2020 and October 2021, the Agency hosted events that focused on inclusion of persons with a disability. As described later, these events were often sponsored and/or hosted by the Disability Interests Advisory Committee (DIAC). In opening and/or closing remarks, leaders noted the Agency's goals for recruiting and hiring PW(T)D, frequently mentioning the high value such employees bring to the Agency's mission.

SECTION II: MODEL DISABILITY PROGRAM

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

Plan to Provide Sufficient & Competent Staffing for the Disability Program

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

Yes **X** No 0

The Agency designated sufficient talent acquisition resources and Full-Time Equivalents to Special Programs classification, recruitment, and staffing in support of the disability program.

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

Disability Program Task	Number of Full-Time Equivalent Staff by Employment Status			Responsible Official (Name, Title, Office, Email)
	Full Time	Part Time	Collateral Duty	
Processing applications from PWD and PWTD	13	0	0	Xiya Li, <i>Branch Chief</i> Office of Human Resources lixiy@sec.gov
Answering questions from the public about hiring authorities that take disability into account	13	0	0	Xiya Li, <i>Branch Chief</i> Office of Human Resources lixiy@sec.gov
Processing reasonable accommodation requests from applicants and employees	3	0	0	Dia Gonsalves, <i>Disability Program Officer</i> Office of Human Resources gonsalvesd@sec.gov
Section 508 Compliance	1	0	0	Sharvon Jones, <i>Section 508 Coordinator</i> Governance Branch Office of Information Technology jonessh@sec.gov
Architectural Barriers Act Compliance	0	0	3	Ray Ferrari, RA, LEED AP, <i>Architect</i> Office of Support Operations (OSO)-Office of Building Operations (OBO) ferrarir@sec.gov Jinhee Kim, RA, LEED AP, <i>Architect</i> OSO-OBO kimjin@sec.gov Carla Hairston, NCIDQ, COEE, <i>Space Management Specialist</i> OSO-OBO hairstonc@sec.gov
Special Emphasis Program for PWD and PWTD	3	0	0	Xiya Li, <i>Branch Chief</i> Office of Human Resources lixiy@sec.gov

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

Yes **X** No 0

Staff received on-the-job training from the Disability Program Officer and the full-time Reasonable Accommodation Coordinator and periodically attended training programs and reviewed recent case law to stay current with developments in this area. The Disability Program Officer completed courses specific to recruiting, accommodating disabilities, religious accommodations, performance management, hiring, and retaining PWD and PWTD via OPM’s HR University and the SEC’s Learning Management System, *LEAP*, in addition to the general training received.

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

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

Plan to Ensure Sufficient Funding for the Disability Program

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

Yes **X** No 0

The Agency was resourced adequately during the reporting period to successfully implement the disability program; however, processing employee requests for an exemption from the COVID vaccine mandate for federal employees significantly increased the Reasonable Accommodation Program’s workload.

SECTION III: PLAN TO RECRUIT AND HIRE INDIVIDUALS WITH DISABILITIES

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

Plan to Identify Job Applicants with Disabilities

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

The SEC is committed to being a model employer for people with disabilities. The SEC streamlined the approach to the general hiring process using the Schedule A hiring authority for persons with disabilities. This streamlined approach for external hiring requests were filtered through the Selective Placement Program Coordinator (SPPC) for review. The SPPC referred qualified applicants to hiring managers prior to or concurrently with the general staffing process.

OHR also continued to take steps toward improving the representation of PWD and PWTD in applicant pools. Since focusing on these efforts under OHR's *2018 – 2019 Recruitment Strategy* which was extended into FY 2021, the SEC has realized an increase in the overall representation of people with disabilities through effective recruitment and outreach efforts that identify the Agency as an employer of choice. The SEC noted that in FY 2021, within the mission critical occupations (MCO) of accountant, examiner, and IT management, applications from PWD remained at the same rates as in FY 2020 or slightly declined.

Despite the mandatory telework posture, the Agency maintained a strong recruitment presence in FY 2021, and attended 18 virtual career fairs and events supporting disability recruitment efforts in building talent pools for future employment.

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

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

The Agency uses a variety of available resources that support hiring through Schedule A and other hiring authorities that take disability into account.

The Disability Program Manager and/or SPPC receives notifications and newsletters from the following groups and transmits information to OHR staff engaged in recruitment:

- EARN—Employer Assistance Resource Network: askearn.org
- JAN—Job Accommodation Network: askjan.org
- ODEP—Office of Disability Employment Policy, Department of Labor: dol.gov/agencies/odep
- OWF—Operation Warfighter Program: warriorcare.dodlive.mil/carecoordination/operation-warfighter/

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

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

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

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

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

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

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

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

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

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

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

In FY 2021, periodic training occurred with each hiring manager who requested to fill a position. The hiring checklist used by the staffing specialists contains a section on Schedule A that is discussed in-depth during the one-on-one hiring conversation between the staffing specialist and the hiring manager. The specialist advises the hiring manager on the various procedures of the Schedule A hiring process and offers it as a course of action where applicable.

The SEC will continue to promote among hiring managers the successful use of Schedule A hiring to support the SEC's *Recruitment Strategy* and *Affirmative Action Plan for People with Disabilities*.

Plan to Establish Contacts with Disability Employment Organizations

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

The SEC's Special Programs Manager continued to maintain established partnerships with organizations that assist PWD and PWTD in securing and maintaining employment. The Special Programs Manager updated the SEC's list of affinity organizations to maintain contact and foster relationships for recruitment events and candidate sourcing. The SEC continued to leverage the *Operation Warfighter (OWF)* program during FY 2021. OWF is an internship program created by the Department of Defense that matches qualified wounded, ill, and injured service members with non-funded federal internships for them to gain valuable work experience during recovery and rehabilitation. The SEC also utilized the *Warriors Ethos* program during FY 2021 to host transitioning service members by providing them with a volunteer opportunity to get exposure to the work done at the Agency. The program is a non-profit that specializes in helping to transition military service members with career planning, professional development, and career placement.

The Special Programs Manager also maintains an ongoing relationship with the SEC's DIAC and the Veterans Committee members which help support the Agency's efforts to recruit PWD and PWTD.

In addition, the Agency continued work to strengthen partnerships with stakeholders to include SEC program offices, such as OMWI, the National Treasury Employees Union (NTEU), DIAC, and employee affinity groups to identify sustainable actions to improve the Agency's Diversity and Inclusion initiatives for the PWD and PWTD communities. These actions will promote greater inclusion of the PWD and PWTD communities in the SEC workforce and will support their immediate and long-term needs when the Agency transitions back to normal work posture post the COVID-19 pandemic. The DIAC and OHR continue to work collaboratively with SEC program offices and employee affinity groups to improve workplace diversity for the PWD and PWTD communities.

Progression towards Goals (Recruitment and Hiring)

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

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

In FY 2021, the Agency hired 222 permanent employees, of which PWD and PWTD represented 11.71% and 1.35%, respectively, of all new hires. As such, the Agency did not achieve the numerical goals of 2% participation of PWTD and 12% participation of PWD among permanent new hires. *See Table B1.*

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

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

In FY 2021, the SEC hired and onboarded a total of 222 permanent staff employees. Among these newly-hired staff members were 167 persons in MCO positions as follows: 91 attorneys; 22 accountants; 13 securities compliance examiners; 35 IT management specialists; and six (6) economists. Eleven of those 167 (6.59%) of newly-onboarded MCO permanent staff were PWD.

As a preliminary matter, differences may be observed in comparing the demographic statistics of the qualified applicant pool (QAP), selections, and new hires onboarded. Reasons for these differences vary. Some newly-hired staff applied for a vacancy posted in the prior fiscal year or may have elected not to volunteer demographic information with their application. In addition, in FY 2021, one division posted open continuous announcements for which the applicant flow data do not fall into a specific fiscal year based on the close dates of the postings. Triggers comparing the composition of PWD and PWTD in applicant flow versus new hire data should be interpreted with these differences in mind.

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Triggers were observed for PWD in the hiring of permanent IT management specialists and economists as follows:

- For IT management, 5.71% of new hires were PWD, below their representation in the qualified applicant pool (10.70%).
- No PWD were hired for any of the six economist positions although 27 PWD were in the QAP (5.72%).

Triggers were also observed for PWTD in the attorney, IT management, and economist occupations:

- For attorneys, the QAP for PWTD was 1.31%; no PWTD (0.00%) were hired as permanent staff attorneys.
- Sixty-six PWTD were in the QAP (2.72%) for IT management, and no PWTD were hired (0.00%).
- Eleven PWTD were in the QAP (2.33%) for economist positions, and no PWTD were hired.
- For securities compliance examiner vacancies posted in FY 2021, no PWD or PWTD were found in the QAP. Thus, none were hired.

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

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

Differences were identified in the participation of PWD in the qualified internal applicants for competitive promotions as compared to the relevant applicant pool (RAP) within the attorney occupation. Differences were also identified between the RAP and QAP for PWTD within the internal competitive promotion data for the MCOs of securities compliance examiner and economist.

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

For attorneys, the Agency observed a difference between the RAP and qualified internal applicants for both PWD and PWTD. The RAP for PWD was 5.47%, and PWD represented 3.97% of the qualified internal applicants. The RAP for PWTD was 1.03%, and PWTD were 0.33% of the qualified internal applicants for attorneys.

For securities compliance examiners, the Agency observed a difference between the RAP and qualified internal applicants for PWTD, but not for PWD. The RAP for PWTD was 1.69%, and PWTD represented none of the qualified internal applicants.

For economists, the Agency observed differences between the RAP and qualified internal applicants for PWTD, but not for PWD. The RAP for PWTD was 1.20%, and there were no PWTD among qualified internal applicants.

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

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

The selection data indicate a difference for PWD in the attorney, securities compliance examiner, and economist occupations. No differences were observed for selections among the accountant or IT management occupations.

For attorneys, the QAP for PWD was 3.97%, and PWD were 2.17% of selections.

For securities compliance examiners, the QAP for PWD was 7.41%, and no PWD were selected.

For economists, the QAP was 4.00%, and no PWD were selected.

The selection data also indicate there were no differences between selections and the qualified applicant pool for PWTD in any of the mission-critical occupations.

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

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

Advancement Program Plan

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

To promote equal employment opportunity, the Agency takes a number of steps to ensure that opportunities for advancement are open and available to all in the workforce, including PWD and PWTD. The following describes efforts to promote opportunities for advancement.

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

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In addition to these ongoing efforts, in FY 2021, the SEC made steady progress to address recommendations by the EEOC (through its technical assistance review) to improve the SEC's EEO and Disability Programs. On February 12, 2021, the SEC submitted its compliance report to the EEOC related to the ongoing deficiencies and implemented the improvements noted below.

These improvements include posting complaint procedures related to Section 504 and 508 of the Rehabilitation Act and Architectural Barriers Act on the SEC's external website. In response to the EEOC's recommendation that the SEC ensure PWDs participate in the SEC's Mentoring Program, OHR reserved five (5) slots in the 2022 Mentoring Program cohort for employees with disabilities and has been collaborating with DIAC to communicate this opportunity to its membership.

In addition, in FY 2021, the SEC launched a cross-office working group comprised of Senior Officers who are champions of disability inclusion, subject matter experts in the Offices of Human Resources, Equal Employment Opportunity, and Minority and Women Inclusion, and key members of the Disability Interests Advisory Committee. This working group began meeting in FY 2021 and, leveraging evidence-based data, made a number of recommendations related to the recruitment, hiring, career development, promotion, reasonable accommodation, and retention of PWD and PWTD at the SEC. The working group explored enhanced marketing of available SEC career development programs, possible tailoring of existing SEC advancement-related programs, and creating new development programs tailored for employees with disabilities. The working group also explored available data related to other employment policies, practices, and processes in order to provide recommendations on enhancing the employment life cycle for individuals with disabilities.

Career Development Opportunities

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

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

- The *C.O.R.E. Connections—Opportunity—Relationships—Equity* program is a transformative professional development experience designed to provide employees at the SEC with tools and techniques to increase their effectiveness, span of contributions and engagement within their function, and support their personal well-being and growth. The series equips employees with knowledge, skills, and strategies to successfully manage their unique challenges as they strive to reach senior-level positions at the SEC while helping to drive our Agency’s overall success and mission effectiveness. The series has five two-hour webinars, in which participants learn strategies for authentic and difficult conversations, managing conflict and exploring the role that emotions play in leadership outcomes.
- The *EIG Fellows Program*, coordinated by the Partnership for Public Service, strengthens the leadership skills of experienced federal employees through a combination of innovative coursework, best practices benchmarking, challenging action-learning projects, executive coaching, and government-wide networking. This program is offered to SEC employees in the SK-14 to SK-17 (a mix of supervisory and non-supervisory) levels. SEC’s EIG Fellows attend facilitated sessions at SEC Headquarters to share what they are learning and to explore how this information can be applied to improve organizational performance, workplace relationships, and productivity.
- The *Aspiring Leaders Program* is an interactive blended-learning program designed to strengthen the leadership and management skills of SEC non-supervisory (SK-13 and SK-14) employees. The program covers: critical leadership skills for effective supervision; first-line management responsibilities; understanding government policy, process, and regulations relevant to management; and increasing self-awareness through guided self-assessments and feedback.

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- The *Career Advancement Program (CAP)* is a 12-month external professional development program geared toward mid-career professionals who aspire to senior leadership roles. CAP is conducted by Management Leadership for Tomorrow (MLT), a nonprofit organization that aims to transform the career trajectories of diverse leaders by providing them the skills, coaching and connections needed to accelerate their careers. CAP's professional development journey includes realistic business simulations, sustainable strategies and tools for professional growth and development, and a cohort of peers representing various industries and functions.
- The *Upward Mobility Program* offers SEC employees in support staff positions the opportunity to expand their careers by competing for entry-level program specialist positions (series 301) starting at the SK-7 or SK-9 level and with promotion potential to the SK-12 level. These positions are open to all SEC employees serving under a permanent appointment. This program includes two years of formal training designed to foster the success of participants. The training, developed by SEC University, includes tailored guidance and mentoring for both the participants and their supervisors.

In addition to the career development programs referenced above, the Agency encourages employees, including PWD and PWTD, to pursue leadership development through a variety of program offerings, including both individual coaching and an agency-wide mentoring program. In FY 2021, 58 SEC managers engaged in coaching with an external coach. Due to confidentiality considerations, the SEC does not track demographic information for the employees engaged in coaching opportunities. Non-supervisory offerings developed for leaders without formal authority included, for example: *Empowering Your Development* and *Leading Without Authority* (courses are designed to enhance relationship-building and maintain effective relationships for SEC leaders at all levels).

In FY 2021, the SEC continued the design of a leadership evaluation, accession and development program, which places an agency-wide emphasis on ensuring that SO applicants across the Agency have the leadership skills needed to excel in an SO position. The program will improve the process for identifying and selecting future leaders by including standardized leadership assessments that screen candidates on essential leadership competencies. OHR's Human Capital Strategy Group is developing the leadership assessments with a high level of rigor to ensure they provide a standardized, fair, and legally-compliant approach for selecting SOs. A diverse group of SOs, representing the major SEC Divisions and Offices, developed assessment content and structured rating scales to ensure a standardized evaluation of candidate performance on specific leadership competencies.

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Special advisors from OEEO and OMWI remain involved in the development process, reviewing content to ensure program materials and processes support fairness, diversity, and inclusion. A targeted communication effort, designed to educate SEC employees and create program awareness, will launch in FY 2022. Scheduled Division and Office meetings, *LEAP* sessions, and affinity group presentations are planned venues to share program information specifically emphasizing that the program offers development opportunities aligned to critical SO leadership competencies. In addition, feedback on the leadership assessments highlight individual strengths and weaknesses to focus ongoing leadership development for employees willing to self-develop in the leadership skills targeted by this program. After a pilot test of the assessments, program launch is anticipated later in 2022.

In FY 2020, the EEOC conducted a technical evaluation of the SEC's EEO and Disability Programs, and recommended, *inter alia*, that the SEC develop and implement a comprehensive plan to support employees with disabilities in career development and advancement opportunities, pursuant to 29 C.F.R. § 1614.203(d)(1)(iii). Specifically, the EEOC recommended that the SEC ensure that a number of participants in its mentoring program be PWD and PWTD.

In response to the EEOC's feedback, the SEC committed to reserving a number of slots in the next cycle of the Mentoring Program as it transitioned to a permanent program (with a target set for the 2022 mentee cohort). To fulfill this commitment, OHR reserved five (5) slots in the 2022 Mentoring Program cohort for employees with disabilities and collaborated with DIAC to communicate this opportunity to its membership. In addition, the SEC recognized that ensuring advancement opportunities for PWD and PWTD remains an area of opportunity and has increased efforts to ensure full compliance with this regulation. To this end, in FY 2021, the SEC launched a cross-office working group comprised of SOs who are champions of disability inclusion, subject matter experts in the Offices of Human Resources, Equal Employment Opportunity, and Minority and Women Inclusion, and key members of the Disability Interests Advisory Committee. This working group began meeting in FY 2021 and, leveraging evidence-based data, recommended, *inter alia*, specific actions to increase the participation of employees with disabilities in the Agency's career development programs. The working group explored enhanced marketing of available SEC career development programs, possible tailoring of existing SEC advancement-related programs, and creating new development programs tailored for employees with disabilities. The working group also explored available data related to other employment policies, practices, and processes in order to provide recommendations on enhancing the employment life cycle for individuals with disabilities. Participation among PWD and PWTD in the Agency's existing career development opportunities is provided below.

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

Career Development Opportunities	Total Participants		PWD		PWTD	
	Applicants (#)	Selectees (#)	Applicants (%)	Selectees (%)	Applicants (%)	Selectees (%)
Internship Programs	1,382	19	4.20%	10.53%	1.16%	5.26%
Fellowship Programs	59	8	0.00%	0.00%	0.00%	0.00%
Mentoring Programs	80	30	10.00%	8.00%	3.75%	4.00%
Coaching Programs	NA	NA	NA	NA	NA	NA
Training Programs	18,493	18,493	11.90%	11.90%	2.25%	2.25%
Detail Programs	68	12	7.35%	0.00%	2.94%	0.00%
Other Career Development Programs	NA	114	NA	11.40%	NA	0.00%

Notes to help the reader understand the data above:

The SEC’s *Mentoring Program* was open for registration to all employees. Mentees were selected on a first-come, first-served basis.

Due to confidentiality considerations, the SEC does not track demographic information for employees engaged in coaching programs.

Training Programs data show demographic data for all permanent employees’ registrations for training in *LEAP* and completed training opportunities during FY 2021. There is no competition for training class registration. All eligible employees who register or apply are invited or selected to complete the training course. Applicant and selectee participation records are thus identical. These Applicant registration and Selectee participation records may include more than one training opportunity per employee, representing both mandatory and elective courses. Therefore, the total registration and participation data exceed the total number of employees.

Detail Programs summarize information only for Temporary Promotions announced by the Agency for competitive selection. These data do not reflect detail opportunities that do not include a change to the employee’s personnel record, e.g., a detail to a job in the same pay grade and location.

In this report, the Agency included FY 2021 selection data for its leadership development programs, including the *Excellence in Government Fellows Program* and the *Aspiring Leaders Program*. While completion of these programs do not lead to placement at a specific grade (a criterion for inclusion in the MD-715 Workforce Data Tables), they do contribute to the pool of employees who may potentially be considered for leadership positions in the future. Data for these leadership programs have been consolidated into the “Other Career Development Programs” category.

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

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

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

For the Internship Program, 4.20% of applicants were PWD and PWD were 10.53% of selections. As selections had a substantially higher percentage of PWD than the percentage of PWD among applicants, there was no trigger for internships.

For the Agency’s economist and accountant Fellows Programs, the Agency noted no difference in the participation of PWD among (external) applicants for these programs and eventual selections for positions. While 0.00% of applicants were PWD, none of the Fellows hired were PWD (0.00%).

Within the Agency’s Mentoring Program (selections were on a first-come, first-served basis), the Agency found no evidence of a trigger in the participation rate among those who applied for the Mentoring Program (i.e., applicants) as compared to participation of PWD in the permanent workforce (8.91%). PWD represent 10.00% of those employees who expressed interest in the Mentoring Program and 8.00% of those selected for mentoring.

Aggregate PWD participation in training programs approved on standard form 182 through the Agency’s learning management system, *LEAP*, exceeds their participation on rolls: 11.90% of training requiring separate approval on SF-182 were completed by PWD, compared to 8.91% of permanent employees who are PWD. No trigger was found for applications or selections.

Data about detailed employees show evidence of differences disadvantaging PWD among those who applied for details and among those selected. While 8.91% of permanent staff were PWD, 7.35% of applicants for temporary promotion were PWD. None of the applicants were selected.

Selection data for PWD on Other Career Development Programs indicated higher participation rates of PWD in programs for leadership development than the proportion of PWD among permanent staff. PWD were 11.40% of selectees among the consolidated selectees of the *Excellence in Government*, *Aspiring Leaders*, and *Women in Leadership* programs and 8.91% of permanent SEC employees.

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The Agency also evaluated career development data from two institutes the SEC has enterprise memberships with, the *Practising Law Institute* (for attorneys) and *Becker* (for accountants). For the *Practising Law Institute*, attorneys with disabilities participated at higher rates than attorneys without disabilities. The inclusion rate was 90.00% of the population of attorneys with disabilities, compared to 64.96% of attorneys without disabilities. For *Becker*, the inclusion rate for accountants with disabilities (13.04%) was 2.57% lower than the inclusion rate for accountants without disabilities (15.61%).

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

a. Applicants (PWTD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
b. Selections (PWTD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

From the Career Development Opportunities table in the section above, data on the participation of PWTD in various programs were reviewed for equality of employment opportunity in the applications and selections for these programs.

In the Agency’s economist and accountant Fellows Programs combined, 0.00% of applicants were PWTD, thus, no PWTD were selected as Fellows in FY 2021.

For the Internship Program, 1.16% of applicants were PWTD, and PWTD were 5.26% of selections. As selections had a substantially higher percentage of PWTD than the percentage of PWTD among applicants, there was no trigger for internships.

Within the Agency’s Mentoring Program, the participation rate for PWTD among applicants (3.75%) exceeded the percentage of PWTD among permanent staff (1.81%). Thus, no trigger was found among applicants. The participation of PWTD among employees selected for mentoring in FY 2021 (4.00%) approximated the participation rate of PWTD in the permanent workforce. Thus, no trigger was found among selections.

No evidence of a trigger was found among applicants or selections in the training programs. In the aggregate, training records show that PWTD participated in training programs approved on SF-182 through *LEAP* slightly above their participation on rolls; 2.25% of training opportunities requiring special approval were completed by PWTD, compared to 1.81% of permanent employees.

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Data about Detailed employees show evidence of a difference disadvantaging PWTD among those who applied for Temporary Promotion and among those selected. While 2.94% of applicants for temporary promotion were PWTD, PWTD represent 0.00% of permanent staff employees selected.

Selection data for PWTD on Other Career Development Programs showed evidence of a trigger. Of 114 selectees among the consolidated selectees for the *Excellence in Government*, *Aspiring Leaders*, and *Women in Leadership* programs, no selectees were PWTD (0.00%).

The Agency also evaluated career development data from two institutes the SEC has enterprise memberships with, the *Practising Law Institute* (for attorneys) and *Becker* (for accountants). For the *Practising Law Institute*, attorneys with targeted disabilities participated at higher rates than attorneys without targeted disabilities. The inclusion rate was 78.95% of the population of attorneys with targeted disabilities, compared to 66.16% of attorneys without targeted disabilities. For *Becker*, the inclusion rate for accountants with targeted disabilities was zero (0.00%), substantially lower than the inclusion rate for accountants without targeted disabilities (15.56%).

Awards

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

a. Awards, Bonuses, & Incentives (PWD)	Yes	<input checked="" type="checkbox"/>	No	0
b. Awards, Bonuses, & Incentives (PWTD)	Yes	<input checked="" type="checkbox"/>	No	0

The EEOC has suggested that agencies consider awards distribution based on inclusion rates, the degree to which each employee group is distributed across workforce indicators, e.g., awarded or separated. This analysis requires aggregating data to the person level.

Aggregated data enables inclusion to be calculated as the proportion for all PWD and PWTD who received each type or category of award. One employee can and often does receive more than one award in a year.

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

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

The Agency found a trigger in the distribution of time-off awards of one to ten hours for PWTD. The inclusion rate for PWTD was 21.25%, while the inclusion rate for people with no targeted disability was 24.04%. There was no trigger for PWD for time-off awards of one to ten hours.

The Agency did not find a trigger in the distribution of time-off awards of 11 to 40 hours for PWTD. The inclusion rate for PWTD was 22.50%, while the inclusion rate for persons without a targeted disability was 22.89%.

For cash awards, the Agency found triggers for PWD and PWTD for cash awards of \$1,000 – \$1,999 and \$2,000 – \$2,999.

For cash awards at the \$1,000 – \$1,999 level, the inclusion rate for PWD was 31.47%, and the inclusion rate for persons without disability was 38.25%. The inclusion rate for PWTD was 30.00%, and the inclusion rate for persons with no targeted disability was 37.78%.

For cash awards at the \$2,000 – \$2,999 level, the inclusion rate for PWD was 7.11%, and the inclusion rate for persons without disability was 9.95%. The inclusion rate for PWTD was 7.50%, and the inclusion rate for persons with no targeted disability was 9.74%.

OEEO researched the observed differences in the distribution of discretionary awards, made recommendations, and is actively monitoring them as part of our barrier analysis program.

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

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

The Agency did not have a trigger for PWD or PWTD for performance-based pay increases.

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

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

In FY 2021, the Agency implemented a new Performance Incentive Bonus Program. This program has been designed to reward extraordinary and rare levels of performance demonstrated on a sustained basis, across multiple projects, or reflected in a significant singular achievement that required sustained effort over a period of time.

Promotions

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

a. SES

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

b. Grade GS-15

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

c. Grade GS-14

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

d. Grade GS-13

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

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

Of 4,148 qualified internal applications for senior grade level positions, 818 (19.72%) were submitted by PWD. No triggers were observed for qualified applicants compared to their Relevant Applicant Pools at any level. Among internal selections, differences were observed at the GS-15, GS-14, and GS-13 equivalent levels, but not the SES equivalent level. Of the 127 selections for internal promotions to senior grade levels, 8.66% were PWD, which is lower than their availability in the QAP at 19.72%.

At the GS-15 equivalent level, PWD represented 23.35% of qualified applicants, while they represented 10.87% of selections.

At the GS-14 equivalent level, PWD represented 16.43% of qualified applicants, while they represented 8.06% of selections.

At the GS-13 equivalent level, PWD represented 19.57% of qualified applicants, while no selections were PWD.

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

a. SES

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

b. Grade GS-15

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

c. Grade GS-14

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

d. Grade GS-13

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

Applying the same comparisons to PWTD as described in the section on PWD immediately above, the Agency presents information on trigger identification for PWTD in promotions to senior grade levels. Of 4,148 qualified internal applications for senior grade level positions, 108 (2.60%) were submitted by PWTD, and 2.36% of selections were PWTD.

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

At the SES equivalent, SO, grade level, the RAP was 1.25% PWTD, and the participation among qualified internal applicants of PWTD was 1.88%. The qualified applicant pool for PWTD was 1.88%, and selections for SO positions were [Redacted to protect privacy.] PWTD.

At the GS-15 equivalent level, qualified internal applicants (2.87%) exceeded the RAP (1.24%). At this level, selections among PWTD (4.35%) also exceeded qualified applicants (2.87%).

At the GS-14 equivalent level, the RAP was 1.49%, while 2.21% of the qualified internal applicants were PWTD. There were no selections among PWTD.

At the GS-13 equivalent level, the Agency observed a difference involving PWTD among qualified internal applicants. The RAP was 4.98%, and the participation of PWTD among qualified internal applicants was 3.09%. The qualified applicant pool was 3.09%, and no PWTD were selected.

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

a. New Hires to SES (PWD)	Yes X	No 0
b. New Hires to GS-15 (PWD)	Yes X	No 0
c. New Hires to GS-14 (PWD)	Yes 0	No X
d. New Hires to GS-13 (PWD)	Yes X	No 0

Applying the same grade equivalencies that were described above, the Agency presents information on trigger identification for PWD new hires to senior grade levels. Among the 290 newly-hired staff members in FY 2021 were 183 persons hired into senior grade level positions: 4 SOs, 12 into GS-15 equivalent positions, 89 into GS-14 equivalent positions, and 78 into GS-13 equivalent positions. Eighteen of those 183 (9.84%) newly-hired permanent staff in senior grade levels identified as PWD. The following evaluates participation of PWD in each senior grade equivalent level.

As described above, the QAP reflects applicants who self-identified with a disability when they applied for permanent positions with the SEC that were posted in USAJOBS with a closing date during the fiscal year and qualified for the position. The SEC also analyzes data on *new hires* onboarded during the course of the fiscal year; some of whom applied for a vacancy posted prior to the start of the fiscal year, and some of whom were onboarded from open, continuous postings. Differences may be observed in the demographic statistics of those selected versus those onboarded as *new hires*. Triggers comparing the composition of PWD and PWTID (*See Question 5 immediately below*) in applicant flow versus new hire data should be interpreted with these differences in mind.

At the SES equivalent level, the QAP was 5.75% PWD, and none of the four newly-hired permanent SOs identified as PWD.

At the GS-15 equivalent level, the QAP was 15.86% PWD, and 8.33% of the 12 newly-hired permanent staff for those positions identified as PWD.

At the GS-14 equivalent levels, the QAP was 10.08% PWD, and 13.48% of the 89 newly-hired permanent staff were PWD.

At the GS-13 equivalent level, the QAP was 9.01% PWD, while 6.41% of the 78 new hires to GS-13 equivalent positions identified as PWD.

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

a. New Hires to SES (PWTD)	Yes X	No 0
b. New Hires to GS-15 (PWTD)	Yes X	No 0
c. New Hires to GS-14 (PWTD)	Yes X	No 0
d. New Hires to GS-13 (PWTD)	Yes X	No 0

Applying the same grade equivalencies that were described above, the Agency presents information on trigger identification for PWTD new hires to senior grade levels. The qualified applicant pool for PWTD was 2.32%.

The Agency found triggers in participation of PWTD between qualified applicants and new hires at the SES, GS-15, GS-14, and GS-13 equivalent levels.

More detail about each senior grade level follows in descending order by level.

At the SES equivalent level, the QAP was 2.30%; no newly-hired staff members were PWTD (0.00%).

At the GS-15 equivalent level, the QAP was 2.84%; no newly-hired staff members were PWTD (0.00%).

At the GS-14 equivalent level, the QAP was 2.28% PWTD; 1.12% of the newly-hired GS-14 equivalent staff were PWTD.

At the GS-13 equivalent level, the QAP was 2.19% PWTD, no newly-hired staff members were PWTD (0.00%).

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

a. Executives

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

b. Managers

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

c. Supervisors

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

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

Among the promotions in FY 2021 were 49 persons promoted to a leadership position at the supervisor, manager, or executive level: 2 SOs, 27 managers, and 20 supervisors. The following evaluates participation of PWD in each leadership level.

For executives, there were no differences to the disadvantage of PWD in the qualified internal applicant pool compared to the RAP, or with respect to selections.

For the manager, and supervisor levels, there were no differences to the disadvantage of PWD in the qualified internal applicant pool compared to the RAP. However, there were triggers at both of these levels with respect to selections.

For managers, the qualified applicant pool was 18.78%, and selections were 7.41% PWD.

For supervisors, the qualified applicant pool was 25.52%, and selections were 20.00% PWD.

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

a. Executives

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

b. Managers

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

c. Supervisors

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

Applying the same grade equivalencies that were described above, the Agency presents information on trigger identification for PWTD internal promotions to supervisory positions. Of 49 individuals selected for promotion, three (6.12%) were PWTD.

At the Executive level, the RAP was 1.25% PWTD, and the participation among qualified internal applicants of PWTD was 1.88%. The qualified applicant pool for PWTD was 1.88%, and selections for SO positions were [Redacted to protect privacy.] PWTD.

At the manager level, the Agency observed a trigger with respect to selections for promotions. The QAP for PWTD was 1.46%, while no selections were PWTD.

There were no triggers observed at the supervisor level.

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

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

Applying the same grade equivalencies that were described above, the Agency presents information on trigger identification for PWD new hires into leadership positions, to assess whether differences exist with regard to applicants and new hires in supervisory positions for PWD (*this question*) and PWTD (*See the next question*).

A difference was found in FY 2021 new hire data for PWD at the executive and manager levels. No trigger was found at the supervisor level.

Among the 290 newly-hired staff members in FY 2021 were 18 persons hired into leadership positions: four SOs, seven SK-17 managers, and seven supervisors below SK-17. Two of those 18 (11.11%) newly-hired permanent staff in leadership positions identified as PWD. The following evaluates participation of PWD in each leadership level.

For executives, the QAP was 5.75% PWD, and none of the four newly-hired permanent executives identified as PWD.

For managers, the QAP was 18.21% PWD, and none of the seven newly-hired managers identified as PWD.

For supervisors, the QAP was 14.66%, and 28.57% PWD were newly-hired into the seven supervisory positions.

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

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

Differences were found in the new hire data for PWTD at the executive, manager, and supervisor levels.

For executives, the QAP was 2.30% PWTD, and no PWTD were hired for executive positions in FY 2021.

For managers, the QAP was 3.51% PWTD, and no PWTD were hired for manager positions in FY 2021.

For supervisors, the QAP was 3.23% PWTD, and no PWTD were hired for supervisor positions in FY 2021.

SECTION V: PLAN TO IMPROVE RETENTION OF PERSONS WITH DISABILITIES

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

Voluntary and Involuntary Separations

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

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

The SEC maintains discretion on conversions to a career or career-conditional appointment among employees on Schedule A appointments. As a general practice, those Schedule A employees who were not converted voluntarily accepted a new Schedule A appointment within the Agency. During FY 2021, one employee was converted to the competitive service under the Schedule A hiring authority within two years of their most recent Schedule A appointment. Nine employees are currently serving on their most recent Schedule A appointment that was processed within the past two years. Five employees hired in FY 2020 or FY 2021 are serving on an initial Schedule A appointment that has not reached the two-year threshold. One employee accepted a new Schedule A appointment in FY 2021. Three staff members were newly-hired under Schedule A during FY 2021. A review of records for other Schedule A employees, who were hired or transferred to the SEC and remain on rolls at the close of FY 2021, confirms that all were converted to the competitive service within two years of their most recent Schedule A appointment.

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

- | | | | | |
|----------------------------------|-----|-------------------------------------|----|-------------------------------------|
| a. Voluntary Separations (PWD) | Yes | <input checked="" type="checkbox"/> | No | 0 |
| b. Involuntary Separations (PWD) | Yes | 0 | No | <input checked="" type="checkbox"/> |

Data on voluntary and involuntary separations by disability were used to calculate the inclusion rates. Inclusion rates were calculated as the number of PWD who separated among all PWD in the workforce, compared to the same proportion among persons with no disability (this category is combined with those who did not self-identify as having a disability).

The Agency had a trigger for voluntary separations in FY 2021. The inclusion rate on voluntary separations was 7.36% for PWD, and 4.42% for persons with no disability. The largest contributor to this difference, and the only separation type in which there was at least a one percent difference relative to persons with no disability, was retirements (3.81% PWD; 1.94% persons with no disability).

The inclusion rate on involuntary separations was zero (0.00%) among permanent employees for both PWD and persons with no disability.

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

- | | | | | |
|-----------------------------------|-----|-------------------------------------|----|-------------------------------------|
| a. Voluntary Separations (PWTD) | Yes | <input checked="" type="checkbox"/> | No | 0 |
| b. Involuntary Separations (PWTD) | Yes | 0 | No | <input checked="" type="checkbox"/> |

The inclusion rates were calculated as the number of PWTD who separated among all PWTD in the workforce, compared to that same proportion among persons with no targeted disability (this group also includes those who did not self-identify as having a disability and those with a disability that is not targeted).

The Agency had a trigger for voluntary separations in FY 2021. The inclusion rate on voluntary separations was 8.75% for PWTD, and 4.61% for persons with no targeted disability. The largest contributor to this difference, and the only separation type in which there was at least a one percent difference relative to persons with no targeted disability, was retirements (6.25% PWTD; 2.03% persons with no targeted disability).

The inclusion rate on involuntary separations was zero (0.00%) among permanent employees for both PWTD and persons with no targeted disability.

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

The SEC invites all departing employees to complete an exit survey during their last pay period on SEC rolls. This survey asks exiting employees to self-identify if they have a disability and whether or not an accommodation was needed or provided. Among 107 employees who completed the exit survey in FY 2021, 13 self-identified as having a disability (or 12%)—and five of the 13 employees reported that they were provided reasonable accommodation.

In FY 2021, 63% of exit survey respondents who separated and reported a disability indicated they left the SEC due to retirement. No other separation type demonstrated a trigger. Of them, the most commonly cited primary reason for their departure was eligibility for retirement (30.77%, four employees). However, two employees (15.38%) cited promotional opportunities, and another two (15.38%) cited their relationship with their supervisor or team lead. Of the remainder, one retiree cited the Agency's voluntary early retirement incentive, one cited pay/compensation, one cited personal circumstances, one cited a career opportunity, and one selected "other."

Of note, departing employees who self-identified as having a disability provided mixed results when responding to items on the exit survey related to diversity and inclusion when compared to employees who did not report a disability: 63.2% agreed that their workgroup was open to diverse viewpoints and backgrounds (compared to 73.7% of employees who did not report a disability); 73.7% agreed that their supervisor/team lead treated them with respect (versus 85.1%); and 52.7% agreed their co-workers fostered a cohesive work environment (versus 86.5%). However, 73.7% of persons with disabilities agreed policies and programs promoted diversity in the workplace (versus 64.9% of persons without disabilities). The results of the exit survey suggest employees who separated and indicated a disability were less satisfied with certain organizational culture issues surrounding diversity and inclusion than they were with SEC policies and programs on diversity and inclusion.

The small number of separating employees who self-identified with a disability and completed the exit survey limits the ability to generalize to the broader population about the reasons why employees with disabilities leave the Agency.

Accessibility of Technology and Facilities

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

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

Information about the SEC's Accessibility/Disability Program is posted on [SEC.gov: SEC.gov/disability/sec_access.htm](https://www.sec.gov/disability/sec_access.htm) and [SEC.gov/accessibility/sec-accommodation-procedures.pdf](https://www.sec.gov/accessibility/sec-accommodation-procedures.pdf). The SEC has also made available a *Section 508 Resource Center* to all SEC personnel. This online resource center provides links to accessibility training and resources, federal regulations and general guidance, as well as "how-to" instructions to make documents, presentations, and electronic files 508-compliant. Information specific to the accessibility of SEC facilities and technology under Sections 504 and 508 of the Rehabilitation Act is also available in a variety of sources, including 17 C.F.R. §§ 200.601 to 200.670, *Enforcement of Nondiscrimination on the Basis of Handicap in Programs or Activities Conducted by the Securities and Exchange Commission* (SEC 504 regulations), SEC Administrative Regulation 24-10 (SECR 24-10), *Information and Communication Technology (ICT) Section 508/Accessibility Program*, and SEC Administrative Regulation 11-3 (SECR 11-3), *Leasing Program*.

In FY 2021, the SEC updated the Accessibility page of [SEC.gov](https://www.sec.gov) with applicable complaint-filing procedures under both Sections 504 and 508 of the Rehabilitation Act and the Architectural Barriers Act. Updates included an explanation of the Rehabilitation Act and Architectural Barriers Act, informal processes for providing feedback about accessibility of facilities and technology to SEC, contact information and specific complaint processes for filing a formal claim related to accessibility, and additional resources for individuals to learn more. The SEC Administrative Regulation (SECR) and SEC Operating Procedures (SECOP) setting forth the complaint process related to Sections 504 and/or 508 and the Architectural Barriers Act were finalized in FY 2021 and posted on [SEC.gov](https://www.sec.gov).

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The SEC continues to improve upon current practices in place to ensure all Information and Communication Technology (ICT) is accessible to internal and external parties, as mandated by the Rehabilitation Act of 1973. The Agency's testing and validation process includes dedicated resources, testing tools, documented test processes, and a remediation process. The majority of ICT products and tools are tested before they are deployed. If a product is deemed not 508-compliant, project teams are instructed to submit a Remediation Plan indicating a plan of action or timeline in which the vendor will make the respective product 508-compliant and obtain an approval from senior management before deploying.

Every SEC vacancy announcement posted to USAJOBS includes information about obtaining accommodations, including alternative methods to apply. The name of SEC's Special Programs Manager serving as the Selective Placement Program Coordinator is posted on OPM's website. OHR has built a separate page providing more in-depth information about hiring PWD ([SEC.gov/sec-disability-programs-overview](https://www.sec.gov/sec-disability-programs-overview)). This page includes a link to an online form ([SEC.gov/forms/ada4applicants#no-back](https://www.sec.gov/forms/ada4applicants#no-back)) for requesting accommodations in the technology-enabled job application process and information on alternate methods for contacting the Disability Program at the SEC.

The SEC also posts information on how to file an EEO complaint under, *inter alia*, Section 501 of the Rehabilitation Act at [SEC.gov/eeoinfo/eeocomplaints.htm](https://www.sec.gov/eeoinfo/eeocomplaints.htm).

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

Information is posted on SEC.gov: [SEC.gov/disability/sec_access.htm](https://www.sec.gov/disability/sec_access.htm). This page contains the required notice explaining employees' and applicants' rights under the Architectural Barriers Act, including how to file a complaint alleging violations of the Architectural Barriers Act.

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

The SEC continues to improve upon current practices in place to ensure all ICT is accessible to internal and external parties, as mandated by the Rehabilitation Act of 1973. The Agency's testing and validation process includes dedicated resources, testing tools, documented test processes, and a remediation process. The majority of ICT products and tools are tested before they are deployed. Upon completion of testing, project teams are notified of the defects and are instructed to submit, for approval, a Remediation Plan, indicating a definitive timeline in which the vendor will make the respective product 508-compliant.

The Office of Public Affairs has been instrumental in educating SEC staff on the guidelines and importance of Section 508 of the Rehabilitation Act. Training courses have been offered, as well as "how-to" videos that inform staff of the process with making electronic information technologies accessible to all parties.

The Office of Information Technology will be active in supporting the SEC Administrative Regulation that defines roles and responsibilities of SEC staff to address formal Section 508 Complaint Procedures related to accessibility of IT programs and services.

Reasonable Accommodation Program

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

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

In FY 2021, the SEC met its goal of processing 100% of accommodation requests within 20 business days, the timeframe specified in the Agency's policy and previously approved by the EEOC. This reflects an improvement of 15 percentage points from FY 2020 when the Agency timely processed 85% of reasonable accommodation requests.

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

Starting in FY 2019 and throughout FY 2021, the SEC conducted an internal review of the *SEC Reasonable Accommodation Regulation* (SECR 6-80) and *SEC Reasonable Accommodation Operating Procedures* (SECOP 6-80) by collecting input from SEC stakeholders and negotiations with the SEC's union. Subsequently, the SEC revised the reasonable accommodation policy and procedures and, as required by regulation and the Equal Employment Opportunity Commission, submitted the draft procedures to the EEOC for approval. In March 2021, the EEOC approved the draft procedures, which included a revised timeframe to process requests for accommodation—from 20 business days to 45 business days—absent undue hardship. The SEC intends to publish in FY 2022 the revised RA policy and operating procedures.

These policy and operating procedure documents ensure that employees and applicants know their right to receive a reasonable accommodation for disability-related limitations under the Rehabilitation Act, if needed, to perform the essential functions of their position, enjoy equal benefits and privileges of employment, or apply for a job at the SEC. Related operational guidance further explains stakeholder responsibilities for the provision of disability-related accommodation, how to request an accommodation, and how such requests are processed and includes information about the interactive process, and, how requestors may seek review of decisions when a request has been denied. The Commission is finalizing these documents internally and will disseminate and train appropriate staff on the revised policy and procedures (and forms), and post a 508-compliant version of these documents on its public website at [SEC.gov](https://www.sec.gov), as required under the Section 501 Affirmative Action Regulations and its internal interactive portal *AskHR* in 2022. *AskHR* provides employees with information about reasonable accommodation and the processes for making requests. The SEC published additional resource information for employees, supervisors, and managers on its *AskHR* portal that provides a general overview and insight into its reasonable accommodation program process.

Changes to RA procedures will likely necessitate updates to training, job aids, notices, and other information sources in FY 2022 and beyond. Once the program guidance is finalized and implemented, manager/supervisors, employees, and all staff with responsibilities under these procedures will be informed of the updates. The updated RA procedures will be incorporated in the mandatory New Supervisors and New Employee trainings, and the on-demand trainings available in the SEC's *LEAP* training platform that will be made available to Agency employees. At least annually, an announcement goes out to the workforce regarding the reasonable accommodation program to assist managers and employees in their understanding of the SEC's disability accommodation program.

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The SEC provides temporary assistance to employees with short-term medical conditions even when the condition does not constitute a covered disability when supervisory officials and the Disability Program Office decide that it is appropriate to do so through the SEC Temporary Medical Telework (TMT) Program. Since the SEC continued its maximum telework posture throughout FY 2021, the RA Program Office did not receive any TMT requests to process during this time period. The Agency intends to publish the revised TMT policy and related operational procedures in CY 2022.

In FY 2021, the SEC conducted general training for managers and supervisors on the Rehabilitation Act, their role and responsibilities in the reasonable accommodation process to include the interactive process provision, and how to respond appropriately when an individual places them on notice of the need for reasonable accommodation. New managers and supervisors are required to attend scheduled training to obtain an in-depth overview for the provision of reasonable accommodation. This includes disseminating program-specific information during the *New Employee Orientation* and *CLTD 307 Fundamentals of Human Resources Management* course offered by the SEC University's College of Leadership and Team Development.

The SEC also conducted two virtual *CLTD 307* trainings in addition to the course's eLearning modules which provides real-time, scenario-based specific illustrations for supervisors and managers to heighten their awareness of the: (1) Schedule A hiring authority; (2) SEC's RA Program; (3) TMT to ensure their awareness of their role in hiring and retaining employees with temporary or permanent disabilities; (4) types of requests made by employees with disabilities; and (5) roles and responsibilities with respect to the Agency's Reasonable Accommodation Program. This training was enhanced by the Reasonable Accommodation Program Office to ensure awareness of the SEC's RA Program process and related program guidance and regulations under the Rehabilitation Act of 1973 in the pandemic virtual environment. In-depth, situation-specific training was provided as-needed to individual managers who supervise employees with disabilities. Additional information about *CLTD 307* is provided earlier in this report, *supra*.

Moreover, refresher on-demand training course offerings are readily available online for employees and managers through the Agency's learning platform, *LEAP*, which provides an effective overview of the Rehabilitation Act and the federal and SEC reasonable accommodation process.

Year over year, the Agency continues to improve upon current business practices to ensure all information technology is accessible to internal and external parties, as mandated by Section 508 of the Rehabilitation Act of 1973. In late FY 2021, the SEC (through the collaborative

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efforts of OEEO, OMWI, OHR, and the Disability Interests Advisory Committee) established a dedicated adaptive technology support contractor to increase assistive technology access and aid in the advancement of innovative approaches and accessible solutions for persons with disabilities seeking assistance as a reasonable accommodation. This will provide consistent, dedicated, and timely support for information technology accessibility to the PWD and PWTD communities. Additionally, the Agency continues to ensure that physical work environments remain compliant with procedures under Section 504 of the Rehabilitation Act and the Architectural Barriers Act. Updates include an explanation of the Rehabilitation Act and Architectural Barriers Act, informal processes for providing feedback about accessibility of SEC facilities and technology, contact information and specific complaint processes for filing a formal claim related to accessibility, and additional resources for individuals to learn more. The SEC's Administrative Regulation and Operating Procedures setting forth the complaint process related to Sections 504 and 508 and the Architectural Barriers Act were finalized and published on the SEC intranet on April 6, 2021, and on [SEC.gov](https://www.sec.gov).

The SEC implemented a new five-year contract vehicle with Deaf Access Solutions (DAS) for its Sign Language Interpretation Program in FY 2021. DAS provides enhanced interpretation solutions to include Communication Access Realtime Translation and Federal Relay Service to provide a more diverse pool of interpreters who can provide a greater array of support services for the Deaf/Hard-of-Hearing community.

Meanwhile, the Agency procured a new reasonable accommodation program case management solution as a repository for case information and report generation. The case management system will complement the Agency's reasonable accommodation process and requirements in terms of system functionality, adaptability, and accessibility. The implementation of the system is expected to simplify case tracking, help identify any systemic delays, improve customer service by allowing employees to request reasonable accommodations personally and privately, and address the timeliness standards set by the new SEC policy which increased the processing timeframe to 45 business days, absent undue hardship. To advance RA Program maturity and success, system requirements analyses were expected to be completed in CY 2021 and full design and implementation of the system, which includes finalizing RA electronic system requirements, conducting user acceptance testing and training the SEC workforce on the new interactive processing portal is expected to be completed in calendar year 2022.

In the interim, OHR continues to find ways to strengthen the current manual tracking process, including tracking timeliness for processing RA requests, and meeting on a monthly basis with the CHCO to review and discuss timeliness and processing of all RA cases. The Agency will continue its efforts to implement the business requirements for the electronic case management system in 2022.

Personal Assistance Services Allowing Employees to Participate in the Workplace

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

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

As reflected in the section immediately above, and incorporated herein by reference, the SECOP 6-80 *Reasonable Accommodation Operating Procedures* includes information regarding the process for requesting PAS, the process for determining whether such services are required, and the process for denying PAS requests when it would pose an undue hardship to the Agency. Program provisions for requesting and providing decision on PAS reasonable accommodation requests are the same as the process for reasonable accommodation described in the new policy and related operating procedures and on the SEC public and internal websites. The SEC continues to use the *SEC Form 2943 Request for Personal Assistance Services* to capture requests, and data obtained by this form will provide the RA Program critical information that may be used to understand program adoption and effectiveness going forward.

The SEC has a contract in place to support employees with targeted disabilities needing PAS services. In FY 2021, the SEC did not receive or process any requests (new or modifications) for PAS services. Consequently, the employee utilization rate remains at the FY 2019 level. The Agency will continue to monitor its current contract for personal assistant and reader services to ensure the consistent delivery of health care services and will enhance the level of support as required.

During FY 2021, the Agency conducted general training for managers and supervisors on the Rehabilitation Act, their role and responsibilities in the reasonable accommodation process to include the interactive process provision, and how to respond appropriately when an individual places them on notice of the need for reasonable accommodation. New managers and supervisors are required to attend scheduled training to obtain in-depth overview for the provision of reasonable accommodation. This includes disseminating program-specific information during the New Employee Orientation and through the College of Leadership & Team Development *Fundamentals of Human Resources Management* course offered by the Agency's learning office, SEC University. The *CLTD 307* training provides real-time, scenario-based specific illustrations for supervisors and managers to heighten awareness about the RA Program, details general characteristics of available accommodations typically requested by employees with disabilities (e.g., PAS) and clarifies assumptions about roles and responsibilities with respect to the Agency's reasonable accommodation program. Moreover, refresher training course offerings are readily available for employees and managers through the Agency's SECU learning platform *LEAP*; the training provides an effective overview of the Rehabilitation Act, Americans with Disabilities Act, and the federal and SEC reasonable accommodation process.

SECTION VI: EEO COMPLAINT AND FINDINGS DATA

EEO Complaint Data Involving Harassment

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

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

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

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

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

During FY 2021, the Agency did not have any findings of discrimination alleging harassment based on disability status.

EEO Complaint Data Involving Reasonable Accommodation

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

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

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

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

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

During FY 2021, the Agency did not have any findings of discrimination involving the failure to provide reasonable accommodation. Two formal complaints that included allegations involving the failure to provide reasonable accommodations resulted in settlement agreements.

SECTION VII: IDENTIFICATION AND REMOVAL OF BARRIERS

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

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

Yes 0 No **X**

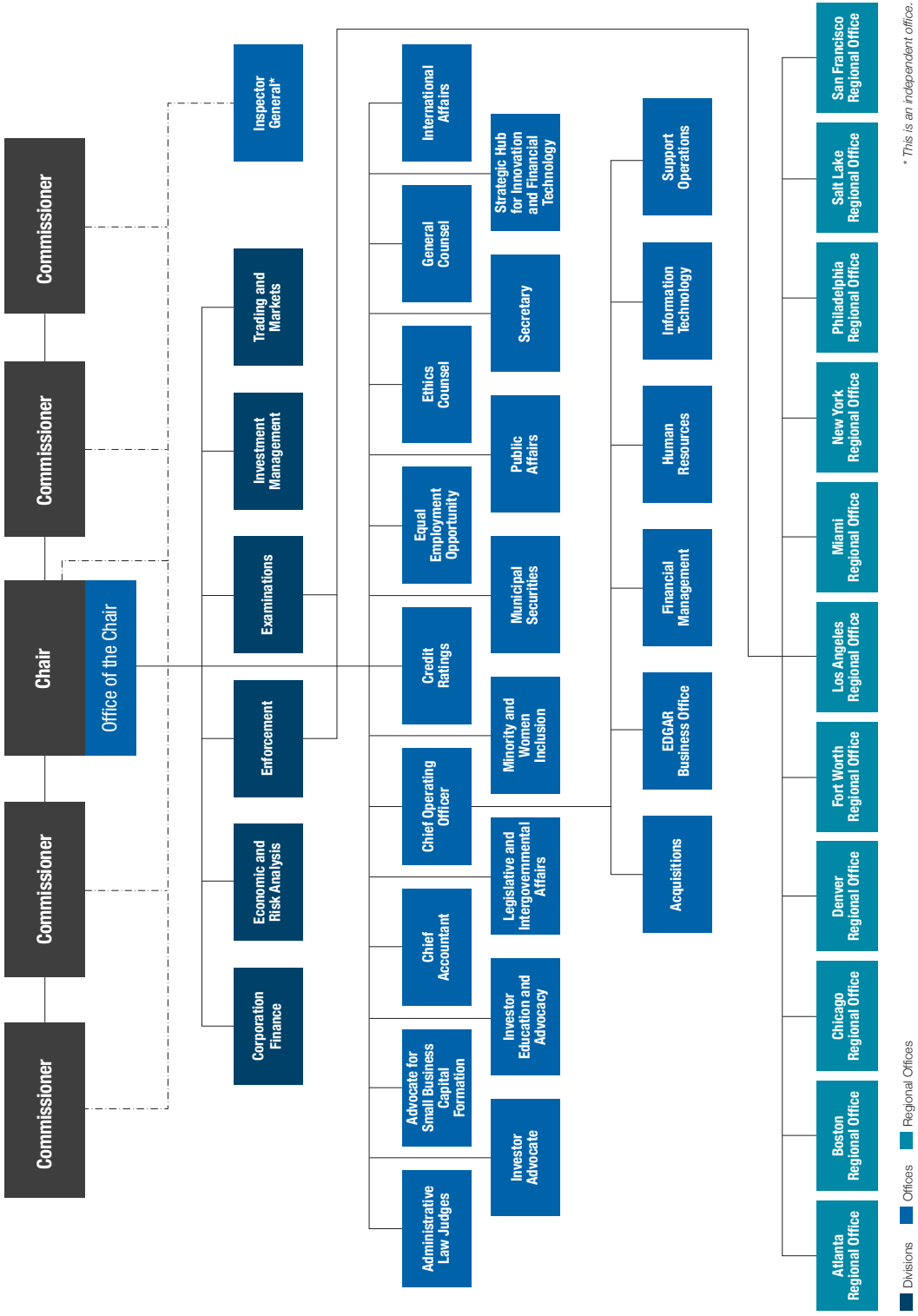
2. Has the Agency established a plan to correct the barrier(s) involving PWD and/or PWTD?

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

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

Not applicable for the FY 2021 reporting period.

ATTACHMENT 1. SEC ORGANIZATIONAL CHART



* This is an independent office.

■ Divisions ■ Regional Offices

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 6 Divisions and 25 Offices, each of which is headquartered in Washington, DC. The Commission's staff is located in Washington, DC, and 11 Regional Offices throughout the country. Divisions and Offices include:

Six Divisions:

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

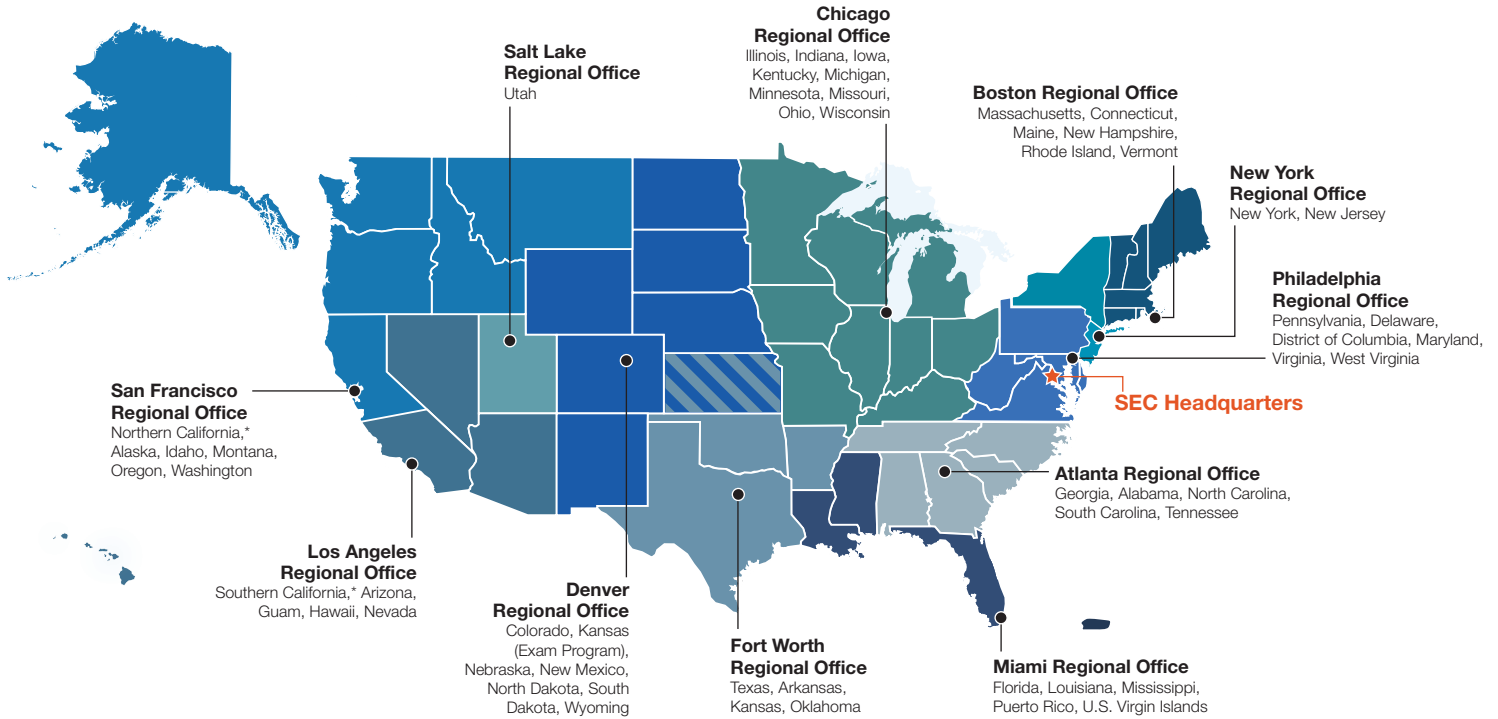
Twenty-five Offices:

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

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

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

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



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

ATTACHMENT 2. SEC STRATEGIC PLAN FY 2018–2022

The Agency *Strategic Plan* can be found at www.SEC.gov/strategic-plan.

ATTACHMENT 3. EQUAL EMPLOYMENT OPPORTUNITY POLICY



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 a work environment that helps to achieve this goal—a work environment that is respectful, inclusive, and allows you to contribute to the best of your ability.


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

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

All employees must fully participate in investigations into allegations of discrimination, harassment and/or retaliation and may use a reasonable amount of work time to do so. 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 or Deputy Director.

If you believe you have been subjected to discrimination, harassment, or retaliation in violation of federal EEO laws or SEC policy, please contact the Office of Equal Employment Opportunity (OEEO) within 45 calendar days of the employment action you believe to be discriminatory, harassing, or retaliatory to preserve your right to participate in the formal EEO complaint process. You can reach OEEO by email at OEEO@sec.gov, 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. The [SEC's No FEAR Act](#) notice and [The Exchange](#) provide additional information.

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



GARY GENSLER

May 24, 2021

DATE

ATTACHMENT 4. POLICY ON PREVENTING HARASSMENT (PPH)



Policy on Preventing Harassment (PPH)

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

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

The SEC will address and put an immediate end to conduct—whether verbal, written, or physical—of which it is aware that is offensive (i.e., degrading, derogatory, or demeaning) or unwelcome on any EEO basis before it rises to the level of illegal harassment. EEO-based harassment may be illegal where: (1) enduring the conduct is a condition of continued employment or is the basis of a decision affecting the terms, conditions, or privileges of employment; or (2) the conduct is sufficiently severe or pervasive to create a hostile work environment. Lack of intent to offend does not excuse inappropriate conduct. Immediate and appropriate corrective and disciplinary action will be recommended when it is determined that harassment has occurred.

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

The PPH and its operating procedures ([SECOP-27-1](#)) apply 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 email at HarassmentConcerns@sec.gov, telephone (202) 551-6040, fax (202) 772-9316, or in person (SP11, Suite 2900). OEEO will accept and process anonymous allegations to the extent possible. Additional information is also available on [The Exchange](#). TTY users should call the Federal Relay Service at (800) 877-8339 to be connected with OEEO.

Reporting Responsibility of Managers and Supervisors

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

Harassment Inquiry

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

Retaliation Prohibited

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

PPH Inquiry Versus EEO Complaint

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

Confidentiality

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

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

May 24, 2021
DATE

GARY GENSLER

ATTACHMENT 5.

SEC'S ALTERNATIVE DISPUTE RESOLUTION C2R PROCEDURES

U.S. Securities and Exchange Commission
Policy Statement

EQUAL EMPLOYMENT OPPORTUNITY DISPUTE RESOLUTION POLICY STATEMENT

U.S. Securities and Exchange Commission
Office of Equal Employment Opportunity
Washington, DC 20549

OEEO #2019-1
March 2019

1. Purpose

This statement sets forth the policy of the U.S. Securities and Exchange Commission (SEC) related to the use of alternative dispute resolution (ADR) to resolve equal employment opportunity (EEO) disputes.

2. Authorities and Related Guidance

Administrative Dispute Resolution Act of 1990
Administrative Dispute Resolution Act of 1996
29 C.F.R. Part 1614
Equal Employment Opportunity Commission (EEOC) Management Directive (MD) 110 (MD-110)
SEC Equal Employment Opportunity Policy
SEC's Alternative Dispute Resolution Policy Statement (Aug. 5, 2008)
OEEO, Conflict-to-Resolution, Standard Operating Procedures (Chapter 3)
OEEO, Conflict-to-Resolution, Frequently Asked Questions

3. Effective Date

This policy statement is effective immediately. All prior policy statements issued by the Office of Equal Employment Opportunity (OEEO) related to ADR are rescinded.

4. Policy

The SEC is committed to resolving workplace disputes as soon as practicable. The SEC supports the use of ADR as a means of resolving employment-related disputes where appropriate and feasible.

OEEO offers a Conflict-to-Resolution Program (C2R or C2R Program) that provides an opportunity to resolve disputes alleging employment discrimination. Used properly in appropriate circumstances, ADR can provide faster, less expensive and contentious, and more productive results in resolving conflicts that include claims of workplace discrimination. The C2R Program is governed by the core principles of fairness and flexibility as set forth in [EEOC's MD-110](#) and [SEC's Alternative Dispute Resolution Policy Statement](#).

OEEO through its C2R Program offers ADR to employees, former employees, contract personnel, and applicants for employment who have entered the EEO process with the SEC's EEO Office. OEEO will offer ADR to participants in the EEO process unless the OEEO Director or Deputy Director determines it is not appropriate under the circumstances. The OEEO Director or Deputy Director will authorize ADR

on a case-by-case basis by assessing the totality of the circumstances and factors surrounding the matter.

The C2R Program provides a neutral, third-party ADR professional that assists participants—through open and honest dialogue—to focus on areas of commonality and interest to resolve workplace issues. The ADR technique generally available through the C2R Program is mediation; other techniques may be made available by OEEO depending on the circumstances. The expectation is that all participants in ADR through C2R will listen, be heard, and work together towards a resolution that supports positive working relationships that best serve the SEC’s primary mission of protecting the nation’s investors.

Supervisors and managers must participate in ADR through C2R to resolve EEO disputes when approved. All participants are expected to participate in the C2R Program promptly, in good faith, and with due respect for the confidentiality of the matters discussed.

5. Training

Managers and supervisors must take the training course [Conflict2Resolution \(C2R\) – Using Alternative Dispute Resolution to Resolve EEO Concerns](#), which is available in LEAP, SEC’s e-learning platform, upon hire or promotion into a supervisory position. Information about ADR is also included in the mandatory CLD 307 course (Fundamentals of Human Resource Management) for supervisors and managers.

All employees, contractors, and interns are strongly encouraged to take the C2R training course before participating in ADR through the C2R Program.

6. Evaluation

OEEO asks all participants in the C2R Program for voluntary feedback about their experience. OEEO will assess this feedback to determine how the C2R Program might be made more efficient and achieve increasingly better results.

7. Additional Information

For more information on the C2R Program, please contact OEEO at:

(202) 551-6040 (Phone)
1-800-877-8339 (TTY: Use Federal Relay Service)
(202) 772-9316 (Fax)



Peter Henry, Director, OEEO

March 5, 2019

Date

ATTACHMENT 6. REASONABLE ACCOMMODATION AND PERSONAL ASSISTANCE SERVICES PROCEDURES

SEC Accommodation Procedures

Office of Human Resources

SEC Disability Accommodation Process

Accommodations enable people with physical or mental disabilities to have access to employment opportunities and public programs equivalent to that of non-disabled people. Accommodations include equipment and services, modified work environments, locations and schedules and restructured jobs. Reassignment to a suitable vacant position is the accommodation of last resort, available only when no other accommodations will work.

Federal Law Requires Employers to Provide Reasonable Accommodations to Qualified Persons with Disabilities

The Rehabilitation Act of 1973, as amended by the Americans with Disabilities Act Amendments Act, requires federal agencies to reasonably accommodate qualified individuals with covered disabilities. Reasonable accommodations do not include accommodations that would cause undue hardship to the employer. Individuals have covered disabilities if they have physical or mental conditions that substantially impair their ability to perform major life activities (such as seeing, hearing, walking and speaking). Individuals are not disabled if their conditions do not substantially impair their ability to perform major life activities when they are compared to most other people in the general population. Individuals are not disabled if their condition is likely to last less than three months regardless of how severely it impacts their ability to perform major life activities. Individuals are “qualified when they meet the education, experience and licensing requirements of the position and can perform the essential functions of the position with—or without—reasonable accommodations.

SEC’s Policy and Procedures Regarding Accommodations Requests

SEC’s policy is to reasonably accommodate qualified persons with disabilities covered by the Rehabilitation Act of 1973 when they request accommodations and accommodations will not cause the SEC undue hardship. This document, “Requesting Accommodations at SEC” is a comprehensive resource guide for everyone involved in the accommodations process. It explains how persons with disabilities should request accommodations, how requests are processed and how Requestors may seek review of decisions denying requests.

Employees with short-term medical conditions are not entitled to accommodations under the law because they do not have covered disabilities. Nevertheless, SEC provides temporary accommodations to employees with short-term medical conditions when supervisory officials and the DPO decide that it is appropriate to do so.

Answers to questions about accommodations at SEC are available from:

- Office of Human Resources: DisabilityAccommodation@SEC.gov
- Office of Equal Employment Opportunity: 202-551-6040

Part 1: How to Request Accommodations

Requests for accommodations are statements made to SEC officials by employees or applicants for employment asking for services or equipment or for changes in work or in the employment application process for reasons related to medical conditions.

1 A - Requestors and Responsible Officials in the Process

Requests may be made by:

- Individuals with disabilities or temporary medical conditions who are
- SEC employees
- Applicants for employment
- Members of the public
- Individuals acting on behalf of Individuals with disabilities

Request may be made to:

- Disability Program Manager (DPM) or Officer (DPO) in OHR DisabilityAccommodation@SEC.gov
- SEC supervisory officials:
 - o Requestor's supervisor or management official in Requestor's chain of command
 - o SEC Officials involved in employment application process
 - o SEC Officials responsible for public program or information

1 B - Recommended Methods for Making Requests

- Employees making requests to perform work or enjoy workplace benefits send email to the Office of Human Resources designated Disability Program mailbox.
- Applicants making requests to participate in employment application process use form available on www.SEC.gov
- Members of public making requests to access SEC program use form available on www.SEC.gov

1 C - Acceptable Methods For Making and Transmitting Requests

Written requests

- In any format (email preferred)
- To any responsible official listed in Part I A

Unwritten requests may be made during conversations with any responsible official listed in Part 1 A in person or by telephone.

Documenting unwritten requests

- Requestors who make unwritten requests must follow up as soon as possible by confirming requests in email to DisabilityAccommodation@SEC.gov
- Assistance is available from the DPM and SEC officials if employee needs help to confirm request
- SEC officials should immediately record unwritten requests they receive from employees by sending email describing request to DisabilityAccommodation@SEC.gov

Time limit for providing accommodations to Requestor

Time limit begins to run from day request is first made regardless of form of request, so long as employee or applicant asks an SEC supervisory official for a change or adjustment in work or the application process because of a medical condition.

1 D - When Accommodations will be Provided on Recurring Basis Without Requiring Repeated Requests

Requests are not necessary if employee has both:

- 1. Disability known to SEC - obvious or previously-documented disability and
- 2. Regular known recurring need for accommodations

Examples of recurring needs where repeated request not necessary:

- Sign language interpreting at weekly or occasional staff meetings and for training attended by Deaf or Hard-of-Hearing employee fluent in sign language
- Captioned training material, large print, etc.
- Reader services
- Upgrade of adaptive computer programs to make the programs compatible with new programs in general use within SEC
- Assistance during building evacuation, shelter-in-place or other emergency or drill
- Medical or disability accommodations for business travel

Part 2: Information Usually Required to Process Request

Do not submit documentation of disability or medical condition with request - This not part of minimum information required to make request for accommodations. Requestors should be prepared to submit medical information related to medical condition or disability if requested to do so by DPM.

2 A - Information from Requestors

- Contact information: Requestor's name, email, telephone or other contact information if Requestor cannot be contacted at SEC at time of making request
- Common name or non-technical description of disability or medical condition related to request – should be provided only when making request to <mailto:DisabilityAccommodation@SEC.gov> – not when making request to supervisor.
- Essential employment tasks or other employment activities – including benefits of employment that are adversely affected by functional limitations of condition
- Description of accommodations or type of accommodations requested – this may include request that DPM perform workplace assessment to identify reasonable accommodations
- Brief explanation of how requested accommodations would enable employee to perform essential job functions, and /or enjoy employment benefits

2 B - From Applicants to Participate in Employment Application Process

- Contact Information: Requestor's name and Email, telephone or other means SEC may use to quickly contact applicant about request
- Accommodations Requested For Application Process
- Description of accommodations requested
- When accommodations are needed: Dates and times
- Where accommodations are needed: office address and room number

2 C - From Members of Public or SEC Officials For Accommodations at SEC Public Programs

- Contact Information: Requestor's name Email, telephone or other means SEC's DPM may use to quickly contact Requestor
- Description of accommodations requested
- When accommodations needed (date and time)
- Where accommodations need (exact location including address and room number)

Part 3: Additional Information for Processing Requests

Minimum information listed in Part 2 is the only information required to notify SEC that an accommodation is being requested and to begin the process. Additional information described in Part 3

may be required by DPM to evaluate the request. SEC has the right to request additional information, including medical information from employees. If Requestors do not provide requested information to the DPM, their requests may be denied.

Delay in providing requested information may delay decision on request; Requestors should be prepared to provide this information promptly if DPM requests it.

3 A - Information about Employee and Employment

- Employee Name
- Job Title
- Office
- Name of immediate supervisor
- Office room number
- Other location(s) where accommodations may be needed (including telework location)
- Preferred communication or contact method
 - o TTY or text cell number
 - o Email address at SEC
 - o Email address at home
 - o SEC Phone
 - o Personal phones: cell and / or landline
 - o Home mailing address

3 B - Medical Information May Be Required to Process Request

SEC has right to request medical information from employees who request accommodations. SEC DPM will determine whether medical information will be requested on a case-by-case basis. SEC will follow the requirements of EEOC Guidance on Disability-Related Inquiries and Medical Examinations of Employees. See also Part 5 F describing procedures used by DPM if requesting Medical Information during the Interactive Process. Requestors should be prepared to provide information promptly to avoid a delay in DPO's decision on request.

- Failure to provide requested medical information may result in denial of requests.

When medical information will not be required:

No medical information will be requested if disability or medical condition identified in employee's request is obvious or has already been sufficiently documented and effect of disability or medical condition on Requestor's employment is clear.

When medical information will be required:

Medical information will be required if DPM or DPO need it to evaluate current medical condition or disability status of Requestor and/or the effectiveness of requested accommodations.

Medical information or documentation that may be required:

- Information related to request but not complete medical records or information unrelated to request
- Nature, severity, and duration of Requestor’s impairment
- Activity or activities that impairment limits
- Extent of limitation
- Why accommodations are required: what essential job functions are affected by limitation
- How requested accommodations will assist Requestor to apply for a job, perform a job or enjoy a benefit of employment
- Basis for health professional’s medical conclusion

First request for medical information will contain:

- Description of medical information needed
- Clear explanation for why it is needed
- Explanation of potential consequences if Requestor does not provide requested information

Subsequent requests:

If information provided in response to request is inadequate to establish that Requestor has disability and needs requested accommodations, then DPM will:

- Explain why submitted documentation is insufficient
- Identify information that is needed
- Explain potential consequences if Requestor does not provide requested information
- Give Requestor opportunity to provide information

Requestor’s Delay or Failure to Provide Requested Information

Requestor’s delay in providing requested medical information will delay DPO’s decision and may delay providing accommodations.

Requestor's failure to provide requested medical information or to sign medical release may result in denial of request after employee has been given sufficient opportunity to comply with DPM's requests for medical documents or access to related medical information but has not complied with requests.

Medical Release

SEC has the right to ask Requestors to sign a limited release to authorize their physicians or health care professionals to provide relevant medical information and or records to medical experts chosen and paid for by SEC.

Medical examination of Requestor at option of SEC.

If Requestor is still unable to provide sufficient information after DPM has provided required notice and opportunity to supplement deficient information, then DPO may ask Requestor to agree to be examined by a health care professional chosen by SEC at SEC's expense. DPM will explain to Requestor that requests for accommodations could be denied if Requestor does not agree to medical examination. Any medical examination will be limited to determining existence of a disability and/or functional limitations that require a reasonable accommodation. Any report of examination results will be made only to DPM. Examined employee will receive a copy of any report of examination results. SEC will bear expense of such examinations.

Confidentiality and Security of Medical Information

All medical information is kept strictly confidential by DPM and DPO. Only government officials with a legitimate need to know about Requestor's medical status have access to medical information about Requestor and any such official given access will be informed of the confidentiality requirements that apply to the information. Medical records are kept in locked files and on secure computer systems with access limited to DPM and DPO and other officials with a need to have access to provide accommodations, prepare reports to the EEOC or provide emergency treatment

Medical records are not kept in employee's official personnel files.

3 C - Optional Information about Request Provided by Requestor

Any information that could assist in acquisition or installation of requested accommodations in the form of equipment may be submitted to DPM at time request made, during interactive process or after decision is made. Equipment provided may differ from equipment requested. Optional information may be requested but will not be required.

Optional information provided does not limit SEC to acquiring any particular equipment or using any particular vendor for services.

Equipment

- Description of equipment requested
- Model number or version
- Name of vendors with contact information such as url, email or phone

Services

- Detailed description of services requested
- Dates on which intermittent services needed
- Names of vendors with contact information

Furnishings or workspace modifications

- Dimensions required for accessibility
- Turning radius of wheelchair or scooter
- Height of work surfaces
- Door opening hardware or mechanisms

Other: Alternative sources of accommodations

- Names of vendors with available stock and contact information

Part 4: Providing Timely Accommodations

Duty to provide accommodations on time

All SEC officials involved in processing requests and providing accommodations will abide by time limits specified in these procedures and will strive to provide accommodations in shortest possible time.

Time limits start to run on first day that any SEC official identified in Part 1 A receives request for accommodation (whether or not information is written down) from Requestor or person acting on behalf of Requestor. Date request made is not affected by Requestor subsequently: documenting unwritten request or providing optional or additional information during interactive process.

Date accommodations provided

For each request, the accommodation is provided on the date Requestor receives equipment or services or supervisor has implemented modifications to terms and conditions of employment. Examples include date on which: equipment is delivered, installed and operable, structural changes are completed, first day training is approved or provided, job modification takes effect, services are available to Requestor (even if Requestor does not use services immediately).

4 A - Standard Practice: Accommodations are provided as soon as practicable and within twenty (20) business days from date request is made unless exceptions described in Part 4 B apply

- Accommodations are provided as soon as practicable and within maximum time limit for applicable circumstances as determined by DPM or DPO.

- DPM and other SEC officials with responsibilities for processing accommodation requests and providing accommodations will take reasonable steps to ensure that their temporary absence will not delay providing accommodations.

4 B - Exceptions Affecting Time to Provide Accommodations

1. *Special Circumstances: Accommodations Expedited*

Provided within four business days if requested for:

- Applicants to apply for employment
- Employees to attend meetings or training for which employees had less than twenty days notice
- Employees to receive medical attention or other assistance during an emergency

2. *Extenuating Circumstances: more than twenty (20) days needed*

Extenuating circumstances are limited situations in which unforeseen or unavoidable events prevent SEC from providing accommodations within twenty business days. Temporary accommodations will be provided if possible until requested accommodations can be provided.

Examples of extenuating circumstances affecting decision on request:

- Required information has been requested by DPM during the interactive process and either has not been promptly provided by Requestor or is incomplete or not what was requested.
- Medical information requires extensive review by medical professional chosen by SEC.

Examples of extenuating circumstances affecting provision of accommodations after request is granted because accommodations involve

- Purchasing equipment or contracting for new services where satisfying requirements under Federal Acquisition Regulation may take longer than 15 business days
- Back-ordering equipment that is not currently available in stock
- Locating a new vendor when vendor SEC has used for equipment or services has unexpectedly gone out of business, or cannot promptly supply needed goods or services and another vendor is not immediately available
- Working with equipment or computer programs or services on a trial basis to determine whether they meet needs of Requestor and requirements of SEC before they are purchased or leased
- Hiring new staff to provide services
- Making significant changes in configuration of space within a building to remove architectural barriers or otherwise accommodate Requestor

Part 5: Interactive Accommodation Process

5 A. First Step

If recipient is supervisory official recipient will:

- Send notice acknowledging receipt
- Record date of request
- Consult DPM
- Notify next level supervisor
- Inform Requestor that if medical information is necessary to support request, DPM will contact Requestor directly

Supervisory officials should send any medical documents employee Requestors do give them to DPM - without reading or copying them – paper records should be transmitted in a sealed envelope marked CONFIDENTIAL “To Be Opened Only by Disability Program Manager”

If recipient is DPM or DPO recipient will:

- Send notice acknowledging receipt
- Record date of request in applicable database
- Consult with supervisory official involved in request
- Inform supervisory officials of their responsibilities.

If employee makes request recipient will send acknowledgment notices and take actions described above.

If anyone other than person to be accommodated makes request recipient will:

- Attempt to contact Requestor or applicant directly to confirm that he or she has authorized the request for accommodations before proceeding
- Proceed to process request if emergency situations prevent contact with Requestor (for example, employee is hospitalized in acute condition at time of request), and consult with employee as soon as possible.

Other circumstances

- If applicant for employment makes request recipient will provide accommodations without requesting medical information.

- If member of public makes request recipient will notify DPM. DPM will approve accommodations unless request would cause undue hardship to SEC. DPO has authority to determine whether member of public should provide medical information.
- If Request is made by SEC Official to make SEC program accessible to disabled members of public recipient will consult DPM for any information needed to provide accommodations.

5 B - General Information about Notices and Other Communications

Notices may be sent by email or other effective method to Requestor or person who made request on behalf of Requestor and Supervisor or other responsible officials. If Requestor notifies SEC of need for accessible format, notices will be sent in an accessible format. Electronic notices will comply with Section 508 of the Rehabilitation Act.

Ensuring Confidentiality

All SEC Officials involved in accommodations request process will take reasonable steps to ensure that notices will not be delivered to, nor read by, persons who do not have a need to know about information in notices in order to evaluate requests or provide accommodations.

5 C - Notices to Requestors at Beginning of Process

If notice is sent to acknowledge receipt of request it will contain:

- Date request made
- Date by which accommodations will be provided unless extenuating circumstances exist
- Reference or link to Accommodations Procedures on SEC Intranet

If notice is sent to inform applicants for employment of status of request it will confirm that accommodations will be provided for application process on date requested.

If notice is sent to inform Requestor of extenuating circumstances it will contain:

- Description of extenuating circumstances
- Approximate date by which accommodations will be provided if approved
- Developments or changes in status of pending request (if any) affecting date by which DPM expects accommodations to be provided.

5 D - Deciding Official for Employee Requests Is Identified

1. General Authorities

Disability Program Officer (DPO) has authority to:

- Determine Requestor's medical or disability status
- Decide what accommodations should be provided under the circumstances

- Recommend temporary accommodations
- Delegate responsibilities to DPM
- Direct SEC officials to provide approved accommodations

Disability Program Manager (DPM) is delegated authority by the DPO to:

- Request and evaluate sufficiency of confidential medical information
- Conduct interactive process with identified participants
- Grant extensions
- Approve routine requests
- Make referrals to other OHR programs
- Make recommendations to DPO related to decisions granting or denying requests

Supervisory officials have authority to:

- Provide temporary accommodations after consulting with DPM
- Participate in the interactive process

Supervisory officials do NOT have authority to:

- Request or receive medical information
- Disclose protected confidential information
- Determine employee's medical or disability status
- Deny accommodation requests

2. Deciding Official Depends on Requested Accommodations

Leave - Generally

Employees may request leave as accommodations for their own disabilities or medical conditions when they expect to return to work and be able to perform essential functions of current positions. In appropriate cases, leave in excess of the leave available under the Family Medical Leave Act may be provided as reasonable accommodations for employees' disabilities.

Leave provided may be paid or unpaid depending on whether employees have paid leave available.

Supervisory officials may agree to provide requested leave as accommodations after consulting with DPM. If supervisory officials do not agree to provide leave as accommodation, DPO will decide request after consulting with supervisory official and Requestor.

Leave requested under the Family Medical Leave Act (FMLA)

Employees may request leave under Family Medical Leave Act for their own serious health condition or for the covered conditions of family members. Requests for leave should be handled in accordance with SEC's FMLA procedures when Requestor:

- Is eligible for FMLA-protected leave and has not exhausted FMLA-protected balance
- Has a serious health condition that is not a covered disability
- Does not have medical condition or disability and is requesting leave to care for family member with disability or serious health condition
- Has specifically requested leave under Family Medical Leave Act and not as an accommodation for disability

Modifying Terms and Conditions of Employment

Accommodations related to terms and conditions of employment should help Requestor meet existing standards for performance and conduct.

- Accommodations do not include lowering performance standards or excusing misconduct

Examples of terms and conditions accommodations include modification of duties or assignments, change in schedule and/or work location (telework).

Supervisory officials may agree to requested accommodations after consulting with DPM or Officer. If supervisory officials do not agree to provide accommodations, then request for accommodations will be evaluated and decided by DPO.

DPM or DPO will discuss requests with supervisory officials and with Requestors before making decisions.

Requiring Acquisitions

Acquisitions include purchase or lease of equipment, furnishings or services and structural alteration of leased facilities. Supervisory officials do not have authority to decide these requests, but they may make recommendations to DPM. DPM will evaluate and decide most of these requests in consultation with offices responsible for providing the equipment or services.

Accommodation Services include Sign Language Interpreting, Disability Support Services, Assistive Information Technology equipment and training.

Noncompetitive Reassignment of Qualified Employee

Reassignment is available only if the DPO determines that no reasonable accommodations will enable employee to perform essential functions of current position.

DPO will evaluate and decide request, including availability of other accommodations that would enable employee to perform essential functions of current position.

If DPO determines that noncompetitive reassignment will be offered as an accommodation, then procedures in Part 15 will be followed to identify any suitable available vacant funded positions Requestor is qualified to perform with or without accommodations.

Temporary Accommodations

Supervisory officials have discretion to provide temporary accommodations for up to three months after consulting with DPM. Requestor may be required to provide medical information about condition to DPM.

5 E - Procedures for Decision by DPO

Evaluating request is an interactive process involving DPM, Requestor and Supervisory officials.

DPM should talk to Requestor and supervisory officials to make sure that there is a full exchange of information and clear communications. Extensive discussions are not necessary when disability, need for accommodations and type of accommodations that should be provided are clear. DPM determines whether additional information is required. DPM will review all information provided by employee, including any relevant information already on file with the DPM to determine whether additional information is required and if so what additional information is required.

5 F - Medical information

DPM will determine whether medical information is necessary

1. Medical information will NOT be Necessary When

- Requestor has obvious disabilities and clear needs for requested accommodation or previously provided DPM sufficient information to document existence of ongoing disability and associated functional limitations.

2. Medical information WILL be Necessary When:

- Requestor does not have an obvious disability and has not previously documented disability status at SEC;
- Nature of Requestor's disability or medical condition suggests that it may have changed substantially since Requestor most recently documented it; or
- Relationship between disability or medical condition and requested accommodations is not clear.

3. If More Medical Information is Necessary DPM will:

- Inform employee of SEC's right to request the information (including medical information) and the consequences of failing to provide it
- Explain to Requestor why it is needed
- Ask Requestor or other appropriate individuals to provide it

- Follow procedures to protect Requestor’s privacy interests when medical information is requested

4. Limited Access to Medical Information

- DPM will notify Requestor’s supervisory officials of Requestor’s disability status, but not the disability or medical condition supporting the designation.
- DPM will provide information about functional limitation(s) to Requestor’s supervisor and other individuals who need to know it so that they can provide accommodations or assist Requestor during an emergency.
- Information about Requestor’s disability status or medical condition may be provided to medical experts chosen by SEC with a valid signed limited release from Requestor.
- Medical information will not be conveyed to anyone other than those with “need to know” and all who have access will be informed in writing of the confidentiality requirements that apply to medical information.

Part 6: DPO Decides Request

6 A - Decisions Granting Requests for Accommodations

DPM Notifies Requestor and supervisory official that Accommodations will be provided

Content of Notice Based on Outcome

1. Requested Accommodations Granted

DPO or DPM decides to grant accommodations initially requested or Requestor agrees to accept alternatives to requested accommodations proposed during the interactive process

Notice of Employee’s Responsibilities

Requestor must notify DPM of

- Date accommodations received (except for recurring accommodations)
- Any changed circumstances that require change in accommodations

Requestor must follow specified procedures for resolving problems with accommodations

2. Alternative to Requested Accommodations Granted

If Requestor does not agree to alternative accommodations during interactive process, employee may pursue rights listed in Notice of Rights.

If Requestor agrees to alternative accommodations during interactive process, then decision is one to grant requested accommodations.

Content of Notice Concerning Alternative Reasonable Accommodations

- Finding that Requestor is individual covered by Rehabilitation Act

- Description of alternative reasonable accommodations to be provided
- Specific reasons why alternative accommodations will be provided instead of requested accommodations
- Expected date by which alternative accommodations will be provided (based on circumstances known at time of decision)
- Identify who will be responsible for providing accommodations
- Requestor's responsibility for notifying DPM that accommodations have been provided
- Instructions about what to do if problems are encountered with accommodations after they have been provided

3. Noncompetitive Reassignment to Suitable Available Vacancy

This is the accommodation of last resort available only when DPO finds that no other reasonable accommodation is available and a suitable funded vacancy is available.

Content of Notice Concerning Noncompetitive Reassignment

- Finding that Requestor is covered under Rehabilitation Act
- Finding that no reasonable accommodation is available to permit Requestor to perform essential functions of his or her present position without undue hardship to SEC
- Copy of Noncompetitive Reassignment of an Employee as Reasonable Accommodation
- Request for information from employee about current qualifications and any limitations employee would like placed on search for suitable vacancy
- Description of temporary accommodations to remain in place while SEC searches for appropriate available vacant position to which employee may be noncompetitively reassigned
- Explanation of adverse consequences, including separation from employment, that could result if employee declines offer of reassignment and remains unable to perform essential functions of current position with or without accommodation

4. Temporary Accommodations

Temporary accommodations may be provided until reasonable accommodations are provided where extenuating circumstances exist. When appropriate, temporary accommodations may be provided to employees who do not have disabilities covered by Rehabilitation Act of 1973, as amended by the Americans with Disabilities Act Amendments of 2008.

Employees must adequately document medical conditions related to requested accommodations. Supervisory officials in Requestor's chain of command after consultation with OHR must agree that temporary accommodations should be provided.

Providing temporary accommodations does not mean that employee has a disability or is entitled to reasonable accommodations as a matter of law.

Content of Notice Concerning Temporary Accommodations Provided to Requestors who do not have Disabilities

- Finding that Requestor does not have disability under Rehabilitation Act of 1973 and is not entitled to reasonable accommodations
- Explanation that SEC has decided to provide temporary accommodations based on medical condition
- Description of temporary accommodations
- Notice that temporary accommodations are subject to change at the option of supervisory officials or DPO
- Notice that Requestor may make new request for reasonable accommodations under Rehabilitation Act if circumstances change so that Requestor's medical condition becomes a covered disability

6 B - Decisions Denying Requests for Accommodations

DPM Notifies Requestor and supervisory official that accommodation will not be provided

1. Content of Final Decision Denying Request

- Notice that accommodations will not be provided
- Notice of Rights
- DPO's reasons for decision to deny accommodations request must be clearly explained

Reasons for denial may include one or more of following

- Requestor has not established that
 - o Employee's medical condition is a covered disability,
 - o Employee is qualified for current position and
 - o Requested accommodations will enable employee to perform essential functions of current position
- Requested accommodations would require lowering production standards or removing an essential job function
- Requested accommodations would cause undue hardship to SEC and no other reasonable accommodations are available that would not cause undue hardship to SEC

2. Notice of Rights Concerning Final Decision Denying Request

Requestors dissatisfied with decision denying accommodations request have the right to:

- Ask DPO to reconsider final decision
- o Reconsideration request must be received by DPM within five business days after Requestor receives final decision
- o In reconsidering request, DPO will consult with DPO's immediate supervisor
- o Requestor will receive written decision on request for reconsideration will be sent to Requestor within fifteen (15) business days from date reconsideration request was received
- o Requesting reconsideration does not affect any time limits for pursuing other available administrative remedies
- Contact an EEO Counselor or EEO Office to seek modification of DPO's decision by pursuing the EEO administrative complaint process http://intranet.sec.gov/divisions_offices/hqo/eo/rights.html
- o Contact must be made within 45 calendar days of receiving DPO's final decision whether or not request for reconsideration is made to DPM
- Access applicable SEC Grievance Procedure
- o Bargaining unit employees may file a grievance in accordance with article 32 of the Collective Bargaining Agreement
- o Information about how to access procedure and applicable time limits
- File an appeal with the Merit System Protections Board within thirty days of an appealable adverse action as defined in 5 CFR 1201.3 (if available)

Part 7: Providing Accommodations

Officials responsible for providing accommodations

- DPM
- Supervisory officials in Requestor's chain of command
- SEC technical employees or contractors responsible for providing or installing equipment and services

Time limits for providing accommodations - See Part 4 Timely Accommodations

Part 8: Maintaining Accommodations

8 A - Requestor or Requestor's Supervisor must notify DPM promptly if problems are encountered with accommodations provided such as:

- Delay in delivery of equipment or services
- Unsatisfactory services provided by vendor
- Employee needs training to use equipment
- Upgrade or replacement of equipment needed
- Modification of services required
- A significant change occurs that affects need for accommodations
- Changes in disability status or medical condition of Requestor
- Changes in essential job functions

8 B - Persons who should notify DPM depend on the problem encountered

- Requestor (employee receiving accommodations)
- Requestor's supervisory officials
- SEC technical employees or contractors responsible for providing or installing accommodations

8 C - DPM will attempt to resolve problems immediately by discussing problems with Requestors and supervisors and then working with responsible officials to do any of the following depending on the circumstance:

- Provide temporary alternate accommodations until problems are resolved
- Acquire different equipment
- Repair or replace equipment
- Upgrade software
- Reconfigure space
- Find new vendor where services are unsatisfactory
- Contract for evaluations of accommodations provided

Part 9: Statutory and Collective Bargaining Rights

These accommodations procedures are in addition to any applicable statutory and collective bargaining protections for persons with covered disabilities and the remedies they provide for the denial of requests for reasonable accommodation. Requirements for initiating such claims remain the same.

Part 10: Rights and Responsibilities of Requestors

During Request Process

- Requestors have right to assistance from DPO or supervisory officials if assistance is needed to make a request. When Requestor's need for assistance to make request is not apparent, Requestor must ask supervisory official or DPO for assistance
- Requestors must promptly notify DPO of any changes in disability status or medical condition affecting pending request

After accommodations are received:

Requestors must notify DPO when accommodations are received

Exceptions: Notice is not required for recurring accommodations such as sign language interpreters, captioning, large print, etc.

Resolving problems:

Employees must follow procedures established for resolving problems with accommodations they have received. DPM will notify employees receiving accommodations of any such procedures.

Changed circumstances affecting accommodations provided:

Requestors who have received accommodations must notify DPM promptly of any changed circumstances that require a change in accommodations.

Requestors who no longer need accommodations due to changed circumstances, must promptly notify their supervisors and DPM.

Part 11: Overview For Supervisory and Other Responsible Officials

SEC officials play a critical role in the Commission's program to accommodate persons with disabilities and temporary medical conditions. This section contains the basic information SEC officials should know about their responsibilities. It contains references to reliable sources of information about accommodating people with disabilities.

Recommended resource materials and legal information available on the web:

- Equal Employment Opportunity Commission <http://www.eeoc.gov/policy/guidance.html>
- U.S. Department of Labor's Office of Disability Employment Policy <http://www.dol.gov/odep/>

- JAN - Job Accommodation Network <http://www.jan.wvu.edu/>
- 1-800-526-7234 (V/TTY)

SEC officials who have any questions about these guidelines or who are not sure whether they apply to an employee's request, should immediately contact DisabilityAccommodation@SEC.gov.

11 A - Responsible Officials at SEC

- If Requestor is an employee then responsible officials include Requestor's immediate supervisor and other supervisors in the same chain of command, including the Office Head or Division Director.
- If Requestor is an applicant for employment, responsible officials include selecting officials, officials involved in interviews and officials in OHR with responsibility for the application process.

11 B - Resources at SEC for Responsible Officials

DPM OHR has extensive expertise in evaluating accommodations requests and providing a broad range of accommodations to persons with disabilities. DPM is available as a source of information and guidance on these procedures. The SEC Office of Equal Employment Opportunity accepts complaints of failure to provide reasonable accommodation and failure to comply with non-discrimination provisions of the Rehabilitation Act of 1973, as amended.

11 C - Basic Information SEC Officials Should Know about Accommodations

Accommodations enable Requestors with disabilities or medical conditions to:

- Perform the essential functions of their jobs
- Enjoy benefits of employment, such as training programs, recreation facilities and office social functions
- Apply for SEC employment
- Access public programs

Accommodations include:

- Equipment and services
- Modified work environments, locations and schedules
- Restructured jobs
- Reassignment when no other accommodation will work

Accommodations do NOT include:

- Lowering performance standards

- Excusing misconduct
- Removing any essential function of Requestor's current job

Requests for accommodation are not always easy to recognize:

- Requests for accommodation can be made in a conversation.
- Requestors are not required to fill out an SEC form or use the words "reasonable accommodation" or "disability" to start accommodations request process.
- Requests may be made on behalf of an employee or applicant by a third person, including but not limited to a family member, vocational counselor or representative.

Under some circumstances requests are not required:

Employees with known disabilities and regular recurring needs for accommodation, such as sign language interpreter services or captioned material, should be accommodated as a matter of course whether or not they have specifically requested the accommodation. Supervisors are responsible for arranging for these accommodations without waiting for a request.

Initial steps to take when accommodations are requested

- Explain that Requestor should not provide medical information to supervisor
- Send an E-Mail describing request to <mailto:DisabilityAccommodation@SEC.gov> with a copy to Requestor or Requestor's representative (such as a family member or union steward).
- Know the time limits for providing accommodations
- Accommodations should be provided as soon as needed or as soon as practicable and within a maximum of:
 - ✓ Four (4) business days from date of initial request in special circumstances
 - ✓ Twenty (20) business days from date of initial request unless limited extenuating circumstances are identified by DPM – See Part 4B.

If accommodations are requested by third party

- Contact employee or applicant (as soon as possible)
- Confirm that employee or applicant is aware of request and wants requested accommodations
- Provide information about how to request accommodations to person acting on behalf of employee or applicant and to employee or applicant – tell them to send requests to <mailto:DisabilityAccommodation@SEC.gov>

Accommodations related to terms and conditions of employment

Accommodations related to terms and conditions of employment should help employee meet existing standards for performance and conduct applied to other employees in Requestor's position. Supervisory officials may agree to provide certain kinds of accommodations related to terms and conditions of employment after consulting with DPM or DPO.

Examples of terms and conditions accommodations include:

- Modification of duties or assignments
- Change in Requestor's schedule or work location, and leave
- Temporary Accommodations (see below)

Temporary Accommodations

Offer temporary accommodations after consulting with DPO or DPM if:

- Requestor asks for them and you agree or
- You think it is appropriate to provide them even if not requested

Temporary accommodations include:

- Accommodations or workplace flexibilities for up to three (3) months for temporary medical conditions
- Reasonable accommodations provided from date of request for accommodations for disability to date of final decision on request when interactive process will exceed twenty business days
- Alternative reasonable accommodations to be used temporarily when extenuating circumstances will delay availability of equipment or services DPO or DPM has approved

Reporting on accommodations provided

Notify DPM at <mailto:DisabilityAccommodation@SEC.gov> of

- Temporary accommodations you have provided or plan to provide
- Changes in essential job functions affecting an employee's need for accommodations
- Difficulties with accommodations, such as unsatisfactory services or defective equipment

Part 12 - Accommodations Information Tracking Form

This form section is retired pending transition to automated tracking system.

Part 13 - Terms Defined and Organizations Identified

A. Disability Laws: Americans with Disabilities Act (ADA) and the Rehabilitation Act of 1973, as amended by the ADA Amendments Act of 2008.

Titles I and V of the Americans with Disabilities Act (ADA), as amended by the ADA Amendments Act of 2008, prohibit discrimination by private employers on the basis of disability in all employment practices.

The federal government is covered by the Rehabilitation Act of 1973, as amended, which incorporates the definitions, legal standards and non-discrimination requirements of the ADA, including the requirement to reasonably accommodate qualified individuals with disabilities.

B. EEOC

U.S. Equal Employment Opportunity Commission is the federal agency responsible for interpreting this and other federal EEO laws.

These procedures were developed in accordance with EEOC guidelines (www.EEOC.gov)

C. Essential Functions

Job duties so fundamental to position at issue that one cannot do that job without performing them are "essential functions."

- A function can be "essential" if:
- Position held by Requestor exists specifically to perform that function;
- There are a limited number of other employees who could perform function; or
- Function is specialized and individuals are hired based on their ability to perform it.

Determination of essential functions of a position must be made by the DPO on a case-by-case basis so that determination reflects job as actually performed, not simply components of a generic position description.

D. Functional Limitations

Limits on an individual's ability to perform functions, such as ability to walk, see, hear, lift, grasp, stand, speak, concentrate, activities of daily life, etc.

Note: describing an individual's functional limitation is not same as identifying underlying cause of limitation or providing medical information. Information about functional limitations will be available to SEC officials when needed to provide accommodations or assistance during emergencies.

E. Qualified Individuals

Individuals are qualified for positions if they:

- Satisfy requisite skill, experience, education, and other job-related requirements of positions; and
- Can perform essential functions of positions, with or without reasonable accommodations.

F. Reasonable Accommodations

Reasonable Accommodations ("accommodations") are changes in work environments or in the way work and other activities are customarily done that:

- Enable qualified individuals with disabilities to enjoy employment opportunities equal to those of qualified individuals without disabilities and
- Do not create an undue hardship on employer

G. Reassignment (Non-competitive Placement)

See Procedures for Noncompetitive Reassignment in Part 15.

Reassignment is a form of reasonable accommodation that, absent undue hardship, is provided to employees (not applicants) who, because of covered disabilities, can no longer perform essential functions of their current jobs, with or without reasonable accommodations.

- Noncompetitive reassignments are made only to suitable and available vacant positions for which disabled employees are qualified.
- If employees are qualified for positions, they will be reassigned and will not have to compete for positions.
- If employees decline appropriate offers of reassignment made in accordance with Part 15 of these procedures, SEC has satisfied its duty to accommodate them.

H. Undue Hardship

If requested accommodations would cause undue hardship to the agency, then SEC does not have to provide them, but SEC may be required to provide alternate reasonable accommodations such as leave or reassignment. Determination of undue hardship is made by DPO in consultation with DPM and supervisory officials.

Undue hardship factors considered include:

- Adverse impact accommodations will have on operations of agency
- Adverse impact accommodations will have on seniority rights under the collective bargaining agreement
- Applicable laws prohibiting requested accommodation

I. Undue Hardship and monetary cost of providing equipment or services

The cost or expense of a requested accommodation rarely if ever creates an “undue hardship” given the overall budget of the agency. Relative cost is a legitimate reason for providing different reasonable accommodations from those requested.

Part 14: Requesting Equipment or Services

14 A – To Request Computer / Electronic Accommodations send request to <mailto:DisabilityAccommodation@SEC.gov>

14 B - To Request Sign Language Interpreter Services send request to SECInterpreter@SEC.gov

Part 15: Noncompetitive Reassignment of Employee to Available Vacant Position as Reasonable Accommodation of Last Resort

Noncompetitive reassignment is offered only when DPO determines that no reasonable accommodation will enable Requestor with covered disability to perform essential functions of current position and SEC has a suitable available vacant position.

SEC is not required to create new position for noncompetitive reassignment

First notice to employee and supervisory officials from DPM:

- DPO has found that:
 - o Employee has covered disability and
 - o No reasonable accommodation will enable employee to perform essential functions of current position
- SEC will search to identify a suitable available vacant position in accordance with these procedures.
- Noncompetitive reassignment will be offered only if a suitable available vacant position is identified
- Copy of these procedures will be attached.

Criteria for suitable position – Employee:

- Currently satisfies requisite skill, experience, education and or job-related requirements of identified vacant position
- Is able to perform essential functions of identified position with or without reasonable accommodations
- Holds position at or above grade level of position

Criteria for available position – SEC:

- Has decided to fill and fund vacant position
- Has not made unconditional offer of employment in that position to an individual who has not yet accepted offer

Initiating search

DPM will notify OHR staffing group that search for suitable available vacant position to accommodate employee with a disability is required. OHR Director or designee will appoint OHR official to conduct search.

Conducting search

OHR official conducting search will:

- Ask employee to provide information about:
 - o Current qualifications
 - o Any limits employee may want placed on the search in terms of areas or grade levels
- Ask employee's supervisor to provide information about employee's current position
- Begin search within four business days of receiving information from employee
- Search for positions meeting established criteria and as equivalent to employee's current position as possible
- Use due diligence in conducting search
- Document search efforts and results

Search parameters and order to find equivalent position based on grade level and location

OHR official conducting search will search first for positions meeting established criteria:

- At employee's current grade level
- In employee's current office or division
- In employee's current commuting area
- Within areas specified by employee (if any)
- Commission-wide (unless employee has informed official conducting search in writing that employee will not relocate or will relocate only to certain identified areas)

If no position identified at employee's grade level, OHR official will search next for positions meeting established criteria and at next grade level below employee's current grade level in order listed above.

If no position is identified at next lower grade level, search will continue as above including lower grade levels in descending order.

Search will terminate when:

A suitable available vacant position is identified or no suitable available vacant position is identified after diligent search has been conducted for four full pay periods whichever first occurs. See below for required report describing search.

When vacancies meeting search criteria identified

OHR Official conducting search will immediately:

- Inform SEC officials responsible for filling identified positions that they must be held open for fifteen (15) business days to comply with requirements of federal law
- Provide information about identified positions to DPM

Evaluation of identified vacancies

DPO will determine whether identified positions are suitable based on:

- ✓ Written information about positions and discussion with SEC selecting officials
- ✓ Unsuitable identified positions

DPO will notify OHR official conducting search and OHR official will notify selecting officials that identified position need not be held open and may be filled competitively

Suitable identified positions

- DPO will notify OHR official conducting search, employee, employee's current supervisor and SEC selecting officials that position will be offered non-competitively to employee with disability.
- If more than one identified position is suitable, DPO will decide which position will be offered noncompetitively to employee and give notice as above
- OHR staffing will prepare offer of non-competitive reassignment

Offer of noncompetitive reassignment

Offer to employee will include:

- Information about position
- Location
- Pay
- Essential functions to be performed
- Other significant information about position such as whether it requires frequent or occasional travel, involves strenuous physical activity or is sedentary, etc.
- Information about SEC selecting official who can be contacted by employee if employee wants to discuss position with them before making decision

- Description of search efforts if position is outside employee's current commuting area and/or at lower grade level

Terms and conditions of offers generally

- Requestor must notify DPM of Requestor's unconditional acceptance of offer within ten (10) business days of date it is received or Requestor will be deemed to have declined offer and it will be withdrawn.
- No other or additional offers of noncompetitive reassignment will be made and Requestor must apply and compete for any other vacant position.
- SEC will not reimburse relocation costs for Requestor accepting offer of reassignment to position outside employee's current commuting area.

Offer declined

If Requestor declines offer SEC will notify Requestor that reasonable accommodation has been offered and SEC has no further duty to accommodate Requestor. The SEC will take any appropriate action, including separation of Requestor from SEC employment, if Requestor is unable to perform essential functions of current position (with or without accommodation)

Offer accepted

If Requestor accepts offer, DPM will ensure that any reasonable accommodations needed will be in place when reassignment occurs or provided as soon as possible after requested.

OHR and offices or divisions affected by Requestor's reassignment will process reassignment.

Office to which employee is reassigned will provide employee same training other employees are given when they begin duties.

Report when no suitable position is identified

When no position is identified after search has been conducted for four full pay periods, OHR official conducting search will provide detailed written report of search efforts to DPM.

- If DPO concludes that search efforts were insufficient, then DPO will notify OHR Official that search must continue and explain what is required for search efforts to be sufficient.
- If DPO concludes that search efforts were sufficient, then DPO will notify Requestor, Requestor's supervisor and Requestor's division or office head that:
 - o Diligent search was conducted for four full pay periods;
 - o No suitable available vacancy was identified;
 - o Search has concluded and
 - o Noncompetitive reassignment cannot be offered to Requestor.

Final DPO decision if no offer is made

DPO will issue final decision stating that no reasonable accommodation can be provided without causing undue hardship to SEC because no suitable available vacant position exists.

DPO decision will include:

- Report of OHR efforts to identify suitable position
- Notice of Rights with respect to final decision

Part 16: Accommodating Job Applicants

Accommodations to apply for employment

Vacancy announcements

Vacancy announcements and all materials used to recruit applicants will contain:

- Statement that SEC is Equal Employment Opportunity Employer and provides reasonable accommodations so that qualified persons with disabilities may participate in application process
- Instructions for requesting accommodations will include link to web-based form for sending contact information to DPM or other persons responsible for providing accommodations to applicant for employment during the application process.

Interviews

Interviewing officials who know an applicant will need accommodations for interview should offer to provide them.

If applicant accepts offer of interview, interviewing official should request accommodations from DPM on behalf of applicant.

Examples of accommodations for application process:

- Sign language interpreting services
- Reader
- Accessible interview location
- Accessible parking
- Application materials in accessible formats, such as large print, digital, Braille, audio

Part 17: Accessible Public Programs

Accommodations for members of public

SEC will provide reasonable accommodations to members of public who request them to attend public programs in accordance with section 504 of the Rehabilitation Act of 1973.

Examples of reasonable accommodations include:

- Sign language interpreters
- Captioning
- Enhanced audio systems
- Special seating and
- Information in alternative formats (electronic, large print, audio, etc.)

In providing reasonable accommodations, SEC may consider relative cost of alternative accommodations

When accommodations are to be provided without request:

- ✓ Where need for such accommodations is recurring and predictable, accommodations will be provided whether or not a member of public requests them.

To extent practicable, SEC will inform public of accommodations that will be available at programs.

Notice to public concerning accommodations

In all announcements of SEC public programs information about requesting accommodations will be included. The information will explain how members of public requiring such accommodations may request them and date by which request must be received.

- ✓ Instructions for requesting accommodations will include link to web-based form for sending contact information to DPM or other persons responsible for providing accommodations.
- ✓ Complaints of failure to accommodate members of public at SEC programs
- ✓ Members of the public who request accommodations to participate in SEC-sponsored programs or events and who are not granted accommodations or are dissatisfied with accommodations provided may file complaints with the SEC Office of Equal Employment Opportunity Commission, Washington DC 20549.

NOTE: This section does not apply to SEC employees requesting accommodations related to employment.

Part 18: Disability Program Database

The DPM will maintain database for accommodation requests and accommodations provided.

Uses of database:

- Reports to Disability Program Coordinator, EEO for inclusion in reports to EEOC.
- Planning by DPO

Records in database will be maintained for three years from the date of creation or longer if required by applicable record retention schedules.

Source of information: Requests submitted and related records

Database Reports

- Will not identify Requestors (whether or not Requestors received accommodations).
- Content of any reports will be presented in aggregate without reference to identity of Requestors
- Database will be capable of reporting
 - o Number of accommodations, by type, that have been requested to participate in application process and whether those requests have been granted or denied;
 - o Jobs (occupational series, grade level, and agency component) for which accommodations have been requested and for each job
 - o Number of accommodations requested, by type of accommodation and
 - o Whether those requests have been granted or denied
 - o Number of accommodations requested to permit an employee to enjoy, benefits or privileges of employment, by type
 - o Whether those requests have been granted or denied
 - o Reasons for denial of requests
 - o Amount of time taken to process each request; and
 - o Sources of technical assistance consulted.

Retention of records pertaining to individual Requestors

Records reflecting actions with respect to requests for accommodations will be maintained in accordance with the applicable General Records Schedule.

Part 19: Notices Provided to Requestors

19 A. When information is required to evaluate accommodation request:

PRIVACY ACT NOTICE

Solicitation of this information by Securities and Exchange Commission is authorized by Rehabilitation Act of 1973, as amended, 29 USC sec. 701 et seq. Information may also be disclosed to appropriate

Federal, State or local agencies responsible for investigating, prosecuting, enforcing or implementing a statute, rule, regulation or order.

19 B. When medical information is required to evaluate accommodation request:

GINA Notice to Health Care Provider from the SEC Office of Human Resources

The Genetic Information Nondiscrimination Act of 2008 (GINA) prohibits employers and other entities covered by GINA Title II from requesting or requiring genetic information of an individual or family member of the individual, except as specifically allowed by this law.

To comply with this law, we are asking that you not provide any genetic information when responding to this request for medical information. "Genetic information," as defined by GINA, includes an individual's family medical history, the results of an individual's or family member's genetic tests, the fact that an individual or an individual's family member sought or received genetic services, and genetic information of a fetus carried by an individual or an individual's family member or an embryo lawfully held by an individual or family member receiving assistive reproductive services.

<http://www.hhs.gov/ocr/privacy/hipaa/understanding/special/genetic/ginafinalrule.pdf>.

Do not include medical information about any conditions examinations or treatments unrelated to the medical condition on which the request is based.

Please provide information requested below to your patient or a person your patient has authorized in accordance with the Health Insurance Portability and Accountability Act (HIPAA).

ATTACHMENT 7. POLICY MEMORANDUM: STANDARDS FOR EEO, WORKFORCE DIVERSITY, AND WORKPLACE INCLUSION



OFFICE OF MINORITY
AND WOMEN
INCLUSION

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

September 8, 2016

U.S. SECURITIES AND EXCHANGE COMMISSION POLICY MEMORANDUM

Standards for Equal Employment Opportunity, Workforce Diversity, and Workplace Inclusion

This memorandum sets forth the standards for equal employment opportunity, workforce diversity, and workplace inclusion at the U.S. Securities and Exchange Commission. It is issued pursuant to Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 (Dodd-Frank Act),¹ which requires the Director of the Office of Minority and Women Inclusion (OMWI) to develop standards for “equal employment opportunity and the racial, ethnic and gender diversity of the workforce and senior management of the agency.” The standards set forth in this memorandum also further the goals and objectives of Executive Order 13583, dated August 18, 2011, which directs agencies to “develop and implement a more comprehensive integrated, and strategic focus on diversity and inclusion as a key component of their human resources strategies” and to “promote diversity and remove barriers to equal employment opportunity, consistent with merit system principles and applicable law.”²

To successfully perform its mission—protecting investors, maintaining fair, orderly, and efficient markets, and facilitating capital formation—the SEC must attract, hire, develop, and retain a high-quality, diverse, and results-oriented workforce. To that end, the SEC strives to cultivate and maintain a workplace culture that promotes fair and equitable treatment of employees and applicants for employment, and respects and values workforce diversity and workplace inclusion.

The SEC defines “diversity” broadly to encompass the range of similarities and differences in individual and organizational characteristics that shape our workplace. These characteristics include national origin, language, race, color, disability, ethnicity, gender, age, religion, sexual orientation, gender identity, socioeconomic status, veteran status, family structure, geographic differences, and diversity of thought and life

¹ Section 342(b)(2)(A) of the Dodd-Frank Act; 12 U.S.C. §5452(b)(2)(A).

² Executive Order 13583 - Establishing a Coordinated Government-wide Initiative to Promote Diversity and Inclusion in the Federal Workforce, August 2011.

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experiences.³ "Inclusion" is defined as a culture that connects each employee to the organization; encourages collaboration, flexibility, and fairness; and leverages diversity throughout the organization so all employees are allowed to participate and contribute to their full potential.⁴

It is the policy of the SEC to: (1) ensure all employees and applicants for employment are afforded equal employment opportunity and a workplace where employment decisions are made without regard to race, color, sex (including pregnancy, gender identity, sexual orientation, and transgender status), age, religion, national origin, disability, or genetic information; (2) promote diversity in the agency's workforce at all levels of the agency; and (3) foster and maintain an inclusive workplace culture that encourages collaboration, flexibility, and fairness to enable all employees to contribute to their full potential.

All SEC managers and supervisors have an obligation to ensure equal employment opportunity, maintain a workplace free from all forms of unlawful discrimination and harassment, promote workforce diversity, and foster an inclusive work environment. The standards set forth below and the mechanisms through which they are implemented enhance the ability of the SEC to build and maintain a technically proficient and high-performing workforce drawn from all segments of American society.

Authority: See Attachment

Standards for Equal Employment Opportunity and Diversity and Inclusion

1. Leadership Commitment to EEO, Diversity, and Inclusion

SEC Leadership demonstrates its commitment to equal employment opportunity (EEO), workforce diversity, and workplace inclusion through agency policy, messaging, and behavior reflective of EEO and diversity principles.

- SEC Chair issues policy statements on Equal Employment Opportunity, Prevention of Harassment, and Workforce Diversity and Inclusion, which are published on the agency's website.
- EEO principles and diversity management are integrated into the SEC's strategic decision-making and planning to ensure organizational effectiveness and help achieve the mission goals.

³ Adapted from the definition of diversity found in Office of Personnel Management, *Guidance for Agency-Specific Diversity and Inclusion Strategic Plans* (November 2011) at pp. 3-4.

⁴ *Id.*

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- SEC Senior Officers, managers, and supervisors are held accountable for advancing EEO, workforce diversity, workplace inclusion, and helping to eliminate barriers to EEO in their performance standards.
- The agency establishes the SEC Diversity Council, which is chaired by a Commissioner and comprised of representatives from agency management, the National Treasury Employees Union, and Employee Affinity Groups, to advise the Commission on matters relating to diversity, including management, employment and business activities.

2. Proactive Prevention of Unlawful Discrimination and Promotion of EEO Practices

The SEC takes proactive steps to prevent discrimination in all aspects of employment including hiring, promotions, leadership development, and performance awards.

- The SEC maintains affirmative programs of equal employment opportunity under Title VII of the Civil Rights Act and Section 501 of the Rehabilitation Act according to the standards contained in Equal Employment Opportunity Management Directive 715 (MD-715) issued by the Equal Employment Opportunity Commission.
- The Office of Equal Employment Opportunity (OEEO) administers the agency's EEO program in accordance with the requirements of all Federal employment civil rights laws, regulations, and directives, including MD-715 and the Notification and Federal Employee Antidiscrimination and Retaliation Act (No FEAR Act).
- As part of the EEO program, OEEO
 - Maintains an efficient, fair, and impartial complaint resolution process and complies with regulatory timeframes.
 - Leverages its alternative dispute resolution program, Conflict-to-Resolution (C2R), to resolve discrimination complaints at the earliest opportunity.
 - Identifies and seeks to address trends in EEO complaint activity, in collaboration with key stakeholders and agency management.

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- Provides, through LEAP, training on EEO topics, including, but not limited to, the required bi-annual No FEAR Act training, and preventing workplace harassment.
 - Analyzes applicant flow data and personnel data to help identify barriers to equality of opportunity.
 - Conducts a self-assessment at least annually to monitor progress; conducts analyses to identify and eliminate barriers to EEO in all aspects of employment, including hiring, pay levels, promotions, separations, career and leadership development, awards, and other terms and conditions of employment.
 - Recommends action plans to eliminate any identified barrier(s) to EEO and monitors stakeholders' implementation of the agency's action plans.
- The Office of Human Resources (OHR) provides timely and effective reasonable accommodation, accessibility, and compliance with Section 508 of the Rehabilitation Act requirements to ensure that individuals with disabilities have equal employment opportunity.

3. Recruitment to Attain Diversity at All Levels of the Workforce

The SEC engages in outreach and recruitment to attract a diverse pool of potential applicants drawn from all segments of society, particularly for the agency's mission critical occupations.

- OMWI monitors and analyzes workforce data to assess diversity at all levels of the agency and to identify areas where workforce representation of women or a particular racial or ethnic group in mission critical occupations can be improved.
- OMWI takes the affirmative steps for seeking diversity in the workforce of the agency prescribed under Section 342 of the Dodd-Frank Act.⁵ Those steps include:
 - Outreach and recruitment at minority-serving colleges and universities and women's colleges for internship and employment opportunities available for students (undergraduate, graduate, and law) and recent graduates through the Student Honors Program and the SEC-Pathways Program.

⁵ Section 342(f) of the Dodd-Frank Act.

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- Participating at career fairs to ensure the agency attracts diverse applicants for employment opportunities in the agency's professional occupations;
- Advertising in magazines and newspapers, electronic job boards, and social media to ensure that the agency's employment and internship opportunities are broadly communicated and reach diverse applicants from all segments of society;
- Establishing and maintaining partnerships with minority, women, and other diverse professional associations and educational organizations to help develop and maintain a pipeline of diverse candidates for professional employment and internship opportunities at all levels of the agency; and
- Partnering with inner-city high schools to establish or enhance financial literacy programs and provide mentoring, where feasible.

4. Fair and Unbiased Selection Practices

The SEC takes steps to ensure that all qualified individuals have fair access and equal opportunity when competing for employment opportunities.

- The Office of Human Resources (OHR) develops and implements personnel policies and procedures that:
 - Ensure compliance with the merit system principles;
 - Provide a fair, open, and systematic approach for the identification, recruitment, evaluation, and selection of individuals for all positions, including the competitive service, excepted service, and senior management; and
 - Reflect the SEC's commitment to seeking diversity at all levels of the workforce in a manner consistent with applicable law.
- OHR works with OEEO to ensure that policies, procedures, and practices are in place so that all actions taken under the agency's personnel policies and procedures are based solely on job-related criteria and are made without regard to an individual's race, color, national origin, religion, sex, sexual orientation, gender identity, age, disability, or genetic information.

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- OHR ensures that HR policies and procedures are consistent with the SEC's EEO and diversity policies and incorporates diversity and inclusion strategic goals in the SEC's Human Capital Management Strategic Plan and workforce planning.

5. Monitoring and Measuring Performance

The SEC uses quantitative and qualitative measures to assess the impact of its workforce diversity and inclusion initiatives and make adjustments as necessary.

- OMWI collects and analyzes applicant flow data at least annually to: (1) evaluate the diversity of the applicant pools to determine whether outreach efforts are reaching all segments of society; and (2) compare applicant flow data by major occupations and gender, race, and ethnicity to determine whether applicant pools are reflective of availability in the Civilian Labor Force.
- OMWI analyzes workforce data on a quarterly basis to advise Divisions and Offices about organization patterns and trends in hiring minorities and women and to assess progress towards enhancing diversity and inform recruiting strategies.
- OMWI analyzes the results of the Federal Employee Viewpoint Survey (FEVS) to assess employee satisfaction with workplace policies and practices and workplace inclusion.

6. Diversity and Inclusion Training

The SEC promotes workforce diversity and workplace inclusion through continuous learning.

- OMWI and OHR ensure that diversity and inclusion training opportunities are available to meet the needs of managers, supervisors, and employees.
- OMWI offers training to hiring managers on recognizing and avoiding unconscious bias in selecting employees at all levels of the organization.
- OMWI's mission and diversity and inclusion initiatives are addressed in New Employee Orientation.

7. Employee Engagement and Development Opportunities

The SEC utilizes workplace policies that encourage employee engagement.

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- The SEC recognizes Employee Affinity Groups and supports the participation in such groups as instrumental to achieving the agency's strategic objective of maintaining an organizational climate that attracts diverse talent and encourages employee engagement and retention.
- The SEC sponsors programs to celebrate Special Observances and enlists Employee Affinity Groups to assist in planning and conducting commemorative programs and activities to enhance cross-cultural awareness, understanding, and inclusiveness among all employees.
- The SEC fosters opportunities for employees to participate in professional enhancement and career development programs both inside and outside the SEC, such as Aspiring Leaders, Women in Leadership, Excellence in Government Fellows, and Upward Mobility programs

8. Transparency Regarding Diversity and Inclusion

The SEC is committed to transparency and regularly makes information about workforce diversity and inclusion efforts available to employees and the public.

- OMWI posts information about diversity on both its and internal and external webpages.
- OMWI posts on the agency's internal website Quarterly Snapshots of the SEC's workforce that show the current representation of minorities and women and results of recent hiring activities for each division and office.
- OMWI's Annual Report to Congress, which describes the actions the OMWI and SEC have taken to enhance diversity in the agency's workforce and provides detailed workforce statistics, is posted on the agency's external website.

This policy memorandum applies to all SEC Divisions and Offices and covers all SK and Senior Officer positions in the agency's workforce.

This policy memorandum is effective immediately.



Pamela A. Gibbs
Director
Office of Minority and Women Inclusion

September 8, 2016

Attachment

Authority

Section 342(b)(2)(A) Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010, 12 U.S.C. 5452(b)(2)(A)

Civil Service Reform Act, (5 U.S.C. 2301(b)(1), 2302(b))

Rehabilitation Act of 1973, as amended, 29 U.S.C. § 791 *et seq.*

Executive Order 11478 (as amended) Equal Employment Opportunity in the Federal Government

Executive Order 13583 Establishing a Coordinated Government-wide Initiative to Promote Diversity and Inclusion in the Federal Workforce, August 18, 2011

Equal Employment Opportunity Commission, Equal Employment Opportunity Management Directive 715 (MD-715)

Office of Personnel Management's Guidance for Agency-Specific Diversity and Inclusion Strategic Plans

ATTACHMENT 8. FY 2021 PROGRAMS FOR SPECIAL OBSERVANCES AND OTHER EVENTS CELEBRATING AFFINITY GROUPS

Attachment 8. FY 2021 Programs for Special Observances and Other Events Celebrating Affinity Groups

DATE	EVENT
October 1, 2020	Hispanic Heritage Month signature event “COVID and its Impact on the Hispanic Community and Hispanic-Owned Small Businesses”
October 14, 2020	CHRO Hispanic Heritage Month program on the life and works of 20th century Mexican painter Frida Kahlo
October 15, 2020	Pride Alliance LGBT History Month: “Out at the SEC” Career panel featuring Senior Officers
October 23, 2020	DIAC National Disability Employment Awareness Month (NDEAM) “Increasing Access and Opportunity at the SEC: An Open Discussion with Senior Officers who identify as LGBTQ+”
October 26, 2020	DIAC NDEAM “Out the Box Series” event, TED Talk discussion by Haben Girma “Why I Work to Remove Access Barriers for Students with Disabilities”
October 27, 2020	NYRO Hispanic Heritage Month featuring professor Maria Victoria Murrillo
October 29, 2020	SFRO, Pride Alliance, and AAC co-hosted “Common Ground: Examining the Connections Between the Black Civil Rights Movements and the Fight for LGBTQ+ Equality”
October 30, 2020	CHRO Women’s History presentation on Ida B. Wells by her great-grandson, Dan Duster
November 10, 2020	Veteran’s Day fireside chat Chairman Jay Clayton and retired Navy Adm. Michelle Howard
November 19, 2020	Native American Heritage Month signature event featuring attorney Riyaz Kanji, “History and Impact of the Landmark case McGirt v. Oklahoma”
January 14, 2021	OMWI EAG Welcome Back / New Year event to celebrate the 2020 EAG accomplishments
February 4, 2021	LARO Celebrates African American History month with USC law professor Jody Armour “Diversity, Equity, and Inclusion and the Current State of Racial Justice in America”
February 17, 2021	African American History Month: “Diversity and Inclusion in the Financial Services” featuring Professor Christopher Brummer
February 17, 2021	SFRO African American History Month: “Black Wall Street and the 1921 Tulsa Race Massacre” featuring professor Karlos K. Hill
February 28, 2021	AAPIC Lunar New Year event with the Gung Kwok Lion Dance troupe
February 24, 2021	AAC African American History Month Book Club discussion “Caste: The Origins of Our Discontents” by Isabel Wilkerson
February 25, 2021	FWRO African American History Month event featuring the Hon. Maryellen Hicks

DATE	EVENT
February 25, 2021	NYRO African American History Month event "Discovering Your Roots Workshop: How to Begin A Journey of a Lifetime" featuring Ms. Robin Semple
March 15, 2021	LARO Women's History Month Entrepreneur Spotlight on SusieCakes Founder-CEO Susan Sarich
March 22, 2021	Joint FIRREA Pride in the Federal Workplace: A Roundtable Panel Discussion
March 24, 2021	NYRO Women's History Month event featuring guest speaker Rebecca Pak
March 24, 2021	LARO Women's History Month event featuring guest speaker "I Waited 96 Years" featuring Sarah Bunin Benor
March 25, 2021	PLRO Women's History Month "Domestic Violence and Human Rights" featuring Professor Belinda Cooper
March 29, 2021	LARO Women's History Month event "The Power of a Girl and Her Pen" featuring Keren Taylor
March 30, 2021	DIAC "Outside the Box" series TED Talk discussion by Chris Downey "Design with the Blind in Mind"
April 15, 2021	SFRO/LARO Town Hall on Diversity & Allyship with professor Russell Jeung, co-founder of the Stop AAPI Hate reporting center
April 18, 2021	Joint FIRREA's OMWI Unmasking Anti-Asian Violence, Bias, and Xenophobia featuring Steve Robbins
May 14, 2021	MIRO Asian American Native Hawaiian and Pacific Islander Month event featuring Hon. Raag Singhal
May 19, 2021	ARO Asian American Native Hawaiian and Pacific Islander Month event featuring Byung "Bjay" Pak
May 25, 2021	Asian American Native Hawaiian and Pacific Islander Month Event Signature event featuring Vandii Verma, chief engineer of robotics operations for the Perseverance rover, and Swati Mohan, the guidance and controls operations lead for the Mars 2020 mission, both with NASA's Jet Propulsion Laboratory
May 26, 2021	MIRO Asian American Native Hawaiian and Pacific Islander Month Reenactment of the trial for the murder of Vincent Chin
May 31, 2021	Veterans Committee: Memorial Day virtual commemoration featuring personal memorials and tributes from SEC staff honoring family and friends who have served our country with a message from Commissioner Crenshaw
June 17, 2021	Caribbean American Heritage Month signature event featuring Stephen Thomas who discussed how his work at IDB Invest supports environmental, social and governance (ESG) program development in the Caribbean and Latin America

DATE	EVENT
June 23, 2021	Pride Month Joint Event with CFTC: “Transgender in the Workplace” featuring Scott Turner Schofield and Katherine Cooper
June 29, 2021	Pride Alliance Pride Month History of Pride Virtual Discussion
June 30, 2021	SFRO Pride Alliance and AAPI Asian Pacific American Activism in LGBT+ History featuring professor Amy Sueyoshi
June 30, 2021	PLRO Celebration of Caribbean American Heritage Month featuring Miranda Alexander, founder, president, and project director of Caribbean Community in Philadelphia
July 14, 2021	MIRO event “Women in the Workplace” presented by Hilarie Bass
September 10, 2021	Sept. 11th 20th Commemoration Event featuring Gen. Richard Myers (U.S. Air Force, retired)
September 29, 2021	ARO Hispanic Heritage Month event featuring Dr. Carlos del Rio

Source: Office of Minority and Women Inclusion

ATTACHMENT 9. WORKFORCE DATA TABLES

The SEC's workforce data tables are attached.

The SEC previously submitted the FY 2021 462 Report to the EEOC.

**TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PAY PERIODS 202022 TO 202122**

EMPLOYMENT TENURE	CLF (2018)	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
		All	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male
TOTAL WORKFORCE																		
Prior FY	#	4,493	2,417	2,076	144	118	1,764	1,157	207	487	288	287	0	1	10	6	4	20
	%	100%	51.79%	48.21%	6.82%	6.16%	35.65%	31.82%	5.70%	6.61%	2.19%	2.18%	0.08%	0.08%	0.31%	0.31%	1.05%	1.05%
Current FY	#	4,536	2,441	2,095	147	122	1,762	1,167	218	476	297	304	0	1	11	6	6	19
	%	100%	53.81%	46.19%	3.24%	2.69%	38.84%	25.73%	4.81%	10.49%	6.55%	6.70%	0.00%	0.02%	0.24%	0.13%	0.13%	0.42%
Difference	#	43	24	19	3	4	-2	10	11	-11	9	17	0	0	1	0	2	-1
Ratio Change	%	0.00%	0.02%	-0.02%	0.04%	0.06%	-0.42%	-0.02%	0.20%	-0.35%	0.14%	0.31%	0.00%	0.00%	0.02%	0.00%	0.04%	-0.03%
Net Change	%	0.96%	0.99%	0.92%	2.08%	3.39%	-0.11%	0.86%	5.31%	-2.26%	3.13%	5.92%	0.00%	0.00%	10.00%	0.00%	50.00%	-5.00%
EMPLOYEE GAINS																		
TOTAL NEW HIRES	#	290	160	130	11	7	94	71	23	23	29	28	0	0	1	0	2	1
	%	100%	55.17%	44.83%	3.79%	2.41%	32.41%	24.48%	7.93%	7.93%	10.00%	9.66%	0.00%	0.00%	0.34%	0.00%	0.69%	0.34%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX
 PAY PERIODS 202022 TO 202122 continued

EMPLOYMENT TENURE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
EMPLOYEE LOSSES																	
Involuntary	#																
	%																
Reduction in Force	#	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%
Removal	#																
	%																
Voluntary	#	242	135	107	8	3	95	56	13	35	19	11	0	0	0	0	2
	%	100%	55.79%	44.21%	3.31%	1.24%	39.26%	23.14%	5.37%	14.46%	7.85%	4.55%	0.00%	0.00%	0.00%	0.00%	0.83%
Resignation	#	109	64	45	2	1	45	24	5	13	12	7	0	0	0	0	0
	%	100%	58.72%	41.28%	1.83%	0.92%	41.28%	22.02%	4.59%	11.93%	11.01%	6.42%	0.00%	0.00%	0.00%	0.00%	0.00%
Retirement	#	95	49	46	4	1	34	24	7	18	4	1	0	0	0	0	2
	%	100%	51.58%	48.42%	4.21%	1.05%	35.79%	25.26%	7.37%	18.95%	4.21%	1.05%	0.00%	0.00%	0.00%	0.00%	2.11%
Other	#	38	22	16	2	1	16	8	1	4	3	3	0	0	0	0	0
	%	100%	57.89%	42.11%	5.26%	2.63%	42.11%	21.05%	2.63%	10.53%	7.89%	7.89%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Separations	#	248	137	111	8	3	96	59	13	35	20	12	0	0	0	0	2
	%	100%	55.24%	44.76%	3.23%	1.21%	38.71%	23.79%	5.24%	14.11%	8.06%	4.84%	0.00%	0.00%	0.00%	0.00%	0.81%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

**TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PAY PERIODS 202022 TO 202122 continued**

EMPLOYMENT TENURE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
PERMANENT																	
Prior FY	#	4,389	2,358	142	116	1,717	1,127	204	482	281	280	0	1	10	6	4	19
	%	100%	53.73%	3.24%	2.64%	39.12%	25.68%	4.65%	10.98%	6.40%	6.38%	0.00%	0.02%	0.23%	0.14%	0.09%	0.43%
Current FY	#	4,423	2,362	146	119	1,720	1,132	212	467	287	299	0	1	11	6	6	17
	%	100%	53.85%	3.30%	2.69%	38.89%	25.59%	4.79%	10.56%	6.49%	6.76%	0.00%	0.02%	0.25%	0.14%	0.14%	0.38%
Difference	#	34	24	4	3	3	5	8	-15	6	19	0	0	1	0	2	-2
Ratio Change	%	0.00%	0.12%	0.06%	0.05%	-0.23%	-0.09%	0.14%	-0.42%	0.09%	0.38%	0.00%	0.00%	0.02%	0.00%	0.05%	-0.05%
Net Change	%	0.77%	1.02%	2.82%	2.59%	0.17%	0.44%	3.92%	-3.11%	2.14%	6.79%	0.00%	0.00%	10.00%	0.00%	50.00%	-10.53%
EMPLOYEE GAINS																	
Permanent New Hires	#	222	124	10	5	72	50	18	19	21	24	0	0	1	0	2	0
	%	100%	55.86%	4.50%	2.25%	32.43%	22.52%	8.11%	8.56%	9.46%	10.81%	0.00%	0.00%	0.45%	0.00%	0.90%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

**TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PAY PERIODS 202022 TO 202122 continued**

EMPLOYMENT TENURE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
EMPLOYEE LOSSES																
Involuntary	#															
	%															
Reduction in Force	#	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%
Removal	#															
	%															
Voluntary	#	207	110	97	7	2	75	52	12	34	16	7	0	0	0	2
	%	100%	53.14%	46.86%	3.38%	0.97%	36.23%	25.12%	5.80%	16.43%	7.73%	3.38%	0.00%	0.00%	0.00%	0.97%
Resignation	#	86	47	39	1	1	32	21	5	12	9	5	0	0	0	0
	%	100%	54.65%	45.35%	1.16%	1.16%	37.21%	24.42%	5.81%	13.95%	10.47%	5.81%	0.00%	0.00%	0.00%	0.00%
Retirement	#	93	47	46	4	1	33	24	6	18	4	1	0	0	0	2
	%	100%	50.54%	49.46%	4.30%	1.08%	35.48%	25.81%	6.45%	19.35%	4.30%	1.08%	0.00%	0.00%	0.00%	2.15%
Other	#	28	16	12	2	0	10	7	1	4	3	1	0	0	0	0
	%	100%	57.14%	42.86%	7.14%	0.00%	35.71%	25.00%	3.57%	14.29%	10.71%	3.57%	0.00%	0.00%	0.00%	0.00%
TOTAL Separations	#	207	110	97	7	2	75	52	12	34	16	7	0	0	0	2
	%	100%	53.14%	46.86%	3.38%	0.97%	36.23%	25.12%	5.80%	16.43%	7.73%	3.38%	0.00%	0.00%	0.00%	0.97%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

**TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PAY PERIODS 202022 TO 202122 continued**

EMPLOYMENT TENURE	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
TEMPORARY																	
Prior FY	#	104	59	45	2	2	30	3	5	7	7	0	0	0	0	0	1
	%	100%	56.73%	43.27%	1.92%	1.92%	28.85%	2.88%	4.81%	6.73%	6.73%	0.00%	0.00%	0.00%	0.00%	0.00%	0.96%
Current FY	#	113	59	54	1	3	35	6	9	10	5	0	0	0	0	0	2
	%	100%	52.21%	47.79%	0.88%	2.65%	30.97%	5.31%	7.96%	8.85%	4.42%	0.00%	0.00%	0.00%	0.00%	0.00%	1.77%
Difference	#	9	0	9	-1	1	-5	3	4	3	-2	0	0	0	0	0	1
Ratio Change	%	0%	-4.52%	4.52%	-1.04%	0.73%	2.12%	2.43%	3.15%	2.12%	-2.31%	0.00%	0.00%	0.00%	0.00%	0.00%	0.81%
Net Change	%	8.65%	0.00%	20.00%	-50.00%	50.00%	16.67%	100%	80.00%	42.86%	-28.57%	0.00%	0.00%	0.00%	0.00%	0.00%	100%
EMPLOYEE GAINS																	
Temporary New Hires	#	68	36	32	1	2	21	5	4	8	4	0	0	0	0	0	1
	%	100%	52.94%	47.06%	1.47%	2.94%	30.88%	7.35%	5.88%	11.76%	5.88%	0.00%	0.00%	0.00%	0.00%	0.00%	1.47%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX
 PAY PERIODS 202022 TO 202122 continued

EMPLOYMENT TENURE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
EMPLOYEE LOSSES																	
Involuntary	#																
	%																
Reduction in Force	#	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%
	%	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%
Removal	#																
	%																
Voluntary	#	35	25	10	1	20	4	1	1	3	4	0	0	0	0	0	0
	%	100%	71.43%	28.57%	2.86%	57.14%	11.43%	2.86%	2.86%	8.57%	11.43%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Resignation	#	23	17	6	1	13	3	0	1	3	2	0	0	0	0	0	0
	%	100%	73.91%	26.09%	4.35%	56.52%	13.04%	0.00%	4.35%	13.04%	8.70%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Retirement	#	2	2	0	0	1	0	1	0	0	0	0	0	0	0	0	0
	%	100%	100%	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%	0.00%
Other	#	10	6	4	0	6	1	0	0	0	2	0	0	0	0	0	0
	%	100%	60.00%	40.00%	0.00%	60.00%	10.00%	0.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Separations	#	41	27	14	1	21	7	1	1	4	5	0	0	0	0	0	0
	%	100%	65.85%	34.15%	2.44%	51.22%	17.07%	2.44%	2.44%	9.76%	12.20%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A2: REGIONAL OFFICES AND HEADQUARTERS—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PERMANENT WORKFORCE—PAY PERIOD 202122

REGIONAL AND HQ STAFF PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	%	#	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
CLF (2018)	52%	4,423	51.79%	48.21%	6.16%	31.82%	5.70%	6.61%	2.19%	2.18%	0.08%	0.31%	0.31%	1.05%	1.05%	
TOTAL WORKFORCE	100%	53,855	46.15%	53.85%	2.69%	25.59%	4.79%	10.56%	6.49%	6.76%	0.02%	0.25%	0.14%	0.14%	0.38%	
HQ	2,844	1,503	1,341	161	64	711	158	362	196	187	0	9	3	4	14	
	100%	52,855	47.15%	52.85%	2.25%	25.00%	5.56%	12.73%	6.89%	6.58%	0.00%	0.32%	0.11%	0.14%	0.49%	
NYRO	373	198	175	23	13	107	5	26	23	29	0	0	0	0	0	
	100%	53,088	46.92%	53.08%	3.49%	28.68%	1.34%	6.97%	6.17%	7.77%	0.00%	0.00%	0.00%	0.00%	0.00%	
CHRO	227	140	87	53	5	56	8	18	10	8	0	0	0	0	0	
	100%	61,67%	38.33%	61.67%	2.20%	24.67%	3.52%	7.93%	4.41%	3.52%	0.00%	0.00%	0.00%	0.00%	0.00%	
LARO	158	80	78	2	7	37	3	13	25	21	0	0	0	1	0	
	100%	50,63%	49.37%	50.63%	4.43%	23.42%	1.90%	8.23%	15.82%	13.29%	0.00%	0.00%	0.00%	0.63%	0.00%	
BRO	147	84	63	21	5	42	5	4	8	12	0	0	0	0	0	
	100%	57,14%	42.86%	57.14%	3.40%	28.57%	3.40%	2.72%	5.44%	8.16%	0.00%	0.00%	0.00%	0.00%	0.00%	
PLRO	129	78	51	27	3	38	8	7	6	3	0	0	0	0	0	
	100%	60,47%	39.53%	60.47%	2.33%	29.46%	6.20%	5.43%	4.65%	2.33%	0.00%	0.00%	0.00%	0.00%	0.00%	
FWRO	109	61	48	13	3	37	7	5	3	2	0	0	0	0	1	
	100%	55,96%	44.04%	55.96%	2.75%	33.94%	6.42%	4.59%	2.75%	1.83%	0.00%	0.00%	0.00%	0.00%	0.92%	
SFRO	125	62	63	22	3	25	2	7	15	25	0	1	2	1	1	
	100%	49,60%	50.40%	49.60%	2.40%	20.00%	1.60%	5.60%	12.00%	20.00%	0.00%	0.80%	1.60%	0.80%	0.80%	

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A2: REGIONAL OFFICES AND HEADQUARTERS—DISTRIBUTION BY RACE/ETHNICITY AND SEX
 PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

REGIONAL AND HQ STAFF PERMANENT	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
		98	58	40	5	1	41	21	11	15	1	1	0	0	0	1	1
ARO	100%	59.18%	40.82%	5.10%	1.02%	41.84%	21.43%	11.22%	15.31%	1.02%	1.02%	0.00%	0.00%	0.00%	1.02%	0.00%	1.02%
MIRO	104	57	47	20	12	33	17	4	10	0	7	0	1	0	0	0	0
	100%	54.81%	45.19%	19.23%	11.54%	31.73%	16.35%	3.85%	9.62%	0.00%	6.73%	0.00%	0.96%	0.00%	0.00%	0.00%	0.00%
DRO	93	53	40	0	2	52	35	0	0	0	3	0	0	1	0	0	0
	100%	56.99%	43.01%	0.00%	2.15%	55.91%	37.63%	0.00%	0.00%	0.00%	3.23%	0.00%	0.00%	1.08%	0.00%	0.00%	0.00%
SLRO	16	8	8	0	1	7	6	1	0	0	1	0	0	0	0	0	0
	100%	50.00%	50.00%	0.00%	6.25%	43.75%	37.50%	6.25%	0.00%	0.00%	6.25%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

**TABLE A3: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PERMANENT WORKFORCE—PAY PERIOD 202122**

OCCUPATIONAL CATEGORIES PERMANENT	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
1. Management																	
Executives	# 138	75	63	8	0	63	50	3	8	1	4	0	0	0	0	0	1
	% 100%	54.35%	45.65%	5.80%	0.00%	45.65%	36.23%	2.17%	5.80%	0.72%	2.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.72%
Managers	# 386	237	149	10	3	197	104	7	19	22	22	0	1	0	1	0	0
	% 100%	61.40%	38.60%	2.59%	0.78%	51.04%	26.94%	1.81%	4.92%	5.70%	5.70%	0.00%	0.26%	0.00%	0.00%	0.00%	0.00%
Supervisors	# 362	228	134	21	6	158	78	17	31	32	18	0	0	0	0	0	1
	% 100%	62.98%	37.02%	5.80%	1.66%	43.65%	21.55%	4.70%	8.56%	8.84%	4.97%	0.00%	0.00%	0.00%	0.00%	0.00%	0.28%
TOTAL MANAGEMENT	# 886	540	346	39	9	418	232	27	58	55	44	0	1	1	0	0	2
	% 100%	60.95%	39.05%	4.40%	1.02%	47.18%	26.19%	3.05%	6.55%	6.21%	4.97%	0.00%	0.11%	0.11%	0.00%	0.00%	0.23%
2. Professional Workers	# 3,390	1,802	1,588	105	100	1,286	860	166	359	230	249	0	0	9	5	6	15
	% 100%	53.16%	46.84%	3.10%	2.95%	37.94%	25.37%	4.90%	10.59%	6.78%	7.35%	0.00%	0.00%	0.27%	0.15%	0.18%	0.44%
3. Technical Workers and Technologists	# 3	3	0	0	0	3	0	0	0	0	0	0	0	0	0	0	0
	% 100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A3: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX
 PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

OCCUPATIONAL CATEGORIES PERMANENT		TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
		All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male
4. Sales Workers	#	2	1	1	0	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
5. Administrative Support Workers	#	132	28	104	1	9	38	15	50	2	6	0	0	1	1	0	0
	%	100%	21.21%	78.79%	0.76%	6.82%	28.79%	11.36%	37.88%	1.52%	4.55%	0.00%	0.00%	0.76%	0.76%	0.00%	0.00%
6. Skilled Craft and Repair Workers	#	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%
7. Operative and Transportation Workers	#	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%
8. Laborers	#	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%
9. Service Workers	#	10	8	2	1	0	2	4	0	0	0	0	0	0	0	0	0
	%	100%	80.00%	20.00%	10.00%	0.00%	20.00%	40.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A4P: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122

SK, SO AND RELATED GRADES PERMANENT	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
SK-02	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-03	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-04	2	100%	1	50.00%	0	0.00%	1	50.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-05	1	100%	1	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-06	5	100%	1	20.00%	0	0.00%	1	20.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-07	32	100%	5	15.63%	1	3.13%	2	6.25%	2	6.25%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-08	12	100%	1	8.33%	0	0.00%	0	0.00%	1	8.33%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-09	38	100%	8	21.05%	1	2.63%	4	10.53%	3	7.89%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-10	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-11	75	100%	21	28.00%	2	2.67%	8	10.67%	8	10.67%	2	2.67%	0	0.00%	1	1.33%	0	0.00%
SK-12	221	100%	60	27.15%	4	1.81%	27	12.22%	22	9.95%	6	2.71%	0	0.00%	1	0.45%	0	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A4P: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 continued

SK, SO AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
SK-13	374	213	11	14	84	80	35	91	27	27	0	0	3	0	1	1
	100%	43.05%	2.94%	3.74%	22.46%	21.39%	9.36%	24.33%	7.22%	7.22%	0.00%	0.00%	0.80%	0.00%	0.27%	0.27%
SK-14	2,211	982	78	65	892	593	95	135	157	178	0	0	2	3	5	8
	100%	44.41%	3.53%	2.94%	40.34%	26.82%	4.30%	6.11%	7.10%	8.05%	0.00%	0.00%	0.09%	0.14%	0.23%	0.36%
SK-15	364	129	22	5	165	79	16	28	32	16	0	0	0	0	0	1
	100%	35.44%	6.04%	1.37%	45.33%	21.70%	4.40%	7.69%	8.79%	4.40%	0.00%	0.00%	0.00%	0.00%	0.00%	0.27%
SK-16	559	216	9	7	273	156	19	16	39	32	0	0	3	2	0	3
	100%	38.64%	1.61%	1.25%	48.84%	27.91%	3.40%	2.86%	6.98%	5.72%	0.00%	0.00%	0.54%	0.36%	0.00%	0.54%
SK-17	388	149	10	3	199	104	7	19	22	22	0	1	1	0	0	0
	100%	38.40%	2.58%	0.77%	51.29%	26.80%	1.80%	4.90%	5.67%	5.67%	0.00%	0.26%	0.26%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	3	1	0	0	1	1	0	0	1	0	0	0	0	0	0	0
	100%	33.33%	0.00%	0.00%	33.33%	33.33%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	138	63	8	0	63	50	3	8	1	4	0	0	0	0	0	1
	100%	45.65%	5.80%	0.00%	45.65%	36.23%	2.17%	5.80%	0.72%	2.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.72%
Permanent Workforce	4,423	2,041	146	119	1,720	1,132	212	467	287	299	0	1	11	6	6	17
	100%	46.15%	3.30%	2.69%	38.89%	25.59%	4.79%	10.56%	6.49%	6.76%	0.00%	0.02%	0.25%	0.14%	0.14%	0.38%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

**TABLE A4T: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122**

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
SK-02	0	0.00%	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-03	0	0.00%	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-04	3	0.00%	100%	0	0.00%	0	0.00%	1	33.33%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-05	0	0.00%	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-06	0	0.00%	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-07	4	0.00%	100%	0	0.00%	0	0.00%	1	25.00%	2	50.00%	0	0.00%	0	0.00%	0	0.00%
SK-08	0	0.00%	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-09	1	0.00%	100%	0	0.00%	1	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-10	0	0.00%	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-11	9	77.78%	22.22%	0	0.00%	6	66.67%	2	22.22%	1	11.11%	0	0.00%	0	0.00%	0	0.00%
SK-12	6	16.67%	83.33%	0	0.00%	0	0.00%	2	33.33%	0	0.00%	1	16.67%	0	0.00%	0	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A4T: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO AND RELATED GRADES TEMPORARY	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
SK-13	#		5	2	3	0	0	0	0	1	1	2	0	0	0	0	0
	%		100%	40.00%	60.00%	0.00%	0.00%	20.00%	20.00%	20.00%	40.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#		18	11	7	1	1	6	5	0	4	1	0	0	0	0	0
	%		100%	61.11%	38.89%	5.56%	5.56%	33.33%	27.78%	0.00%	22.22%	5.56%	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
	%		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%
SK-16	#		41	25	16	0	0	21	13	2	2	1	0	0	0	0	0
	%		100%	60.98%	39.02%	0.00%	0.00%	51.22%	31.71%	4.88%	4.88%	2.44%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-17	#		2	0	2	0	0	0	0	0	1	0	0	0	0	0	0
	%		100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	#		2	1	1	0	0	1	1	0	0	0	0	0	0	0	0
	%		100%	50.00%	50.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	#		22	11	11	0	0	7	10	2	2	0	0	0	0	0	0
	%		100%	50.00%	50.00%	0.00%	0.00%	31.82%	45.45%	9.09%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Temporary Workforce	#		113	59	54	1	3	42	35	6	9	10	5	0	0	0	2
	%		100%	52.21%	47.79%	0.88%	2.65%	37.17%	30.97%	5.31%	7.96%	8.85%	4.42%	0.00%	0.00%	0.00%	1.77%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A5P: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122

SALARY RANGE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races									
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female							
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%						
Permanent Workforce	4,423	100%	2,041	46.15%	119	2.69%	1,720	38.89%	212	4.79%	287	6.49%	299	6.76%	0	0.02%	11	0.25%	6	0.14%	6	0.14%	17	0.38%
\$20,001 – \$30,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$30,001 – \$40,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$40,001 – \$50,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$50,001 – \$60,000	2	100%	1	50.00%	0	0%	1	50.00%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$60,001 – \$70,000	5	100%	3	60.00%	2	40.00%	1	20.00%	1	20.00%	1	20.00%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$70,001 – \$80,000	17	100%	6	35.29%	11	64.71%	4	23.53%	1	5.88%	3	17.65%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$80,001 – \$90,000	43	100%	7	16.28%	36	83.72%	1	2.33%	5	11.63%	1	2.33%	3	6.98%	0	0%	0	0%	0	0%	0	0%	0	0%
\$90,001 – \$100,000	38	100%	10	26.32%	28	73.68%	6	15.79%	1	2.63%	1	2.63%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$100,001 – \$110,000	47	100%	15	31.91%	32	68.09%	6	12.77%	6	12.77%	1	2.13%	4	8.51%	0	0%	0	0%	0	0%	0	0%	0	0%
\$110,001 – \$120,000	77	100%	20	25.97%	57	74.03%	13	16.88%	5	6.49%	1	1.30%	5	6.49%	0	0%	1	1.30%	0	0%	0	0%	3	3.90%
\$120,001 – \$130,000	80	100%	30	37.50%	50	62.50%	17	21.25%	4	5.00%	4	5.00%	5	6.25%	0	0%	3	3.75%	0	0%	0	0%	0	0%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A5P: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SALARY RANGE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
\$130,001 – \$140,000	137	83	4	5.84%	25	37	15	34	10	4	0	0	0	0	0	0
	100%	39.42%	2.92%	5.84%	18.25%	27.01%	10.95%	24.82%	7.30%	2.92%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$140,001 – \$150,000	166	89	5	4.82%	53	33	12	29	7	17	0	0	0	0	0	2
	100%	46.39%	3.01%	4.82%	31.93%	19.88%	7.23%	17.47%	4.22%	10.24%	0.00%	0.00%	0.00%	0.00%	0.00%	1.20%
\$150,001 – \$160,000	181	96	12	6.63%	53	48	13	25	7	16	0	0	0	0	0	0
	100%	46.96%	6.63%	3.87%	29.28%	26.52%	7.18%	13.81%	3.87%	8.84%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$160,001 – \$170,000	200	110	5	2.50%	58	44	11	42	14	16	0	0	0	0	1	1
	100%	45.00%	2.50%	3.00%	29.00%	22.00%	5.50%	21.00%	7.00%	8.00%	0.00%	0.00%	0.00%	0.50%	1.00%	0.50%
\$170,001 – \$180,000	183	84	3	1.64%	63	40	14	18	17	21	0	0	0	2	2	1
	100%	54.10%	1.64%	1.09%	34.43%	21.86%	7.65%	9.84%	9.29%	11.48%	0.00%	0.00%	0.00%	1.09%	1.09%	0.55%
\$180,001 and Greater	3,247	1,362	108	3.33%	1,419	882	124	192	225	208	0	1	7	3	2	10
	100%	58.05%	3.33%	2.03%	43.70%	27.16%	3.82%	5.91%	6.93%	6.41%	0.00%	0.03%	0.22%	0.09%	0.06%	0.31%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A5P: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SALARY RANGE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races															
	All		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female														
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%														
\$180,001 – \$190,000	226	100%	132	41.59%	94	28.17%	6	2.65%	13	5.75%	46	20.35%	16	7.08%	27	11.95%	14	6.19%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	1	0.44%		
\$190,001 – \$200,000	260	100%	151	41.92%	109	30.73%	5	1.92%	5	1.92%	66	25.38%	10	3.85%	21	8.08%	15	5.77%	0	0.00%	1	0.38%	0	0.00%	0	0.00%	1	0.38%		
\$200,001 – \$210,000	253	100%	137	41.92%	116	33.63%	15	5.93%	15	5.93%	56	22.13%	12	4.74%	22	8.70%	27	10.67%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	1	0.40%		
\$210,001 – \$220,000	375	100%	232	41.92%	143	38.13%	7	1.87%	7	1.87%	104	27.73%	18	4.80%	12	3.20%	18	4.80%	0	0.00%	2	0.53%	0	0.00%	0	0.00%	0	0.00%		
\$220,001 – \$230,000	878	100%	468	41.92%	410	46.70%	30	3.42%	30	3.42%	258	29.38%	34	3.87%	55	6.26%	70	7.97%	0	0.00%	0	0.00%	0	0.00%	1	0.11%	1	0.11%	3	0.34%
\$230,001 – \$240,000	305	100%	189	41.92%	116	38.03%	14	4.59%	14	4.59%	69	22.62%	11	3.61%	18	5.90%	21	7.21%	0	0.00%	0	0.00%	0	0.00%	1	0.33%	0	0.00%	1	0.33%
\$240,001 – \$250,000	177	100%	117	41.92%	60	33.90%	5	2.82%	5	2.82%	48	27.12%	4	2.26%	5	2.82%	14	7.91%	5	2.82%	0	0.00%	0	0.00%	1	0.56%	1	0.56%	1	0.56%
\$250,001 – \$260,000	650	100%	393	41.92%	257	39.54%	11	1.69%	11	1.69%	190	29.23%	17	2.62%	25	3.85%	44	6.77%	33	5.08%	0	0.00%	1	0.15%	2	0.31%	0	0.00%	1	0.15%
\$260,001 – \$270,000	18	100%	9	50.00%	9	50.00%	3	16.67%	3	16.67%	7	38.89%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
\$270,001 – \$280,000	104	100%	56	41.92%	48	46.15%	5	4.81%	5	4.81%	38	36.54%	2	1.92%	5	4.81%	1	0.96%	4	3.85%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	1	0.96%
\$280,001 – \$290,000	1	100%	1	100%	0	0.00%	0	0.00%	0	0.00%	1	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
\$290,001 – \$300,000	0	100%	0	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
\$300,001 and Greater	0	100%	0	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A5T: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122

SALARY RANGE TEMPORARY	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Temporary Workforce	113	100%	54	1	3	42	35	6	9	10	5	0	0	0	0	0	2
\$20,001 – \$30,000	0	0%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
\$30,001 – \$40,000	2	100%	2	0	1	0	1	0	0	0	0	0	0	0	0	0	0
\$40,001 – \$50,000	1	100%	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0
\$50,001 – \$60,000	3	100%	3	0	0	0	1	0	1	0	0	0	0	0	0	0	1
\$60,001 – \$70,000	1	100%	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0
\$70,001 – \$80,000	1	100%	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0
\$80,001 – \$90,000	0	100%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
\$90,001 – \$100,000	0	100%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
\$100,001 – \$110,000	9	100%	6	3	0	6	3	0	0	0	0	0	0	0	0	0	0
\$110,001 – \$120,000	3	100%	2	0	0	0	0	1	2	0	0	0	0	0	0	0	0
\$120,001 – \$130,000	3	100%	2	0	1	0	0	0	0	1	0	0	0	0	0	0	1

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A5T: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 *continued*

SALARY RANGE TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%														
\$130,001 – \$140,000	0	0.00%	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%
\$140,001 – \$150,000	2	100%	2	0	0	0	0	0	2	0	0	0	0	0	0	0
	100%		100%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$150,001 – \$160,000	8	100%	2	6	1	6	1	0	0	0	0	0	0	0	0	0
	100%		25.00%	75.00%	12.50%	75.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$160,001 – \$170,000	6	100%	3	3	1	1	0	0	1	2	0	0	0	0	0	0
	100%		50.00%	50.00%	16.67%	16.67%	0.00%	0.00%	16.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$170,001 – \$180,000	2	100%	2	0	2	0	0	0	0	0	0	0	0	0	0	0
	100%		100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$180,001 and Greater	72	100%	41	31	1	23	4	4	6	3	0	0	0	0	0	0
	100%		56.94%	43.06%	1.39%	31.94%	5.56%	5.56%	8.33%	4.17%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A5T: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 *continued*

SALARY RANGE TEMPORARY	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
\$180,001 – \$190,000	4	2	2	0	0	2	0	0	1	0	1	0	0	0	0	0	0
	100%	50.00%	50.00%	0.00%	0.00%	50.00%	0.00%	25.00%	25.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$190,001 – \$200,000	9	5	4	0	1	4	3	0	0	1	0	0	0	0	0	0	0
	100%	55.56%	44.44%	0.00%	11.11%	44.44%	33.33%	0.00%	0.00%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$200,001 – \$210,000	7	5	2	0	0	5	2	0	0	0	0	0	0	0	0	0	0
	100%	71.43%	28.57%	0.00%	0.00%	71.43%	28.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$210,001 – \$220,000	4	4	0	0	0	3	0	0	0	1	0	0	0	0	0	0	0
	100%	100%	0.00%	0.00%	0.00%	75.00%	0.00%	0.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$220,001 – \$230,000	18	8	10	0	0	6	6	0	2	2	2	0	0	0	0	0	0
	100%	44.44%	55.56%	0.00%	0.00%	33.33%	33.33%	0.00%	11.11%	11.11%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$230,001 – \$240,000	8	4	4	0	0	2	3	1	1	1	0	0	0	0	0	0	0
	100%	50.00%	50.00%	0.00%	0.00%	25.00%	37.50%	12.50%	12.50%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$240,001 – \$250,000	9	6	3	0	0	5	3	1	0	0	0	0	0	0	0	0	0
	100%	66.67%	33.33%	0.00%	0.00%	55.56%	33.33%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$250,001 – \$260,000	6	4	2	0	0	2	2	1	0	1	0	0	0	0	0	0	0
	100%	66.67%	33.33%	0.00%	0.00%	33.33%	33.33%	16.67%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$260,001 – \$270,000	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%
\$270,001 – \$280,000	7	3	4	0	0	2	4	1	0	0	0	0	0	0	0	0	0
	100%	42.86%	57.14%	0.00%	0.00%	28.57%	57.14%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$280,001 – \$290,000	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%
\$290,001 – \$300,000	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%
\$300,001 and Greater	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%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122

SK, SO AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
0905 General Attorney																
Occupational CLF	100%	62.64%	37.36%	3.09%	2.57%	54.38%	28.67%	2.26%	3.01%	1.92%	2.18%	0.02%	0.01%	0.11%	0.10%	0.82%
#	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%
SK-09	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%
SK-10	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%
SK-11	5	4	1	0	0	2	1	0	0	1	0	0	0	1	0	0
%	100%	80.00%	20.00%	0.00%	0.00%	40.00%	20.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	20.00%	0.00%	0.00%
SK-12	14	7	7	0	1	6	3	0	0	1	3	0	0	0	0	0
%	100%	50.00%	50.00%	0.00%	7.14%	42.86%	21.43%	0.00%	0.00%	7.14%	21.43%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	60	25	35	2	2	19	22	4	2	0	9	0	0	0	0	0
%	100%	41.67%	58.33%	3.33%	3.33%	31.67%	36.67%	6.67%	3.33%	0.00%	15.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	995	522	473	27	31	412	323	31	42	51	72	0	0	0	2	1
%	100%	52.46%	47.54%	2.71%	3.12%	41.41%	32.46%	3.12%	4.22%	5.13%	7.24%	0.00%	0.00%	0.00%	0.20%	0.10%
SK-15	90	47	43	3	1	40	33	0	4	4	4	0	0	0	0	1
%	100%	52.22%	47.78%	3.33%	1.11%	44.44%	36.67%	0.00%	4.44%	4.44%	4.44%	0.00%	0.00%	0.00%	0.00%	1.11%
SK-16	390	222	168	7	4	183	126	12	13	19	21	0	0	1	2	2
%	100%	56.92%	43.08%	1.79%	1.03%	46.92%	32.31%	3.08%	3.33%	4.87%	5.38%	0.00%	0.00%	0.26%	0.51%	0.51%
SK-17	236	143	93	6	1	126	72	1	8	10	12	0	0	0	0	0
%	100%	60.59%	39.41%	2.54%	0.42%	53.39%	30.51%	0.42%	3.39%	4.24%	5.08%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	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%
Senior Officer	88	42	46	4	0	36	39	1	4	1	3	0	0	0	0	0
%	100%	47.73%	52.27%	4.55%	0.00%	40.91%	44.32%	1.14%	4.55%	1.14%	3.41%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	1,878	1,012	866	49	40	824	619	49	73	87	124	0	0	2	4	1
%	100%	53.89%	46.11%	2.61%	2.13%	43.88%	32.96%	2.61%	3.89%	4.63%	6.60%	0.00%	0.00%	0.11%	0.21%	0.05%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO, AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
Internal Competitive Promotions¹																
Job Series of Vacancy: General Attorney (0905)																
Relevant Pool²	100%	46.78%	2.51%	2.51%	42.60%	32.69%	3.02%	3.93%	4.89%	7.01%	0.00%	0.00%	0.13%	0.26%	0.06%	0.39%
TOTAL Postings	#	43														
TOTAL Applications Received	#	338	132	3	157	102	10	11	25	15	0	0	1	1	0	0
	%	100%	39.05%	0.89%	46.45%	30.18%	2.96%	3.25%	7.40%	4.44%	0.00%	0.00%	0.30%	0.30%	0.00%	0.00%
Qualified	#	302	120	3	136	92	9	10	24	14	0	0	1	1	0	0
	%	100%	39.74%	3.97%	45.03%	30.46%	2.98%	3.31%	7.95%	4.64%	0.00%	0.00%	0.33%	0.33%	0.00%	0.00%
Referred	#	46	24	2	14	18	1	3	4	3	0	0	1	0	0	0
	%	100%	52.17%	4.35%	30.43%	39.13%	2.17%	6.52%	8.70%	6.52%	0.00%	0.00%	2.17%	0.00%	0.00%	0.00%
Selected³	#	46	24	2	14	18	1	3	4	3	0	0	1	0	0	0
	%	100%	47.83%	4.35%	30.43%	39.13%	2.17%	6.52%	8.70%	6.52%	0.00%	0.00%	2.17%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

**TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 continued**

SK, SO, AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races			
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female		
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%		
NEW HIRES	New Hires																	
General Attorney (0905): In FY 2021 Applicant Flow Data, 33 attorney external applications were marked selected.																		
TOTAL Postings	#	44																
Voluntarily Identified	#	2,853	1,733	1,120	233	160	1,079	508	213	284	195	149	0	1	11	3	2	15
	%	100%	60.74%	39.26%	8.17%	5.61%	37.82%	17.81%	7.47%	9.95%	6.83%	5.22%	0.00%	0.04%	0.39%	0.11%	0.07%	0.53%
Qualified of those Identified	#	2,578	1,582	996	213	134	990	466	187	246	182	132	0	1	8	3	2	14
	%	100%	61.37%	38.63%	8.26%	5.20%	38.40%	18.08%	7.25%	9.54%	7.06%	5.12%	0.00%	0.04%	0.31%	0.12%	0.08%	0.54%
Referred of those Qualified	#	368	211	157	22	14	149	91	19	30	21	19	0	0	0	1	0	2
	%	100%	57.34%	42.66%	5.98%	3.80%	40.49%	24.73%	5.16%	8.15%	5.71%	5.16%	0.00%	0.00%	0.00%	0.27%	0.00%	0.54%
Selected of those Referred ²	#	33	16	17	0	1	9	8	3	5	4	2	0	0	0	0	0	1
	%	100%	48.48%	51.52%	0.00%	3.03%	27.27%	24.24%	9.09%	15.15%	12.12%	6.06%	0.00%	0.00%	0.00%	0.00%	0.00%	3.03%
0905 General Attorney Onboarded ³	#	91	43	48	3	2	31	30	3	5	4	11	0	0	1	0	1	0
	%	100%	47.25%	52.75%	3.30%	2.20%	34.07%	32.97%	3.30%	5.49%	4.40%	12.09%	0.00%	0.00%	1.10%	0.00%	1.10%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021), Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 continued

SK, SO AND RELATED GRADES PERMANENT	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
0510 Accountant	100%	38.97%	61.03%	2.78%	5.18%	29.56%	42.69%	2.75%	5.88%	5.88%	5.80%	0.05%	0.09%	0.10%	0.27%	0.63%	1.12%
Occupational CLF	#	2	1	1	0	0	0	0	1	0	0	0	0	0	0	0	0
SK-09	%	100%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-10	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	1	0	1	0	0	1	0	0	0	0	0	0	0	0	0	0
SK-11	%	100%	0.00%	100%	0.00%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	3	1	2	0	1	0	0	0	0	2	0	0	0	0	0	0
SK-12	%	100%	33.33%	66.67%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	14	6	8	0	4	5	0	1	2	2	0	0	0	0	0	0
SK-13	%	100%	42.86%	57.14%	0.00%	28.57%	35.71%	0.00%	7.14%	14.29%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	587	308	279	22	234	164	24	34	27	59	0	0	1	1	0	1
SK-14	%	100%	52.47%	47.53%	3.75%	34.1%	27.94%	4.09%	5.79%	4.60%	10.05%	0.00%	0.00%	0.17%	0.17%	0.00%	0.17%
SK-15	#	100	77	23	4	60	17	3	3	10	2	0	0	0	0	0	0
SK-15	%	100%	77.00%	23.00%	4.00%	60.00%	17.00%	3.00%	3.00%	10.00%	2.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	55	33	22	0	28	17	2	0	3	3	0	0	0	0	0	1
SK-16	%	100%	60.00%	40.00%	0.00%	50.91%	30.91%	3.64%	0.00%	5.45%	5.45%	0.00%	0.00%	0.00%	0.00%	0.00%	1.82%
SK-17	#	53	36	17	1	30	12	1	1	3	4	0	0	1	0	0	0
SK-17	%	100%	67.92%	32.08%	1.89%	56.60%	22.64%	1.89%	1.89%	5.66%	7.55%	0.00%	0.00%	1.89%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
All Other (Non-SK, Non-SO)	%	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%
Senior Officer	#	6	3	3	0	3	2	0	1	0	0	0	0	0	0	0	0
Senior Officer	%	100%	50.00%	50.00%	0.00%	50.00%	33.33%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	#	821	465	356	28	360	218	30	41	45	72	0	0	2	1	0	2
TOTAL Population	%	100%	56.64%	43.36%	3.41%	43.85%	26.55%	3.65%	4.99%	5.48%	8.77%	0.00%	0.00%	0.24%	0.12%	0.00%	0.24%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

**TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 continued**

SK, SO, AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Internal Competitive Promotions¹																
Job Series of Vacancy: Accounting (0510)																
Relevant Pool²	%	100%	55.92%	44.08%	3.42%	2.89%	43.03%	26.84%	3.82%	5.00%	5.53%	8.95%	0.00%	0.13%	0.00%	0.26%
TOTAL Postings	#	7														
TOTAL Applications Received	#	78	41	37	6	2	20	13	11	16	4	6	0	0	0	0
	%	100%	52.56%	47.44%	7.69%	2.56%	25.64%	16.67%	14.10%	20.51%	5.13%	7.69%	0.00%	0.00%	0.00%	0.00%
Qualified	#	59	32	27	4	1	18	11	6	9	4	6	0	0	0	0
	%	100%	54.24%	45.76%	6.78%	1.69%	30.51%	18.64%	10.17%	15.25%	6.78%	10.17%	0.00%	0.00%	0.00%	0.00%
Referred	#	38	19	19	4	1	10	6	4	7	1	5	0	0	0	0
	%	100%	50.00%	50.00%	10.53%	2.63%	26.32%	15.79%	10.53%	18.42%	2.63%	13.16%	0.00%	0.00%	0.00%	0.00%
Selected³	#	7	3	4	0	0	2	2	1	2	0	0	0	0	0	0
	%	100%	42.86%	57.14%	0.00%	0.00%	28.57%	28.57%	14.29%	28.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 continued

SK, SO, AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
																	%
New Hires																	
Accounting (0510): In FY 2021 Applicant Flow Data,¹ 4 accountant external applications were marked selected.																	
TOTAL Postings	#	12															
Voluntarily Identified	#	152	86	66	10	5	40	14	24	30	12	16	0	0	0	0	1
	%	100%	56.58%	43.42%	6.58%	3.29%	26.32%	9.21%	15.79%	19.74%	7.89%	10.53%	0.00%	0.00%	0.00%	0.00%	0.66%
Qualified of those Identified	#	107	56	51	7	3	25	11	14	23	10	14	0	0	0	0	0
	%	100%	52.34%	47.66%	6.54%	2.80%	23.36%	10.28%	13.08%	21.50%	9.35%	13.08%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred of those Qualified	#	75	38	37	4	2	14	10	11	13	9	12	0	0	0	0	0
	%	100%	50.67%	49.33%	5.33%	2.67%	18.67%	13.33%	14.67%	17.33%	12.00%	16.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred ²	#	4	1	3	0	0	0	2	0	0	1	1	0	0	0	0	0
	%	100%	25.00%	75.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	25.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0510 Accounting Onboarded ³	#	22	11	11	1	0	8	5	1	1	1	5	0	0	0	0	0
	%	100%	50.00%	50.00%	4.55%	0.00%	36.36%	22.73%	4.55%	4.55%	4.55%	22.73%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 continued

SK, SO AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
1831 Securities Compliance Examining																
Occupational CLF	100%	53.69%	46.31%	3.88%	4.80%	43.42%	32.84%	3.08%	5.15%	2.32%	2.38%	0.05%	0.12%	0.18%	0.82%	0.91%
#	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%
SK-09	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-10	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-11	3	1	2	0	0	0	0	1	0	0	1	0	0	0	0	1
%	100%	33.33%	66.67%	0.00%	0.00%	0.00%	0.00%	33.33%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	33.33%
SK-12	10	6	4	0	2	5	1	0	1	1	0	0	0	0	0	0
%	100%	60.00%	40.00%	0.00%	20.00%	50.00%	10.00%	0.00%	10.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	18	9	9	2	2	6	3	0	0	1	4	0	0	0	0	0
%	100%	50.00%	50.00%	11.11%	11.11%	33.33%	16.67%	0.00%	0.00%	5.56%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	183	114	69	9	2	83	37	6	13	15	16	0	0	0	1	1
%	100%	62.30%	37.70%	4.92%	1.09%	45.36%	20.22%	3.28%	7.10%	8.20%	8.74%	0.00%	0.00%	0.00%	0.55%	0.55%
SK-15	63	45	18	5	1	31	11	1	3	8	3	0	0	0	0	0
%	100%	71.43%	28.57%	7.94%	1.59%	49.21%	17.46%	1.59%	4.76%	12.70%	4.76%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	41	31	10	1	0	25	6	1	1	4	3	0	0	0	0	0
%	100%	75.61%	24.39%	2.44%	0.00%	60.98%	14.63%	2.44%	2.44%	9.76%	7.32%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-17	32	19	13	1	1	12	8	2	2	4	2	0	0	0	0	0
%	100%	59.38%	40.63%	3.13%	3.13%	37.50%	25.00%	6.25%	6.25%	12.50%	6.25%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Senior Officer	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL Population	350	225	125	18	8	162	66	11	20	33	29	0	0	0	1	2
%	100%	64.29%	35.71%	5.14%	2.29%	46.29%	18.86%	3.14%	5.71%	9.43%	8.29%	0.00%	0.00%	0.00%	0.29%	0.57%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Internal Competitive Promotions¹																
Job Series of Vacancy: Securities Compliance Examining (1831)																
Relevant Pool ²	%	100%	39.15%	5.07%	43.10%	19.15%	3.94%	9.58%	8.45%	7.61%	0.00%	0.00%	0.00%	0.00%	0.28%	0.56%
TOTAL Postings	#	8														
TOTAL Applications Received	#	122	38	16	42	12	13	7	13	7	0	0	0	0	0	0
	%	100%	31.15%	13.11%	34.43%	9.84%	10.66%	5.74%	10.66%	5.74%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	47	8	5	22	3	3	0	9	4	0	0	0	0	0	0
	%	100%	17.02%	10.64%	46.81%	6.38%	6.38%	0.00%	19.15%	8.51%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	28	5	4	13	2	2	0	4	2	0	0	0	0	0	0
	%	100%	17.86%	14.29%	46.43%	7.14%	7.14%	0.00%	14.29%	7.14%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected ³	#	6	0	0	5	0	0	0	1	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	83.33%	0.00%	0.00%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX— PERMANENT WORKFORCE—PAY PERIOD 202122 continued

SK, SO, AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
NEW HIRES	4															
Securities Compliance Examining (1831): In FY 2021 Applicant Flow Data, 1 external securities compliance examiner application was marked selected.																
TOTAL Postings	#	4														
Voluntarily Identified	#	144	97	47	15	6	49	18	18	15	12	0	1	0	0	1
	%	100%	67.36%	32.64%	10.42%	4.17%	34.03%	12.50%	12.50%	10.42%	8.33%	0.00%	0.69%	0.00%	0.00%	0.69%
Qualified of those Identified	#	67	40	27	7	4	19	10	4	10	8	0	0	0	0	0
	%	100%	59.70%	40.30%	10.45%	5.97%	28.36%	14.93%	5.97%	14.93%	11.94%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred of those Qualified	#	44	28	16	4	3	14	7	4	6	5	0	0	0	0	0
	%	100%	63.64%	36.36%	9.09%	6.82%	31.82%	15.91%	9.09%	13.64%	11.36%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred ²	#	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
1831 Securities Compliance Examining Onboarded ³	#	13	9	4	0	1	8	2	1	0	1	0	0	0	0	0
	%	100%	69.23%	30.77%	0.00%	7.69%	61.54%	15.38%	7.69%	0.00%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 continued

SK, SO AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	
2210 Information Technology Management																	
Occupational CLF	100%	70.73%	29.27%	4.47%	1.67%	54.08%	21.73%	3.60%	2.53%	7.05%	2.58%	0.06%	0.03%	0.13%	0.06%	1.35%	0.66%
SK-09	#	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%
SK-10	#	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%
SK-11	#	1	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	6	3	3	0	2	0	1	3	0	0	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	33.33%	0.00%	16.67%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	88	57	31	4	22	7	12	16	17	7	0	0	1	0	1	0
	%	100%	64.77%	35.23%	4.55%	25.00%	7.95%	13.64%	18.18%	19.32%	7.95%	0.00%	0.00%	1.14%	0.00%	1.14%	0.00%
SK-14	#	133	107	26	9	48	9	14	6	35	8	0	0	0	0	1	0
	%	100%	80.45%	19.55%	6.77%	36.09%	6.77%	10.53%	4.51%	26.32%	6.02%	0.00%	0.00%	0.00%	0.00%	0.75%	0.00%
SK-15	#	45	32	13	5	14	5	4	5	9	3	0	0	0	0	0	0
	%	100%	71.11%	28.89%	11.11%	31.11%	11.11%	8.89%	11.11%	20.00%	6.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	26	23	3	0	15	1	1	1	6	1	0	0	1	0	0	0
	%	100%	88.46%	11.54%	0.00%	57.69%	3.85%	3.85%	3.85%	23.08%	3.85%	0.00%	0.00%	3.85%	0.00%	0.00%	0.00%
SK-17	#	13	11	2	0	10	1	0	1	1	0	0	0	0	0	0	0
	%	100%	84.62%	15.38%	0.00%	76.92%	7.69%	0.00%	7.69%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	#	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%
Senior Officer	#	3	3	0	0	2	0	1	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	66.67%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	#	315	236	79	18	113	23	33	33	68	19	0	0	2	0	2	0
	%	100%	74.92%	25.08%	5.71%	35.87%	7.30%	10.48%	10.48%	21.59%	6.03%	0.00%	0.00%	0.63%	0.00%	0.63%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
Internal Competitive Promotions¹																	
Job Series of Vacancy: Information Technology Management (2210)																	
Relevant Pool ²	%	100%	74.25%	25.75%	6.02%	1.34%	33.78%	7.36%	10.70%	10.70%	22.41%	6.35%	0.00%	0.00%	0.67%	0.00%	0.00%
TOTAL Postings	#	14															
TOTAL Applications Received	#	1,026	812	214	74	24	240	49	192	285	61	1	0	6	0	14	2
	%	100%	79.14%	20.86%	7.21%	2.34%	23.39%	4.78%	18.71%	27.78%	5.95%	0.10%	0.00%	0.58%	0.00%	1.36%	0.19%
Qualified	#	666	536	130	48	10	168	27	113	194	41	0	0	3	0	10	0
	%	100%	80.48%	19.52%	7.21%	1.50%	25.23%	4.05%	16.97%	29.13%	6.16%	0.00%	0.00%	0.45%	0.00%	1.50%	0.00%
Referred	#	610	492	118	43	10	154	25	107	176	38	0	0	3	0	9	0
	%	100%	80.66%	19.34%	7.05%	1.64%	25.25%	4.10%	17.54%	28.85%	6.23%	0.00%	0.00%	0.49%	0.00%	1.48%	0.00%
Selected ³	#	9	9	0	0	0	6	0	1	2	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	66.67%	0.00%	11.11%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122. downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 continued

SK, SO, AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
NEW HIRES	21															
Information Technology Management (2210): in FY 2021 Applicant Flow Data, 15 information technology management external applications were marked selected.																
TOTAL Postings	#	1,397	393	126	38	387	66	411	180	458	103	1	0	2	0	12
Voluntarily Identified	%	100%	21.96%	7.04%	2.12%	21.62%	3.69%	22.96%	10.06%	25.59%	5.75%	0.06%	0.00%	0.11%	0.00%	0.34%
Qualified of those Identified	#	1,701	372	117	37	367	65	386	167	445	97	1	0	2	0	11
	%	100%	21.87%	6.88%	2.18%	21.58%	3.82%	22.69%	9.82%	26.16%	5.70%	0.06%	0.00%	0.12%	0.00%	0.35%
Referred of those Qualified	#	154	32	8	1	42	7	38	15	33	7	0	0	0	0	1
	%	100%	20.78%	5.19%	0.65%	27.27%	4.55%	24.68%	9.74%	21.43%	4.55%	0.00%	0.00%	0.00%	0.00%	1.30%
Selected of those Referred ²	#	15	2	1	0	6	1	3	1	3	0	0	0	0	0	0
	%	100%	13.33%	6.67%	0.00%	40.00%	6.67%	20.00%	6.67%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
2210 Information Technology Management Onboarded ³	#	35	29	6	1	12	2	6	1	10	2	0	0	0	0	0
	%	100%	82.86%	17.14%	2.86%	34.29%	5.71%	17.14%	2.86%	28.57%	5.71%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

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

Source: USA Staffing Cognos Applicant Flow Data System; Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 continued

SK, SO AND RELATED GRADES PERMANENT	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	
0110 Economist																		
Occupational CLF	100%	68.11%	31.89%	52.53%	23.99%	3.90%	1.70%	4.98%	3.02%	0.07%	0.00%	0.10%	0.41%	1.15%	0.86%			
SK-09	#	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%	
SK-10	#	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%	
SK-11	#	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%	
SK-12	#	4	2	2	1	0	0	0	0	1	0	0	0	0	0	0	0	
	%	100%	50.00%	50.00%	0.00%	25.00%	0.00%	0.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-13	#	8	6	2	1	4	0	0	0	1	0	0	0	0	0	0	0	
	%	100%	75.00%	25.00%	12.50%	50.00%	0.00%	0.00%	0.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-14	#	51	35	16	27	9	0	0	0	8	6	0	0	0	0	0	0	
	%	100%	68.63%	31.37%	52.94%	17.65%	0.00%	0.00%	0.00%	15.69%	11.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-15	#	1	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-16	#	19	13	6	9	4	1	0	0	1	2	0	0	0	0	0	0	
	%	100%	68.42%	31.58%	47.37%	21.05%	5.26%	0.00%	0.00%	5.26%	10.53%	0.00%	0.00%	5.26%	0.00%	0.00%	0.00%	
SK-17	#	10	7	3	6	2	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	70.00%	30.00%	60.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
All Other (Non-SK, Non-SO)	#	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%	
Senior Officer	#	2	1	1	1	0	0	0	0	0	1	0	0	0	0	0	0	
	%	100%	50.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
TOTAL Population	#	95	65	30	46	17	5	9	11	9	11	0	0	1	0	0	0	
	%	100%	68.42%	31.58%	48.42%	17.89%	5.26%	9.47%	11.58%	9.47%	11.58%	0.00%	0.00%	1.05%	0.00%	0.00%	0.00%	

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Internal Competitive Promotions¹																
Job Series of Vacancy: Economist (0110)																
Relevant Pool ²	%	100%	68.67%	31.33%	3.61%	1.20%	46.99%	18.07%	6.02%	10.84%	12.05%	0.00%	0.00%	1.20%	0.00%	0.00%
TOTAL Postings	#	3														
TOTAL Applications Received	#	33	27	6	3	0	14	4	4	5	2	0	0	1	0	0
	%	100%	81.82%	18.18%	9.09%	0.00%	42.42%	12.12%	12.12%	15.15%	6.06%	0.00%	0.00%	3.03%	0.00%	0.00%
Qualified	#	18	15	3	1	0	11	2	0	3	1	0	0	0	0	0
	%	100%	83.33%	16.67%	5.56%	0.00%	61.11%	11.11%	0.00%	16.67%	5.56%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	9	9	0	1	0	5	0	0	3	0	0	0	0	0	0
	%	100%	100%	0.00%	11.11%	0.00%	55.56%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected ³	#	2	2	0	0	0	2	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE—PAY PERIOD 202122 continued

SK, SO, AND RELATED GRADES PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
New Hires																
Economist (0110): In FY 2021 Applicant Flow Data, 7 economist external applications were marked selected.																
TOTAL Postings	#	4														
Voluntarily Identified	#	376	262	114	122	47	52	30	43	23	0	0	2	0	1	1
	%	100%	69.68%	30.32%	32.45%	12.50%	13.83%	7.98%	11.44%	6.12%	0.00%	0.00%	0.53%	0.00%	0.27%	0.27%
Qualified of those Identified	#	324	229	95	111	44	42	22	36	19	0	0	1	0	0	1
	%	100%	70.68%	29.32%	34.26%	13.58%	12.96%	6.79%	11.11%	5.86%	0.00%	0.00%	0.31%	0.00%	0.00%	0.31%
Referred of those Qualified	#	36	28	8	15	3	4	1	3	4	0	0	0	0	0	0
	%	100%	77.78%	22.22%	41.67%	8.33%	11.11%	2.78%	8.33%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred ²	#	7	3	4	2	3	0	0	0	1	0	0	0	0	0	0
	%	100%	42.86%	57.14%	28.57%	42.86%	0.00%	0.00%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0110 Economist Onboarded ³	#	6	5	1	2	0	1	0	0	1	0	0	0	0	0	0
	%	100%	83.33%	16.67%	33.33%	0.00%	16.67%	0.00%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122

SK, SO AND RELATED GRADES TEMPORARY	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
0905 General Attorney	100%	62.64%	37.36%	3.09%	2.57%	54.38%	28.67%	2.26%	3.01%	1.92%	2.18%	0.02%	0.01%	0.11%	0.10%	0.87%	0.82%
Occupational CLF	#	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%
SK-09	#	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%
SK-10	#	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%
SK-11	#	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%
SK-12	#	1	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	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%
SK-14	#	1	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	#	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%
SK-16	#	13	9	4	0	8	4	1	0	0	0	0	0	0	0	0	0
	%	100%	69.23%	30.77%	0.00%	61.54%	30.77%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-17	#	1	0	1	0	0	0	0	0	0	1	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	#	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%
Senior Officer	#	17	8	9	0	4	8	2	1	2	0	0	0	0	0	0	0
	%	100%	47.06%	52.94%	0.00%	23.53%	47.06%	11.76%	5.88%	11.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	#	33	19	14	0	12	12	3	1	4	1	0	0	0	0	0	0
	%	100%	57.58%	42.42%	0.00%	36.36%	36.36%	9.09%	3.03%	12.12%	3.03%	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: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

**TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 continued**

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Internal Competitive Promotions¹																
Job Series of Vacancy: General Attorney (0905)																
Relevant Pool²	%	100%	46.78%	2.51%	42.60%	32.69%	3.02%	3.93%	4.89%	7.01%	0.00%	0.00%	0.13%	0.26%	0.06%	0.39%
TOTAL Postings	#	11														
TOTAL Applications Received	#	80	41	1	33	30	3	4	1	6	0	0	0	0	0	0
	%	100%	51.25%	1.25%	41.25%	37.50%	3.75%	5.00%	1.25%	7.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	65	35	2	25	26	2	3	1	5	0	0	0	0	0	0
	%	100%	53.85%	3.08%	38.46%	40.00%	3.08%	4.62%	1.54%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	13	4	1	8	3	0	1	0	0	0	0	0	0	0	0
	%	100%	30.77%	7.69%	61.54%	23.08%	0.00%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected³	#	13	4	1	8	3	0	1	0	0	0	0	0	0	0	0
	%	100%	30.77%	7.69%	61.54%	23.08%	0.00%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Temporary vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 continued

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
General Attorney (0905): In FY 2021 Applicant Flow Data, 0 attorney external applications were marked selected.	1															
TOTAL Postings	1															
Voluntarily Identified	2	100%	1	50.00%	0	0.00%	1	50.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Qualified of those Identified	0	0%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Referred of those Qualified	0	0%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Selected of those Referred ²	0	0%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
0905 General Attorney Onboarded ³	18	50.00%	9	22.22%	4	11.11%	6	16.67%	2	5.56%	3	7.78%	2	5.56%	0	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Temporary vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	
0510 Accountant																	
Occupational CLF	100%	38.97%	61.03%	2.78%	5.18%	29.56%	42.69%	2.75%	5.88%	5.88%	5.80%	0.05%	0.09%	0.10%	0.27%	0.63%	1.12%
SK-09	#	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%
SK-10	#	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%
SK-11	#	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%
SK-12	#	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%
SK-13	#	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%
SK-14	#	3	2	1	0	2	1	0	0	0	0	0	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	15	9	6	0	8	3	0	2	1	1	0	0	0	0	0	0
	%	100%	60.00%	40.00%	0.00%	53.33%	20.00%	0.00%	13.33%	6.67%	6.67%	0.00%	0.00%	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
	%	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%
All Other (Non-SK, Non-SO)	#	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%
Senior Officer	#	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%
TOTAL Population	#	18	11	7	0	10	4	0	2	1	1	0	0	0	0	0	0
	%	100%	61.11%	38.89%	0.00%	55.56%	22.22%	0.00%	11.11%	5.56%	5.56%	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: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Internal Competitive Promotions¹																
Job Series of Vacancy: Accounting (0510)																
Relevant Pool ²	%	100%	55.92%	44.08%	3.42%	2.89%	43.03%	26.84%	3.82%	5.00%	5.53%	8.95%	0.00%	0.13%	0.13%	0.26%
TOTAL Postings	#	0														
TOTAL Applications Received	#	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%
Qualified	#	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%
Referred	#	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%
Selected ³	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Temporary vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 continued

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
NEW HIRES	0		0		0		0		0		0		0		0	
Accounting (0510): In FY 2021 Applicant Flow Data,¹ 0 accountant external applications were marked selected.																
TOTAL Postings	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Voluntarily Identified	0	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Qualified of those Identified	0	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Referred of those Qualified	0	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Selected of those Referred ²	0	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
0510 Accounting Onboarded ³	9	77.78%	2	22.22%	7	77.78%	2	22.22%	0	0.00%	0	0.00%	0	0.00%	0	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Temporary vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 continued

SK, SO AND RELATED GRADES TEMPORARY	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
1831 Securities Compliance Examining																	
Occupational CLF	100%	53.69%	46.31%	3.88%	4.80%	43.42%	32.84%	3.08%	5.15%	2.32%	2.38%	0.05%	0.06%	0.12%	0.18%	0.82%	0.91%
#	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%
SK-09	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%
SK-10	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%
SK-11	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%
SK-12	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%
SK-13	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%
SK-14	5	2	3	0	1	1	2	0	0	1	0	0	0	0	0	0	0
%	100%	40.00%	60.00%	0.00%	20.00%	20.00%	40.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	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%
SK-16	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%
SK-17	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%
All Other (Non-SK, Non-SO)	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%
Senior Officer	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 Population	5	2	3	0	1	1	2	0	0	1	0	0	0	0	0	0	0
%	100%	40.00%	60.00%	0.00%	20.00%	20.00%	40.00%	0.00%	0.00%	20.00%	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: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—TEMPORARY WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Internal Competitive Promotions¹																
Job Series of Vacancy: Securities Compliance Examining (1831)																
Relevant Pool ²	%	100%	39.15%	5.07%	43.10%	19.15%	3.94%	9.58%	8.45%	7.61%	0.00%	0.00%	0.00%	0.00%	0.28%	0.56%
TOTAL Postings	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL Applications Received	%	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%
Qualified	#	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%
Referred	#	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%
Selected ³	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Temporary vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 continued

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
NEW HIRES	0															
Securities Compliance Examining (1831): In FY 2021 Applicant Flow Data, 0 external securities compliance examiner application was marked selected.																
TOTAL Postings	0															
Voluntarily Identified	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Qualified of those Identified	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Referred of those Qualified	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Selected of those Referred ²	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
1831 Securities Compliance Examining Onboarded ³	5	40.00%	2	60.00%	3	20.00%	1	40.00%	2	20.00%	1	20.00%	0	0.00%	1	20.00%

¹ This table contains Applicant Flow Data from USA Staffing for Temporary vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 continued

SK, SO AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
2210 Information Technology Management																
Occupational CLF	100%	70.73%	29.27%	4.47%	1.67%	54.08%	21.73%	3.60%	2.53%	7.05%	2.58%	0.06%	0.13%	0.06%	1.35%	0.66%
#	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%
SK-09	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%
SK-10	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%
SK-11	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%
SK-12	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%
SK-13	3	1	2	0	0	0	0	0	1	1	1	0	0	0	0	0
%	100%	33.33%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	33.33%	33.33%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	1	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0
%	100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	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%
SK-16	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%
SK-17	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%
All Other (Non-SK, Non-SO)	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%
Senior Officer	2	2	0	0	0	2	0	0	0	0	0	0	0	0	0	0
%	100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	6	4	2	0	0	3	0	0	1	1	1	0	0	0	0	0
%	100%	66.67%	33.33%	0.00%	0.00%	50.00%	0.00%	0.00%	16.67%	16.67%	16.67%	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: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
Internal Competitive Promotions¹																	
Job Series of Vacancy: Information Technology Management (2210)																	
Relevant Pool ²	%	100%	74.25%	25.75%	6.02%	1.34%	33.78%	7.36%	10.70%	10.70%	22.41%	6.35%	0.00%	0.00%	0.67%	0.00%	0.00%
TOTAL Postings	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL Applications Received	%	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%
Qualified	#	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%
Referred	#	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%
Selected ³	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Temporary vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
New Hires																
Information Technology Management (2210): In FY 2021 Applicant Flow Data, 0 information technology management external applications were marked selected.																
TOTAL Postings	#	0														
Voluntarily Identified	#	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%
Qualified of those Identified	#	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%
Referred of those Qualified	#	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%
Selected of those Referred ²	#	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%
2210 Information Technology Management Onboarded ³	#	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Temporary vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 continued

SK, SO AND RELATED GRADES TEMPORARY	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
0110 Economist	100%	68.11%	31.89%	5.43%	1.92%	52.53%	23.99%	3.90%	1.70%	4.98%	3.02%	0.07%	0.00%	0.10%	0.41%	1.15%	0.86%
Occupational CLF	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-09	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-10	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-11	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-12	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-13	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	4	3	1	0	0	2	0	0	1	1	0	0	0	0	0	0
SK-14	%	100%	75.00%	25.00%	0.00%	0.00%	50.00%	0.00%	0.00%	25.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-15	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-16	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-17	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-17	%	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%
All Other (Non-SK, Non-SO)	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
All Other (Non-SK, Non-SO)	%	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%
Senior Officer	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Senior Officer	%	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%
TOTAL Population	#	5	3	2	0	0	2	1	0	1	1	0	0	0	0	0	0
TOTAL Population	%	100%	60.00%	40.00%	0.00%	40.00%	20.00%	0.00%	0.00%	20.00%	20.00%	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: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Internal Competitive Promotions¹																
Job Series of Vacancy: Economist (0110)																
Relevant Pool ²	%	100%	68.67%	31.33%	3.61%	1.20%	46.99%	18.07%	6.02%	10.84%	12.05%	0.00%	0.00%	1.20%	0.00%	0.00%
TOTAL Postings	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL Applications Received	%	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%
Qualified	#	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%
Referred	#	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%
Selected ³	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Temporary vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE—PAY PERIOD 202122 *continued*

SK, SO, AND RELATED GRADES TEMPORARY	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
NEW HIRES	0																
Economist (0110): In FY 2021 Applicant Flow Data,¹ 0 economist external applications were marked selected.																	
TOTAL Postings	#																
Voluntarily Identified	#	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%
Qualified of those Identified	#	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%
Referred of those Qualified	#	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%
Selected of those Referred ²	#	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%
0110 Economist Onboarded ³	#	5	3	2	0	0	1	1	0	0	2	1	0	0	0	0	0
	%	100%	60.00%	40.00%	0.00%	0.00%	20.00%	20.00%	0.00%	40.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Temporary vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122

SENIOR GRADE LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
Upward Mobility Benchmark	100%	54.85%	45.15%	3.33%	2.61%	40.25%	25.79%	4.29%	9.29%	6.63%	6.92%	0.00%	0.02%	0.22%	0.12%	0.39%	
GS Equivalent Senior Grade Levels																	
TOTAL #	4,034	2,282	1,752	138	94	1,676	1,062	175	297	278	279	0	1	9	5	6	14
Senior Grade %	100%	56.57%	43.43%	3.42%	2.33%	41.55%	26.33%	4.34%	7.36%	6.89%	6.92%	0.00%	0.02%	0.22%	0.12%	0.15%	0.35%
Internal Competitive Promotions¹																	
Total All Senior Grade Levels																	
TOTAL Postings #	131																
TOTAL Applications Received #	5,354	3,134	2,220	379	280	1,185	570	897	1,052	607	256	6	0	27	16	33	46
Qualified #	3,080	1,873	1,207	210	121	754	329	483	576	387	157	4	0	16	8	19	16
Referred #	2,581	1,570	1,011	191	112	563	228	450	515	328	135	4	0	16	6	18	15
Selected ² #	112	59	53	5	3	38	26	8	17	7	7	0	0	1	0	0	0
%	100%	52.68%	47.32%	4.46%	2.68%	33.93%	23.21%	7.14%	15.18%	6.25%	6.25%	0.00%	0.00%	0.89%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 09/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SENIOR GRADE LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
NEW HIRES																
TOTAL All Senior Grade Levels	#	96														
TOTAL Postings ¹	#	5,698	3,668	2,030	447	243	782	738	662	747	312	2	2	18	3	26
Voluntarily Identified	%	100%	64.37%	35.63%	7.84%	4.26%	29.87%	13.11%	13.11%	5.48%	0.04%	0.04%	0.04%	0.32%	0.05%	0.46%
Qualified of those identified	#	4,825	3,148	1,677	363	180	672	623	538	665	262	1	1	14	3	21
	%	100%	65.24%	34.76%	7.52%	3.73%	30.47%	12.91%	11.15%	13.78%	0.02%	0.02%	0.02%	0.29%	0.06%	0.44%
Referred of those qualified	#	737	463	274	45	18	264	135	63	79	53	1	0	1	1	4
	%	100%	62.82%	37.18%	6.11%	2.44%	35.82%	9.63%	8.55%	10.72%	0.14%	0.14%	0.14%	0.14%	0.14%	0.54%
Selected of those Referred ²	#	64	33	31	1	1	17	7	6	6	6	0	0	0	0	1
	%	100%	51.56%	48.44%	1.56%	1.56%	29.69%	10.94%	9.38%	9.38%	0.00%	0.00%	0.00%	0.00%	0.00%	1.56%
TOTAL ONBOARDED³	#	183	106	77	7	3	43	17	11	18	20	0	0	0	0	2
	%	100%	57.92%	42.08%	3.83%	1.64%	23.50%	9.29%	6.01%	9.84%	10.93%	0.00%	0.00%	0.00%	0.00%	1.09%
Career Development Programs																
Career Development Programs for All Senior Grade Level Jobs																
Slots ⁴	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 09/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

⁴ Slots shows the total number of available training slots for career development programs targeting each GS-equivalent grade level. During FY 2021, no career development programs were offered meeting the table's definition.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SENIOR GRADE LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
SES Equivalent Senior Grade Levels																
Exec SES Equivalent	# 138	75	63	8	0	50	3	8	1	4	0	0	0	0	0	1
	% 100%	54.35%	45.65%	5.80%	0.00%	36.23%	2.17%	5.80%	0.72%	2.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.72%
Internal Competitive Promotions¹																
Exec																
Relevant Pool ²	% 100%	58.09%	41.91%	3.38%	2.27%	26.46%	3.89%	5.62%	7.10%	7.04%	0.00%	0.03%	0.17%	0.14%	0.14%	0.34%
TOTAL Postings	# 3															
TOTAL Applications Received	# 225	185	40	24	9	14	36	9	49	7	2	0	2	1	2	0
	% 100%	82.22%	17.78%	10.67%	4.00%	6.22%	16.00%	4.00%	21.78%	3.11%	0.89%	0.00%	0.89%	0.44%	0.89%	0.00%
Qualified	# 105	87	18	9	4	7	15	2	23	4	1	0	1	1	2	0
	% 100%	82.86%	17.14%	8.57%	3.81%	6.67%	14.29%	1.90%	21.90%	3.81%	0.95%	0.00%	0.95%	0.95%	1.90%	0.00%
Referred	# 105	87	18	9	4	7	15	2	23	4	1	0	1	1	2	0
	% 100%	82.86%	17.14%	8.57%	3.81%	6.67%	14.29%	1.90%	21.90%	3.81%	0.95%	0.00%	0.95%	0.95%	1.90%	0.00%
Selected³	# 1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	% 100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 09/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted. Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SENIOR GRADE LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
SES Equivalent Grade Level	New Hires															
TOTAL Postings¹	5															
Voluntarily Identified	156	62.18%	59	37.82%	8	5.13%	8	5.13%	23	14.74%	18	11.54%	18	11.54%	20	12.82%
Qualified of those Identified	87	60.92%	34	39.08%	3	3.45%	4	4.60%	17	19.54%	5	5.75%	5	5.75%	8	9.20%
Referred of those Qualified	87	60.92%	34	39.08%	3	3.45%	4	4.60%	17	19.54%	5	5.75%	5	5.75%	8	9.20%
Selected of those Referred ²	4	0.00%	0	100.00%	0	0.00%	0	0.00%	2	50.00%	0	0.00%	0	0.00%	1	25.00%
Exec Onboarded³	4	50.00%	2	50.00%	0	0.00%	2	50.00%	1	25.00%	0	0.00%	0	0.00%	1	25.00%
Career Development Programs																
Career Development Programs for SES Equivalent Jobs																
Relevant Pool⁴	100%	56.65%	43.35%	3.34%	2.41%	41.40%	25.98%	4.41%	7.42%	7.11%	7.06%	0.00%	0.03%	0.23%	0.13%	0.15%
Slots ⁵	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 09/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

⁴ The Relevant Pool includes all employees holding an occupational series and/or grade level that would qualify them for the programs.

⁵ Slots shows the total number of available training slots for career development programs targeting the SES-equivalent level. During FY 2021, no career development programs were offered meeting the table's definition.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SENIOR GRADE LEVEL WORKFORCE PERMANENT	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
GS-15 Equivalent Senior Grade Levels																	
GS-15 Equivalent	#	752	474	278	8	364	183	23	47	54	38	0	1	1	0	0	1
	%	100%	63.03%	36.97%	4.26%	48.40%	24.34%	3.06%	6.25%	7.18%	5.05%	0.00%	0.13%	0.13%	0.00%	0.00%	0.13%
Internal Competitive Promotions¹																	
GS-15	%	100%	57.66%	42.34%	3.48%	42.44%	26.42%	4.15%	5.71%	7.28%	7.21%	0.00%	0.00%	0.16%	0.16%	0.16%	0.38%
Relevant Pool²	#	50															
TOTAL	#	1,554	1,003	551	67	409	175	278	231	177	66	2	0	7	5	11	7
Applications Received	%	100%	64.54%	35.46%	4.31%	26.32%	11.26%	17.89%	14.86%	11.39%	4.25%	0.13%	0.00%	0.45%	0.32%	0.71%	0.45%
Qualified	#	1,081	713	368	37	313	122	185	156	129	45	2	0	4	4	5	4
	%	100%	65.96%	34.04%	6.94%	28.95%	11.29%	17.11%	14.43%	11.93%	4.16%	0.19%	0.00%	0.37%	0.37%	0.46%	0.37%
Referred	#	882	584	298	36	220	77	176	144	110	35	2	0	4	2	5	4
	%	100%	66.21%	33.79%	4.08%	24.94%	8.73%	19.95%	16.33%	12.47%	3.97%	0.23%	0.00%	0.45%	0.23%	0.57%	0.45%
Selected ³	#	43	21	22	1	13	13	3	5	4	4	0	0	0	0	0	0
	%	100%	48.84%	51.16%	2.33%	30.23%	30.23%	6.98%	11.63%	9.30%	9.30%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 09/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted. Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SENIOR GRADE LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
NEW HIRES																
GS-15 Equivalent Grade Level																
TOTAL Postings¹	#	19														
Voluntarily Identified	#	658	502	156	13	38	57	114	57	111	25	0	2	1	0	2
	%	100%	76.29%	23.71%	1.98%	5.78%	8.66%	17.33%	8.66%	16.87%	3.80%	0.00%	0.30%	0.15%	0.00%	0.30%
Qualified of those identified	#	599	462	137	34	50	103	51	108	23	0	1	1	0	0	1
	%	100%	77.13%	22.87%	1.84%	5.68%	8.35%	17.20%	18.03%	3.84%	0.00%	0.17%	0.17%	0.00%	0.17%	0.17%
Referred of those Qualified	#	89	59	30	4	2	17	7	13	5	0	0	0	0	0	1
	%	100%	66.29%	33.71%	4.49%	2.25%	19.10%	7.87%	14.61%	5.62%	0.00%	0.00%	0.00%	0.00%	0.00%	1.12%
Selected of those Referred ²	#	9	4	5	0	1	2	0	1	1	0	0	0	0	0	0
	%	100%	44.44%	55.56%	0.00%	11.11%	22.22%	0.00%	11.11%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
GS-15 Onboarded³	#	12	6	6	1	0	4	2	0	1	4	0	0	0	0	0
	%	100%	50.00%	50.00%	8.33%	0.00%	33.33%	16.67%	0.00%	8.33%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%
Career Development Programs																
Career Development Programs for SK 15 – 17																
Relevant Pool⁴	%	100%	58.09%	41.91%	3.38%	2.27%	43.41%	26.46%	3.89%	7.10%	7.04%	0.00%	0.03%	0.17%	0.14%	0.34%
Slots⁵	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 09/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

⁴ The Relevant Pool includes all employees holding an occupational series and/or grade level that would qualify them for the programs.

⁵ Slots shows the total number of available training slots for career development programs targeting each GS-equivalent grade level. During FY 2021, no career development programs were offered meeting the table's definition.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPFS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SENIOR GRADE LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
GS-14 Equivalent Senior Grade Levels																
#	2,770	1,572	87	72	1,165	749	114	151	196	210	0	0	5	5	11	
%	100%	56.75%	3.14%	2.60%	42.06%	27.04%	4.12%	5.45%	7.08%	7.58%	0.00%	0.00%	0.18%	0.18%	0.40%	
Internal Competitive Promotions¹																
GS-14																
Relevant Pool ²	%	100%	3.76%	2.85%	38.69%	25.50%	4.95%	8.61%	7.32%	7.49%	0.00%	0.00%	0.17%	0.10%	0.20%	0.34%
TOTAL Postings	#	56														
TOTAL Applications Received	#	2,274	1,332	168	109	529	281	354	402	256	127	2	15	6	8	17
Qualified	%	100%	58.58%	41.42%	4.79%	23.26%	12.36%	15.57%	17.68%	11.26%	5.58%	0.09%	0.66%	0.26%	0.35%	0.75%
Referred	#	1,291	779	512	45	322	157	187	221	165	80	1	10	3	6	6
Selected ³	%	100%	60.34%	39.66%	3.49%	24.94%	12.16%	14.48%	17.12%	12.78%	6.20%	0.08%	0.77%	0.23%	0.46%	0.46%
	#	1,041	623	418	40	228	101	168	200	133	68	1	10	3	5	6
	%	100%	59.85%	40.15%	3.84%	21.90%	9.70%	16.14%	19.21%	12.78%	6.53%	0.10%	0.96%	0.29%	0.48%	0.58%
	#	54	35	19	4	23	11	5	4	2	3	0	1	0	0	0
	%	100%	64.81%	35.19%	7.41%	42.59%	20.37%	9.26%	7.41%	3.70%	5.56%	0.00%	1.85%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 09/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SENIOR GRADE LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
New Hires																
GS-14 Equivalent Grade Levels																
TOTAL Postings¹	#	53														
Voluntarily Identified	#	3,124	1,126	257	129	452	377	350	427	183	2	0	14	1	6	11
	%	100%	36.04%	8.23%	4.13%	29.29%	14.47%	12.07%	13.67%	5.86%	0.06%	0.45%	0.03%	0.19%	0.35%	
Qualified of those identified	#	2,540	888	195	83	387	308	265	364	144	1	11	1	5	8	
	%	100%	34.96%	7.68%	3.27%	30.24%	15.24%	12.13%	14.33%	5.67%	0.04%	0.43%	0.04%	0.20%	0.31%	
Referred of those Qualified	#	397	242	155	7	139	81	32	46	36	1	1	0	2	1	
	%	100%	60.96%	39.04%	5.29%	1.76%	20.40%	8.06%	11.59%	9.07%	0.25%	0.25%	0.00%	0.50%	0.25%	
Selected of those Referred ²	#	36	22	14	0	9	4	1	4	4	0	0	0	0	0	
	%	100%	61.11%	38.89%	0.00%	25.00%	11.11%	2.78%	11.11%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	
GS-14 Onboarded³	#	89	65	24	4	13	10	3	14	7	0	0	0	2	0	
	%	100%	73.03%	26.97%	4.49%	14.61%	11.24%	3.37%	15.73%	7.87%	0.00%	0.00%	0.00%	2.25%	0.00%	
Career Development Programs																
Career Development Programs for SK 13 – 14																
Relevant Pool⁴	%	100%	56.10%	43.90%	3.42%	2.59%	40.31%	25.88%	4.70%	7.70%	7.27%	7.21%	0.00%	0.23%	0.17%	0.37%
Slots⁵	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 09/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

⁴ The Relevant Pool includes all employees holding an occupational series and/or grade level that would qualify them for the programs.

⁵ Slots shows the total number of available training slots for career development programs targeting each GS-equivalent grade level. During FY 2021, no career development programs were offered meeting the table's definition.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPFS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SENIOR GRADE LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
GS-13 Equivalent Senior Grade Levels																
#	374	161	213	14	84	80	35	91	27	27	0	0	3	0	1	1
%	100%	43.05%	56.95%	3.74%	22.46%	21.39%	9.36%	24.33%	7.22%	7.22%	0.00%	0.00%	0.80%	0.00%	0.27%	0.27%
Internal Competitive Promotions¹																
GS-13																
Relevant Pool ²	%	100%	72.85%	1.81%	5.43%	12.22%	18.55%	9.95%	41.18%	2.71%	6.79%	0.00%	0.45%	0.45%	0.00%	0.45%
TOTAL Postings	#	22														
TOTAL Applications Received	#	1,301	687	68	95	177	100	229	410	125	56	0	3	4	12	22
	%	100%	52.81%	5.23%	7.30%	13.60%	7.69%	17.60%	31.51%	9.61%	4.30%	0.00%	0.23%	0.31%	0.92%	1.69%
Qualified	#	603	294	38	35	83	43	96	197	70	28	0	1	0	6	6
	%	100%	48.76%	6.30%	5.80%	13.76%	7.13%	15.92%	32.67%	11.61%	4.64%	0.00%	0.17%	0.00%	1.00%	1.00%
Referred	#	553	277	37	32	79	43	91	169	62	28	0	1	0	6	5
	%	100%	49.91%	6.69%	5.79%	14.29%	7.78%	16.46%	30.56%	11.21%	5.06%	0.00%	0.18%	0.00%	1.08%	0.90%
Selected ³	#	14	2	0	2	1	2	0	8	1	0	0	0	0	0	0
	%	100%	14.29%	0.00%	14.29%	7.14%	14.29%	0.00%	57.14%	7.14%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 09/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted. ³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

SENIOR GRADE LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
NEW HIRES																
GS-13 Equivalent Grade Level																
TOTAL Postings¹	19															
Voluntarily Identified	1,760	689	144	93	490	250	229	235	200	98	0	0	2	1	6	12
	100%	39.15%	8.18%	5.28%	27.84%	14.20%	13.01%	13.35%	11.36%	5.57%	0.00%	0.00%	0.11%	0.06%	0.34%	0.68%
Qualified of those identified	1,599	618	131	82	447	218	207	214	188	92	0	0	2	1	6	11
	100%	38.65%	8.19%	5.13%	27.95%	13.63%	12.95%	13.38%	11.76%	5.75%	0.00%	0.00%	0.13%	0.06%	0.38%	0.69%
Referred of those Qualified	164	109	17	5	50	20	27	20	15	9	0	0	0	0	0	1
	100%	33.54%	10.37%	3.05%	30.49%	12.20%	16.46%	12.20%	9.15%	5.49%	0.00%	0.00%	0.00%	0.00%	0.00%	0.61%
Selected of those Referred ²	15	7	1	0	2	4	3	3	1	1	0	0	0	0	0	0
	100%	46.67%	6.67%	0.00%	13.33%	26.67%	20.00%	20.00%	6.67%	6.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
GS-13 Onboarded³	78	33	2	2	21	27	7	7	3	9	0	0	0	0	0	0
	100%	57.69%	2.56%	2.56%	26.92%	34.62%	8.97%	8.97%	3.85%	11.54%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Career Development Programs																
Career Development Programs for SK 13 – 14																
Relevant Pool⁴	100%	35.31%	64.69%	2.54%	5.08%	17.37%	19.49%	9.60%	4.94%	6.21%	0.00%	0.00%	0.71%	0.14%	0.14%	0.56%
Slots⁵	0															
Applied	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%
Participants	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%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 09/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

⁴ The Relevant Pool includes all employees holding an occupational series and/or grade level that would qualify them for the programs.

⁵ Slots shows the total number of available training slots for career development programs targeting each GS-equivalent grade level. During FY 2021, no career development programs were offered meeting the table's definition.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPFS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122

LEADERSHIP LEVEL WORKFORCE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
PERMANENT	100%	55.83%	44.17%	41.58%	26.47%	4.06%	7.62%	6.58%	7.09%	0.00%	0.03%	0.19%	0.13%	0.11%	0.35%		
Upward Mobility Benchmark																	
Leadership Levels																	
TOTAL	#	886	540	346	39	9	418	232	27	58	55	44	0	1	1	0	2
Management	%	100%	60.95%	39.05%	4.40%	1.02%	47.18%	26.19%	3.05%	6.55%	6.21%	4.97%	0.00%	0.11%	0.00%	0.00%	0.23%
Internal Competitive Promotions¹																	
TOTAL Leadership Levels	#	55															
TOTAL Postings	#	1,850	1,229	621	148	82	503	198	323	252	229	76	4	0	9	6	13
TOTAL Applications Received	%	100%	66.43%	33.57%	8.00%	4.43%	27.19%	10.70%	17.46%	13.62%	12.38%	4.11%	0.22%	0.00%	0.49%	0.32%	0.70%
Qualified	#	1,206	812	394	84	42	357	132	204	161	152	50	3	0	5	5	7
	%	100%	67.33%	32.67%	6.97%	3.48%	29.60%	10.95%	16.92%	13.35%	12.60%	4.15%	0.25%	0.00%	0.41%	0.41%	0.58%
Referred	#	1,007	683	324	76	41	264	87	195	149	133	40	3	0	5	3	7
	%	100%	67.83%	32.17%	7.55%	4.07%	26.22%	8.64%	19.36%	14.80%	13.21%	3.97%	0.30%	0.00%	0.50%	0.30%	0.70%
Selected ²	#	45	23	22	1	0	15	13	3	5	4	4	0	0	0	0	0
	%	100%	51.11%	48.89%	2.22%	0.00%	33.33%	28.89%	6.67%	11.11%	8.89%	8.89%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021 including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

LEADERSHIP LEVEL WORKFORCE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
PERMANENT																
NEW HIRES																
TOTAL All Leadership Levels																
TOTAL Postings¹	#	26														
Voluntarily Identified	#	917	647	270	104	140	97	34	126	34	0	2	2	1	3	4
	%	100%	70.56%	29.44%	11.34%	15.27%	10.58%	13.74%	3.71%	0.22%	0.00%	0.22%	0.22%	0.11%	0.33%	0.44%
Qualified of those Identified	#	741	547	194	74	114	70	29	118	29	0	1	1	1	2	2
	%	100%	73.82%	26.18%	9.99%	15.38%	9.45%	15.92%	3.91%	0.00%	0.00%	0.13%	0.13%	0.13%	0.27%	0.27%
Referred of those Qualified	#	189	118	71	35	13	19	8	18	8	0	0	0	1	1	2
	%	100%	62.43%	37.57%	18.52%	6.88%	10.05%	4.23%	9.52%	4.23%	0.00%	0.00%	0.00%	0.53%	0.53%	1.06%
Selected of those Referred ²	#	13	4	9	3	4	2	1	1	1	0	0	0	0	0	1
	%	100%	30.77%	69.23%	30.77%	0.00%	15.38%	7.69%	7.69%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	7.69%
TOTAL LEADERSHIP ONBOARDED³	#	18	9	9	3	0	2	1	4	4	0	0	0	0	0	0
	%	100%	50.00%	50.00%	16.67%	0.00%	11.11%	5.56%	22.22%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Career Development Programs																
Career Development Programs for All Leadership Jobs																
Slots⁴	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021 including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

⁴ Slots shows the total number of available training slots for career development programs targeting each leadership level. During FY 2021, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

LEADERSHIP LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races															
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female														
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%														
Executive Level	138	75	63	45.65%	0	0.00%	50	36.23%	3	2.17%	8	5.80%	1	0.72%	4	2.90%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	1	0.72%		
Executive	100%	54.35%	45.65%	5.80%	0.00%	0.00%	36.23%	2.17%	5.80%	0.72%	2.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.72%			
SK-17	0	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%		
All Other (Non-SK, Non-SO)	0	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%		
Senior Officer	138	75	63	45.65%	0	0.00%	50	36.23%	3	2.17%	8	5.80%	1	0.72%	4	2.90%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	1	0.72%
100%	54.35%	45.65%	5.80%	0.00%	0.00%	36.23%	2.17%	5.80%	0.72%	2.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.72%			
Internal Competitive Promotions¹																														
Executive	100%	61.40%	38.60%	51.04%	0.78%	26.94%	1.81%	4.92%	5.70%	5.70%	0.00%	0.26%	0.00%	0.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
Relevant Pool ²	3	100%	3	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%		
TOTAL Postings	225	185	40	82.22%	24	10.67%	14	6.22%	36	16.00%	9	4.00%	7	3.11%	49	21.78%	2	0.89%	2	0.89%	2	0.89%	0	0.00%	1	0.44%	2	0.89%	0	0.00%
TOTAL Applications Received	100%	82.22%	17.78%	10.67%	10.67%	31.11%	6.22%	21.78%	16.00%	4.00%	4.00%	3.11%	3.11%	3.11%	21.78%	0.89%	0.89%	0.89%	0.89%	0.89%	0.89%	0.00%	0.00%	0.44%	0.89%	0.89%	0.00%	0.00%		
Qualified	105	87	18	82.86%	9	8.57%	7	6.67%	15	14.29%	2	1.90%	4	3.81%	23	21.90%	1	0.95%	1	0.95%	1	0.95%	0	0.00%	1	0.95%	2	1.90%	0	0.00%
100%	82.86%	17.14%	8.57%	3.81%	3.81%	34.29%	6.67%	14.29%	1.90%	1.90%	1.90%	3.81%	3.81%	3.81%	21.90%	0.95%	0.95%	0.95%	0.95%	0.95%	0.95%	0.00%	0.00%	0.95%	0.95%	1.90%	1.90%	0.00%	0.00%	
Referred	105	87	18	82.86%	9	8.57%	7	6.67%	15	14.29%	2	1.90%	4	3.81%	23	21.90%	1	0.95%	1	0.95%	1	0.95%	0	0.00%	1	0.95%	2	1.90%	0	0.00%
100%	82.86%	17.14%	8.57%	3.81%	3.81%	34.29%	6.67%	14.29%	1.90%	1.90%	1.90%	3.81%	3.81%	3.81%	21.90%	0.95%	0.95%	0.95%	0.95%	0.95%	0.95%	0.00%	0.00%	0.95%	0.95%	1.90%	1.90%	0.00%	0.00%	
Selected ³	1	100%	1	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
100%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021 including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

LEADERSHIP LEVEL WORKFORCE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
PERMANENT																
New Hires																
Executive Vacancy Level																
TOTAL Postings¹	#	5														Executive
Voluntarily Identified	#	156	97	59	8	23	18	20	6	9	0	0	1	1	1	1
	%	100%	62.18%	37.82%	5.13%	14.74%	11.54%	12.82%	3.85%	5.77%	0.00%	0.00%	0.64%	0.64%	0.64%	0.64%
Qualified of those Identified	#	87	53	34	3	17	5	8	3	5	0	0	0	1	0	1
	%	100%	60.92%	39.08%	3.45%	19.54%	5.75%	9.20%	3.45%	5.75%	0.00%	0.00%	0.00%	1.15%	0.00%	1.15%
Referred of those Qualified	#	87	53	34	3	17	5	8	3	5	0	0	0	1	0	1
	%	100%	60.92%	39.08%	3.45%	19.54%	5.75%	9.20%	3.45%	5.75%	0.00%	0.00%	0.00%	1.15%	0.00%	1.15%
Selected of those Referred ²	#	4	0	4	0	2	0	1	0	0	0	0	0	0	0	1
	%	100%	0.00%	100%	0.00%	50.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	25.00%
Executive Onboarded³	#	4	2	2	0	1	0	1	0	0	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	25.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Career Development Programs																
Career Development Programs for Executive Levels																
Relevant Pool⁴	%	100%	56.65%	43.35%	3.34%	24.1%	4.41%	7.42%	7.11%	7.06%	0.00%	0.03%	0.23%	0.13%	0.15%	0.33%
Slots⁵	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021 including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

⁴ The Relevant Pool includes all employees holding an occupational series and/or grade level that would qualify them for the programs.

⁵ Slots shows the total number of available training slots for career development programs targeting each leadership level. During FY 2021, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

LEADERSHIP LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Manager Level																
Manager	386	237	149	3	197	104	7	19	22	22	0	1	1	0	0	0
	100%	61.40%	38.60%	2.59%	51.04%	26.94%	1.81%	4.92%	5.70%	5.70%	0.00%	0.26%	0.26%	0.00%	0.00%	0.00%
SK-17	386	237	149	3	197	104	7	19	22	22	0	1	1	0	0	0
	100%	61.40%	38.60%	2.59%	51.04%	26.94%	1.81%	4.92%	5.70%	5.70%	0.00%	0.26%	0.26%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	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%
Senior Officer	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%
Internal Competitive Promotions¹																
Manager																
Relevant Pool ²	100%	63.16%	36.84%	5.82%	43.77%	21.61%	4.71%	8.31%	8.86%	4.99%	0.00%	0.00%	0.00%	0.00%	0.00%	0.28%
TOTAL Postings	#	29														
TOTAL Applications Received	#	632	395	32	199	92	100	76	40	32	0	0	2	1	2	4
	%	100%	62.50%	37.50%	8.23%	31.49%	15.82%	12.03%	6.33%	5.06%	0.00%	0.00%	0.32%	0.16%	0.32%	0.63%
Qualified	#	335	219	116	22	135	59	43	18	22	0	0	1	1	0	1
	%	100%	65.37%	34.63%	6.57%	20.99%	17.61%	12.84%	5.37%	6.57%	0.00%	0.00%	0.30%	0.30%	0.00%	0.30%
Referred	#	213	137	76	20	65	42	21	9	15	0	0	1	0	0	1
	%	100%	64.32%	35.68%	9.39%	30.52%	19.72%	9.86%	4.23%	7.04%	0.00%	0.00%	0.47%	0.00%	0.00%	0.47%
Selected ³	#	26	9	17	8	10	0	3	1	4	0	0	0	0	0	0
	%	100%	34.62%	65.38%	0.00%	30.77%	0.00%	11.54%	3.85%	15.38%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade level that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021 including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

LEADERSHIP LEVEL WORKFORCE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
PERMANENT																
Manager Vacancy Level																
TOTAL Postings¹	#	12														
Voluntarily Identified	#	358	280	78	19	7	130	29	65	29	11	0	1	0	0	1
	%	100%	78.21%	21.79%	5.31%	1.96%	36.31%	8.10%	18.16%	8.10%	3.07%	0.00%	0.28%	0.00%	0.00%	0.28%
Qualified of those Identified	#	313	251	62	16	5	115	22	56	25	63	9	1	0	0	1
	%	100%	80.19%	19.81%	5.11%	1.60%	36.74%	7.03%	17.89%	7.99%	2.88%	0.00%	0.32%	0.00%	0.00%	0.32%
Referred of those Qualified	#	46	33	13	0	1	21	7	5	1	7	4	0	0	0	0
	%	100%	71.74%	28.26%	0.00%	2.17%	45.65%	15.22%	10.87%	2.17%	15.22%	8.70%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred ²	#	4	1	3	0	1	1	1	0	0	1	0	0	0	0	0
	%	100%	25.00%	75.00%	0.00%	25.00%	25.00%	25.00%	0.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Manager Onboarded³	#	7	3	4	1	0	2	0	0	0	4	0	0	0	0	0
	%	100%	42.86%	57.14%	14.29%	0.00%	28.57%	0.00%	0.00%	0.00%	57.14%	0.00%	0.00%	0.00%	0.00%	0.00%
Career Development Programs																
Career Development Programs for Managers																
Relevant Pool⁴	%	100%	58.09%	41.91%	3.38%	2.27%	43.41%	26.46%	3.89%	5.62%	7.10%	7.04%	0.00%	0.17%	0.14%	0.34%
Slots ⁵	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	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%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021 including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

⁴ The Relevant Pool includes all employees holding an occupational series and/or grade level that would qualify them for the programs.

⁵ Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2021, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

LEADERSHIP LEVEL WORKFORCE PERMANENT	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Supervisor Level																	
Supervisor	#	362	228	134	6	158	78	17	31	32	18	0	0	0	0	0	1
	%	100%	62.98%	37.02%	1.66%	43.65%	21.55%	4.70%	8.56%	8.84%	4.97%	0.00%	0.00%	0.00%	0.00%	0.00%	0.28%
SK-09	#	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%
SK-10	#	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%
SK-11	#	1	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	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%
SK-13	#	8	2	6	1	2	2	0	2	0	1	0	0	0	0	0	0
	%	100%	25.00%	75.00%	12.50%	25.00%	25.00%	0.00%	25.00%	0.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	10	5	5	0	4	3	1	1	0	1	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	40.00%	30.00%	10.00%	10.00%	0.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	#	342	220	122	21	151	73	16	27	32	16	0	0	0	0	0	1
	%	100%	64.33%	35.67%	6.14%	44.15%	21.35%	4.68%	7.89%	9.36%	4.68%	0.00%	0.00%	0.00%	0.00%	0.00%	0.29%
SK-16	#	1	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

LEADERSHIP LEVEL WORKFORCE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Internal Competitive Promotions¹																
Supervisor																
Relevant Pool ²	%	100%	51.67%	48.33%	3.31%	3.24%	35.74%	25.45%	5.42%	11.30%	6.77%	7.84%	0.00%	0.21%	0.14%	0.36%
TOTAL Postings	#	23														
TOTAL Applications Received	#	993	649	344	72	41	234	92	187	167	140	37	2	5	4	3
	%	100%	65.36%	34.64%	7.25%	4.13%	23.56%	9.26%	18.83%	16.82%	14.10%	3.73%	0.20%	0.50%	0.40%	0.30%
Qualified	#	766	506	260	53	29	186	66	146	135	111	24	2	3	3	3
	%	100%	66.06%	33.94%	6.92%	3.79%	24.28%	8.62%	19.06%	17.62%	14.49%	3.13%	0.26%	0.39%	0.39%	0.39%
Referred	#	689	459	230	47	29	163	49	138	126	101	21	2	3	2	3
	%	100%	66.62%	33.38%	6.82%	4.21%	23.66%	7.11%	20.03%	18.29%	14.66%	3.05%	0.29%	0.44%	0.29%	0.44%
Selected ³	#	18	13	5	1	0	6	3	3	2	3	0	0	0	0	0
	%	100%	72.22%	27.78%	5.56%	0.00%	33.33%	16.67%	16.67%	11.11%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² The Relevant Pool includes all employees holding an occupational series and grade that would qualify them for the position posted.

³ Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021 including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

LEADERSHIP LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
New Hires																
Supervisor Vacancy Level																
TOTAL Postings¹	#	9														
Voluntarily Identified	#	403	270	133	13	52	57	48	17	0	1	1	0	1	1	2
	%	100%	67.00%	33.00%	3.23%	12.90%	14.14%	11.91%	4.22%	0.00%	0.25%	0.25%	0.00%	0.25%	0.25%	0.50%
Qualified of those Identified	#	341	243	98	8	35	53	37	50	0	0	1	0	0	1	1
	%	100%	71.26%	28.74%	6.16%	10.26%	15.54%	10.85%	14.66%	0.00%	0.00%	0.29%	0.00%	0.29%	0.29%	0.29%
Referred of those Qualified	#	56	32	24	5	11	3	10	6	1	0	0	0	0	1	1
	%	100%	57.14%	42.86%	8.93%	19.64%	5.36%	17.86%	10.71%	1.79%	0.00%	0.00%	0.00%	0.00%	1.79%	1.79%
Selected of those Referred ²	#	5	3	2	0	1	0	1	1	0	0	0	0	0	0	0
	%	100%	60.00%	40.00%	0.00%	20.00%	0.00%	20.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Supervisor Onboarded³	#	7	4	3	0	2	0	1	1	0	0	0	0	0	0	0
	%	100%	57.14%	42.86%	0.00%	28.57%	0.00%	14.29%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

¹ This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2021 (i.e., between 10/1/2020 and 9/30/2021). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. Cancelled vacancies are excluded. Applicant Flow Data vary based on the date downloaded.

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2021 including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

³ Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 09/30/2021. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because USA Staffing does not report on vacancies with no close date. In addition, the time lag between selection and onboarding may cross fiscal years.

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

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202122 *continued*

LEADERSHIP LEVEL WORKFORCE PERMANENT	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Career Development Programs																
Career Development Programs for Supervisors																
Relevant Pool ¹	%	100%	56.10%	43.90%	3.42%	2.59%	40.31%	25.88%	4.70%	7.70%	7.27%	7.21%	0.00%	0.23%	0.14%	0.37%
Slots ²	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	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%

¹ The Relevant Pool includes all employees holding an occupational series and/or grade level that would qualify them for the programs.

² Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2021, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A9-1: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—
PAY PERIOD 202122

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Time-Off Awards																
Time-Off Awards: 1 – 10 hours																
TOTAL #	1,462	758	54	38	496	441	72	166	76	101	0	0	6	1	0	11
Awards Given	100%	51.85%	3.69%	2.60%	33.93%	30.16%	4.92%	11.35%	5.20%	6.91%	0.00%	0.00%	0.41%	0.07%	0.00%	0.75%
TOTAL Hours	10,272	5,050	385	261	3,602	3,090	475	1,116	550	685	0	0	38	4	0	66
Average Hours	7	7	7	7	7	7	7	7	7	7	7	7	6	4	0	6
Time-Off Awards: 11 – 20 hours																
TOTAL #	782	371	27	27	298	215	36	81	48	46	0	0	2	0	0	2
Awards Given	100%	47.44%	3.45%	3.45%	38.11%	27.49%	4.60%	10.36%	6.14%	5.88%	0.00%	0.00%	0.26%	0.00%	0.00%	0.26%
TOTAL Hours	12,285	6,468	434	412	4,660	3,363	590	1,286	752	720	0	0	32	0	0	36
Average Hours	16	16	16	15	16	16	16	16	16	16	16	16	16	0	0	18
Time-Off Awards: 21 – 30 hours																
TOTAL #	360	197	10	13	127	122	12	26	14	31	0	1	0	2	0	2
Awards Given	100%	54.72%	2.78%	3.61%	35.28%	33.89%	3.33%	7.22%	3.89%	8.61%	0.00%	0.28%	0.00%	0.56%	0.00%	0.56%
TOTAL Hours	8,646	4,734	240	312	3,048	2,934	288	624	336	744	0	24	0	48	0	48
Average Hours	24	24	24	24	24	24	24	24	24	24	24	24	24	24	0	24

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A9-1: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—
PAY PERIOD 202122 *continued*

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Time-Off Awards: 31 – 40 hours																
TOTAL #	69	35	3	0	24	25	1	5	6	5	0	0	0	0	0	0
Time-Off Awards Given	100%	50.72%	4.35%	0.00%	34.78%	36.23%	1.45%	7.25%	8.70%	7.25%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Hours	2,446	1,251	104	0	845	896	32	168	214	187	0	0	0	0	0	0
Average Hours	35	36	35	0	35	36	32	34	36	37	0	0	0	0	0	0
Time-Off Awards: 41+ hours																
TOTAL #	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Time-Off Awards Given	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%
TOTAL Hours	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Average Hours	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Time-Off Awards: 11 – 40 hours																
TOTAL #	1,211	603	40	40	449	362	49	112	68	82	0	1	2	2	0	4
Time-Off Awards Given	100%	49.79%	3.30%	3.30%	37.08%	29.89%	4.05%	9.25%	5.62%	6.77%	0.00%	0.08%	0.17%	0.17%	0.00%	0.33%
TOTAL Hours	23,377	11,802	778	724	8,553	7,193	910	2,078	1,302	1,651	0	24	32	48	0	84
Average Hours	19	20	19	18	19	20	19	19	19	20	0	24	16	24	0	21

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A9-1: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—
PAY PERIOD 202122 *continued*

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
Cash Awards																	
Cash Awards: \$500 and Under																	
TOTAL Cash Awards Given	#	1,066	532	534	44	27	393	289	48	149	44	57	0	0	2	4	8
	%	100%	49.91%	50.09%	4.13%	2.53%	36.87%	27.11%	4.50%	13.98%	4.13%	5.35%	0.00%	0.00%	0.19%	0.38%	0.75%
TOTAL Amount		\$433,888	\$218,361	\$215,527	\$17,288	\$10,540	\$163,427	\$119,004	\$18,321	\$56,994	\$18,455	\$24,373	\$0	\$0	\$470	\$1,966	\$2,650
Average Amount		\$407	\$410	\$404	\$390	\$416	\$412	\$382	\$382	\$383	\$419	\$428	\$0	\$0	\$235	\$492	\$331
Cash Awards: \$501 to \$999																	
TOTAL Cash Awards Given	#	821	470	351	19	20	343	200	51	77	54	49	0	0	2	0	5
	%	100%	57.25%	42.75%	2.31%	2.44%	41.78%	24.36%	6.21%	9.38%	6.58%	5.97%	0.00%	0.00%	0.24%	0.00%	0.61%
TOTAL Amount		\$590,557	\$338,149	\$252,408	\$13,152	\$143,424	\$247,295	\$143,424	\$36,422	\$56,302	\$38,780	\$33,780	\$0	\$0	\$1,750	\$0	\$3,680
Average Amount		\$719	\$719	\$719	\$692	\$761	\$721	\$717	\$714	\$731	\$718	\$689	\$0	\$0	\$875	\$0	\$736
Cash Awards: \$1,000 to \$1,999																	
TOTAL Cash Awards Given	#	1,878	1,021	857	59	54	756	499	65	164	136	128	0	0	4	4	8
	%	100%	54.37%	45.63%	3.14%	2.88%	40.26%	26.57%	3.46%	8.73%	7.24%	6.82%	0.00%	0.00%	0.21%	0.21%	0.43%
TOTAL Amount		\$2,313,089	\$1,263,550	\$1,049,539	\$73,875	\$67,950	\$939,108	\$614,024	\$78,450	\$192,352	\$166,367	\$159,919	\$0	\$0	\$4,750	\$4,394	\$10,900
Average Amount		\$1,232	\$1,238	\$1,225	\$1,252	\$1,258	\$1,242	\$1,231	\$1,207	\$1,173	\$1,223	\$1,249	\$0	\$0	\$1,188	\$1,099	\$1,363

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A9-1: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—
PAY PERIOD 202122 *continued*

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Cash Awards: \$2,000 to \$2,999																	
TOTAL Cash	445	265	180	14	5	206	119	11	27	32	0	1	2	0	0	0	0
Awards Given	100%	59.55%	40.45%	3.15%	1.12%	46.29%	26.74%	2.47%	6.07%	7.19%	0.00%	0.22%	0.45%	0.00%	0.00%	0.00%	0.00%
TOTAL Amount	\$986,196	\$590,243	\$395,953	\$29,999	\$11,091	\$457,573	\$265,023	\$25,371	\$57,581	\$73,300	\$0	\$2,000	\$4,000	\$0	\$0	\$0	\$0
Average Amount	\$2,216	\$2,227	\$2,200	\$2,143	\$2,218	\$2,221	\$2,227	\$2,306	\$2,133	\$2,291	\$0	\$2,000	\$2,000	\$0	\$0	\$0	\$0
Cash Awards: \$3,000 or More																	
TOTAL Cash	21	15	6	1	0	7	5	1	1	6	0	0	0	0	0	0	0
Awards Given	100%	71.43%	28.57%	4.76%	0.00%	33.33%	23.81%	4.76%	4.76%	28.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Amount	\$85,189	\$57,389	\$27,800	\$6,389	\$0	\$27,500	\$24,800	\$3,000	\$3,000	\$20,500	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Average Amount	\$4,057	\$3,826	\$4,633	\$6,389	\$0	\$3,929	\$4,960	\$3,000	\$3,000	\$3,417	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Awards																	
Performance Based Pay Increase																	
TOTAL Perf Based Award	4,304	2,315	1,989	139	116	1,691	1,107	200	461	271	281	0	1	10	6	4	17
Awards Given	100%	53.79%	46.21%	3.23%	2.70%	39.29%	25.72%	4.65%	10.71%	6.30%	6.53%	0.00%	0.02%	0.23%	0.14%	0.09%	0.39%
TOTAL Benefit	\$24,094,362	\$13,202,262	\$10,892,100	\$885,444	\$648,540	\$9,408,510	\$5,963,356	\$1,183,108	\$2,492,587	\$1,641,020	\$1,624,711	\$0	\$2,500	\$54,473	\$42,735	\$29,707	\$117,671
Average Benefit	\$5,598	\$5,703	\$5,476	\$6,370	\$5,591	\$5,564	\$5,387	\$5,916	\$5,407	\$6,055	\$5,782	\$0	\$2,500	\$5,447	\$7,123	\$7,427	\$6,922

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—PAY PERIOD 202122

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Time-Off Awards																	
Time-Off Awards: 1 – 10 hours																	
TOTAL #	1,061	517	544	40	30	367	308	47	123	59	76	0	0	4	1	0	6
Time-Off Inc.	23.99%	21.70%	26.65%	27.40%	25.21%	21.34%	27.21%	22.17%	26.34%	20.56%	25.42%	0.00%	0.00%	36.36%	16.67%	0.00%	35.29%
TOTAL Hours Awarded	10,272	5,050	5,222	385	261	3,602	3,090	475	1,116	550	685	0	0	38	4	0	66
Avg. Hours per Emp.	10	10	10	10	9	10	10	10	9	9	9	0	0	10	4	0	11
Time-Off Awards: 11 – 20 hours																	
TOTAL #	682	359	323	25	23	258	184	34	72	41	42	0	0	1	0	0	2
Time-Off Inc.	15.42%	15.07%	15.83%	17.12%	19.33%	15.00%	16.25%	16.04%	15.42%	14.29%	14.05%	0.00%	0.00%	9.09%	0.00%	0.00%	11.76%
TOTAL Hours Awarded	12,285	6,468	5,817	434	412	4,660	3,363	590	1,286	752	720	0	0	32	0	0	36
Avg. Hours per Emp.	18	18	18	17	18	18	18	17	18	18	17	0	0	32	0	0	18
Time-Off Awards: 21 – 30 hours																	
TOTAL #	321	148	173	8	12	115	106	11	24	14	26	0	1	0	2	0	2
Time-Off Inc.	7.26%	6.21%	8.48%	5.48%	10.08%	6.69%	9.36%	5.19%	5.14%	4.88%	8.70%	0.00%	100%	0.00%	33.33%	0.00%	11.76%
TOTAL Hours Awarded	8,646	3,912	4,734	240	312	3,048	2,934	288	624	336	744	0	24	0	48	0	48
Avg. Hours per Emp.	27	26	27	30	26	27	28	26	26	24	29	0	24	0	24	0	24

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—PAY PERIOD 202122 *continued*

AWARDS	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Time-Off Awards: 31 – 40 hours																	
TOTAL #	62	31	31	0	22	21	1	5	5	5	0	0	0	0	0	0	0
Awarded																	
Time-Off Inc.	1.40%	1.30%	1.52%	0.00%	1.28%	1.86%	0.47%	1.07%	1.74%	1.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Hours Awarded	2,446	1,195	1,251	0	845	896	32	168	214	187	0	0	0	0	0	0	0
Avg. Hours per Emp.	39	39	40	0	38	43	32	34	43	37	0	0	0	0	0	0	0
Time-Off Awards: 41+ hours																	
TOTAL #	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Awarded																	
Time-Off Inc.	0.00%	0.00%	0.00%	0.00%	0.00%	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 Hours per Emp.	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Avg. Hours per Emp.	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Time-Off Awards: 11 – 40 hours																	
TOTAL #	1,012	513	499	36	375	289	45	100	56	70	0	1	1	2	0	0	3
Awarded																	
Time-Off Inc.	22.88%	21.54%	24.45%	24.66%	21.80%	25.53%	21.23%	21.41%	19.51%	23.41%	0.00%	100%	9.09%	33.33%	0.00%	0.00%	17.65%
TOTAL Hours Awarded	23,377	11,575	11,802	778	8,553	7,193	910	2,078	1,302	1,651	0	24	32	48	0	0	84
Avg. Hours per Emp.	23	23	24	22	23	25	20	21	23	24	0	24	32	24	0	0	28

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—PAY PERIOD 202122 *continued*

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Cash Awards																	
Cash Awards: \$500 and Under																	
TOTAL #	850	428	422	29	25	325	228	36	116	36	48	0	0	1	2	1	3
Inc.	19.22%	17.97%	20.68%	19.86%	21.01%	18.90%	20.14%	16.98%	24.84%	12.54%	16.05%	0.00%	0.00%	9.09%	33.33%	16.67%	17.65%
TOTAL Cash Awarded	\$433,888	\$218,361	\$215,527	\$17,288	\$10,540	\$163,427	\$119,004	\$18,321	\$56,994	\$18,455	\$24,373	\$0	\$0	\$470	\$1,966	\$400	\$2,650
Avg. Cash per Emp.	\$510	\$510	\$511	\$596	\$422	\$503	\$522	\$509	\$491	\$513	\$508	\$0	\$0	\$470	\$983	\$400	\$883
Cash Awards: \$501 to \$999																	
TOTAL #	714	400	314	18	19	294	175	43	73	42	42	0	0	2	0	1	5
Inc.	16.14%	16.79%	15.38%	12.33%	15.97%	17.09%	15.46%	20.28%	15.63%	14.63%	14.05%	0.00%	0.00%	18.18%	0.00%	16.67%	29.41%
TOTAL Cash Awarded	\$590,557	\$338,149	\$252,408	\$13,152	\$15,222	\$247,295	\$143,424	\$36,422	\$56,302	\$38,780	\$33,780	\$0	\$0	\$1,750	\$0	\$750	\$3,680
Avg. Cash per Emp.	\$827	\$845	\$804	\$731	\$801	\$841	\$820	\$847	\$771	\$923	\$804	\$0	\$0	\$875	\$0	\$750	\$736
Cash Awards: \$1,000 to \$1,999																	
TOTAL #	1,665	900	765	52	52	668	434	60	151	115	117	0	0	4	4	1	7
Inc.	37.64%	37.78%	37.48%	35.62%	43.70%	38.84%	38.34%	28.30%	32.33%	40.07%	39.13%	0.00%	0.00%	36.36%	66.67%	16.67%	41.18%
TOTAL Cash Awarded	\$2,313,089	\$1,263,550	\$1,049,539	\$73,875	\$67,950	\$939,108	\$614,024	\$78,450	\$192,352	\$166,367	\$159,919	\$0	\$0	\$4,750	\$4,394	\$1,000	\$10,900
Avg. Cash per Emp.	\$1,389	\$1,404	\$1,372	\$1,421	\$1,307	\$1,406	\$1,415	\$1,308	\$1,274	\$1,447	\$1,367	\$0	\$0	\$1,188	\$1,099	\$1,000	\$1,557

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—PAY PERIOD 202122 *continued*

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male
Cash Awards: \$2,000 to \$2,999																
TOTAL #	429	256	173	14	5	199	113	9	26	32	28	0	1	2	0	0
Cash Inc.	9.70%	10.75%	8.48%	9.59%	4.20%	11.57%	9.98%	4.25%	5.57%	11.15%	9.36%	0.00%	100%	18.18%	0.00%	0.00%
TOTAL Cash Awarded	\$986,196	\$590,243	\$395,953	\$29,999	\$11,091	\$457,573	\$265,023	\$25,371	\$57,581	\$73,300	\$60,258	\$0	\$2,000	\$4,000	\$0	\$0
Avg. Cash per Emp.	\$2,299	\$2,306	\$2,289	\$2,143	\$2,218	\$2,299	\$2,345	\$2,819	\$2,215	\$2,291	\$2,152	\$0	\$2,000	\$2,000	\$0	\$0
Cash Awards: \$3,000 or More																
TOTAL #	21	15	6	1	0	7	5	1	1	6	0	0	0	0	0	0
Cash Inc.	0.47%	0.63%	0.29%	0.68%	0.00%	0.41%	0.44%	0.47%	0.21%	2.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Cash Awarded	\$85,189	\$57,389	\$27,800	\$6,389	\$0	\$27,500	\$24,800	\$3,000	\$3,000	\$20,500	\$0	\$0	\$0	\$0	\$0	\$0
Avg. Cash per Emp.	\$4,057	\$3,826	\$4,633	\$6,389	\$0	\$3,929	\$4,960	\$3,000	\$3,000	\$3,417	\$0	\$0	\$0	\$0	\$0	\$0
Other Awards																
Performance Based Pay Increase																
TOTAL #	4,304	2,315	1,989	139	116	1,691	1,107	200	461	271	281	0	1	10	6	4
Perf. Based	97.31%	97.19%	97.45%	95.21%	97.48%	98.31%	97.79%	94.34%	98.72%	94.43%	93.98%	0.00%	100%	90.91%	100%	66.67%
TOTAL Perf. Based	\$24,094,362	\$13,202,262	\$10,892,100	\$885,444	\$648,540	\$9,408,510	\$5,963,356	\$1,183,108	\$2,492,587	\$1,641,020	\$1,624,711	\$0	\$2,500	\$54,473	\$42,735	\$29,707
Avg. Benefit per Emp.	\$5,598	\$5,703	\$5,476	\$6,370	\$5,591	\$5,564	\$5,387	\$5,916	\$5,407	\$6,055	\$5,782	\$0	\$2,500	\$5,447	\$7,123	\$7,427
Permanent Workforce %	4,423	2,382	2,041	146	119	1,720	1,132	212	467	287	299	0	1	11	6	6
	100%	53.85%	46.15%	3.30%	2.69%	38.89%	25.59%	4.79%	10.56%	6.49%	6.76%	0.00%	0.02%	0.25%	0.14%	0.38%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]
 PAY PERIODS 202022 TO 202122

EMPLOYMENT TENURE	TOTAL		No Disability [05]	Not Identified [01]	Disability [02-03, 06-99]	Other PWD ¹	Total PWD	PWT ²	Developmental Disability [02]	Traumatic Brain Injury [03]	Deaf or Serious Difficulty Hearing [19]	Blind or Serious Difficulty Seeing [20]	Missing Extremities [31]	Significant Mobility Impairment [40]	Partial or Complete Paralysis [60]	Epilepsy or Other Seizure Disorders [82]	Intellectual Disability [90]	Significant Psychiatric Disorder [91]	Dwarfism [92]	Significant Disfigurement [93]
	#	%																		
Prior FY	4,493	100%	3,879	223	343	48	391	86	0	1	38	7	3	5	6	3	0	19	1	3
Current FY	4,536	100%	3,904	227	344	61	405	81	0	1	36	7	3	5	6	4	0	15	1	3
Difference	43	0.00%	25	4	1	13	14	-5	0	0	-2	0	0	0	0	1	0	-4	0	0
Ratio Change		0.00%	-0.26%	0.04%	-0.05%	0.27%	0.23%	-0.12%	0.00%	0.00%	-0.06%	-0.01%	0.00%	0.00%	0.00%	0.02%	0.00%	-0.09%	0.00%	0.00%
Net Change		0.96%	0.64%	1.79%	0.29%	27.08%	3.58%	-5.81%	0.00%	0.00%	-5.26%	0.00%	0.00%	0.00%	0.00%	33.33%	0.00%	-21.05%	0.00%	0.00%

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

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

Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]
 PAY PERIODS 202022 TO 202122 continued

EMPLOYMENT TENURE	TOTAL													Developmental Disability [02]	Traumatic Brain Injury [03]	Deaf or Serious Difficulty Hearing [19]	Blind or Serious Difficulty Seeing [20]	Missing Extremities [31]	Significant Mobility Impairment [40]	Partial or Complete Paralysis [60]	Epilepsy or Other Seizure Disorders [82]	Intellectual Disability [90]	Significant Psychiatric Disorder [91]	Dwarfism [92]	Significant Disfigurement [93]
	#	4,389	3,786	219	338	46	384	85	0	1	38	7	3												
Prior FY	%	100%	86.26%	4.99%	7.70%	1.05%	8.75%	1.94%	0.00%	0.02%	0.87%	0.16%	0.07%	0.11%	0.14%	0.07%	0.00%	0.41%	0.02%	0.07%					
Current FY	%	4,423	3,813	216	336	58	394	80	0	1	36	7	3	5	6	3	0	15	1	3					
Difference	%	34	27	-3	-2	12	10	-5	0	0	-2	0	0	0	0	0	0	-3	0	0					
Ratio Change	%	0.00%	-0.05%	-0.11%	-0.10%	0.26%	0.16%	-0.13%	0.00%	0.00%	-0.06%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-0.07%	0.00%	0.00%					
Net Change	%	0.77%	0.71%	-1.37%	-0.59%	26.09%	2.60%	-5.88%	0.00%	0.00%	-5.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-16.67%	0.00%	0.00%					
Federal Goal	%						12.00%	2.00%																	

¹ "Other PWD" include employees, who did not self-identify on SF-256, and who were coded on Veterans' Preference for hiring as "CPS—preference based on a compensable service-connected disability of 30% or more," or were hired or converted into the competitive service under Schedule A(u).
 Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart: FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

**TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]
PAY PERIODS 202022 TO 202122 continued**

EMPLOYMENT TENURE	TOTAL										PMTD	Developmental Disability [02]	Traumatic Brain Injury [03]	Deaf or Serious Hearing [19]	Blind or Serious Difficulty Seeing [20]	Missing Extremities [31]	Significant Mobility Impairment [40]	Paralysis [60]	Epilepsy or Other Seizure Disorders [82]	Intellectual Disability [90]	Significant Psychiatric Disorder [91]	Dwarfism [92]	Significant Disfigurement [93]		
	#	%	4	5	2	7	1	0	0	0														0	0
Prior FY	#	104	93	3.85%	4.81%	1.92%	6.73%	0.96%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Current FY	#	113	91	11	8	3	11	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	89.42%	9.73%	7.08%	2.65%	9.73%	0.88%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Difference	#	9	-2	7	3	1	4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Ratio Change	%	0.00%	-8.89%	5.88%	2.27%	0.73%	3.00%	-0.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Net Change	%	8.65%	-2.15%	175.00%	60.00%	50.00%	57.14%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TEMPORARY																									

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

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

Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]
 PAY PERIODS 202022 TO 202122 continued

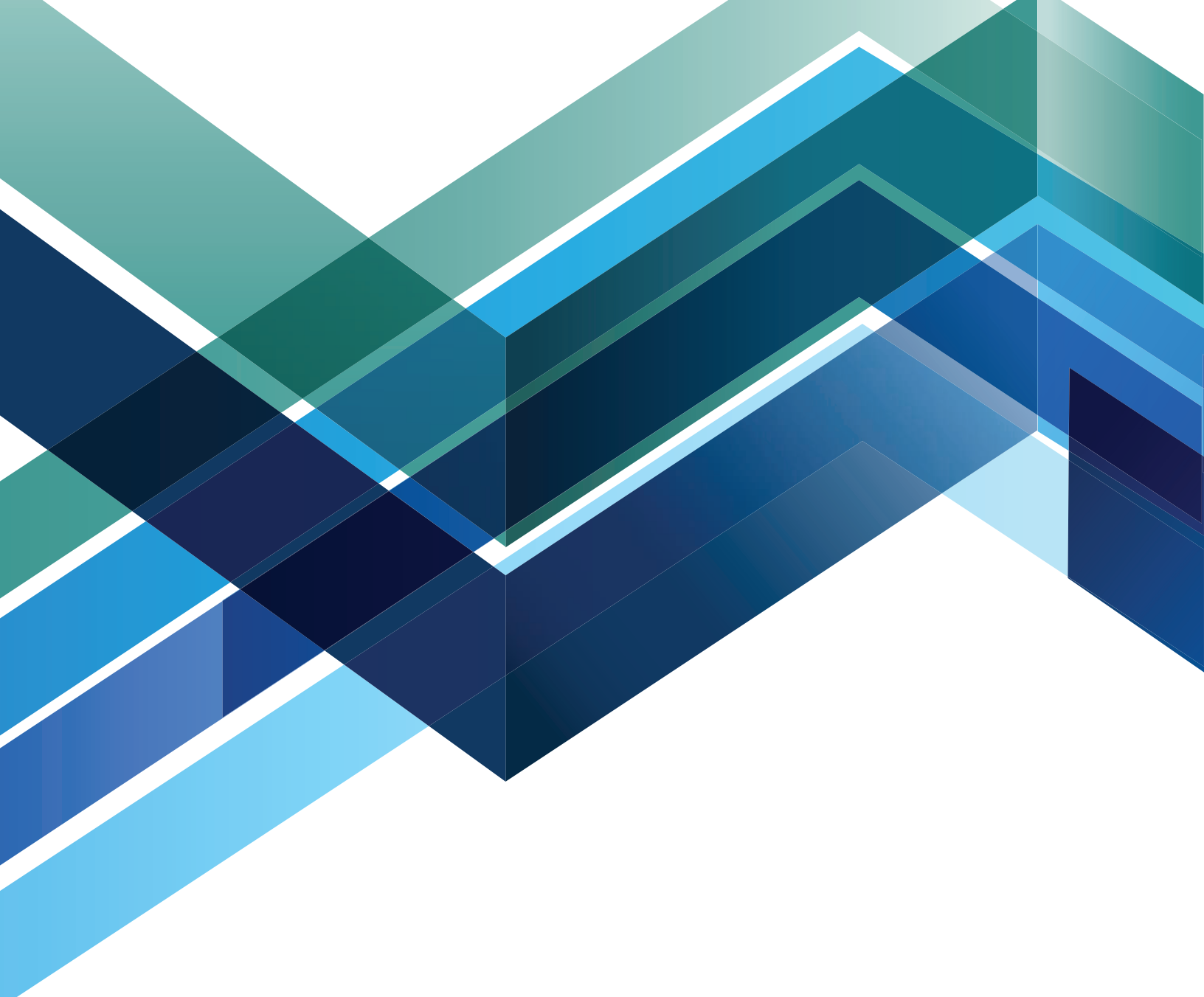
EMPLOYMENT TENURE	TOTAL		No Disability [05]	Not Identified [01]	Disability [02-03, 06-99]	Other PWD ¹	Total PWD	PWTD	Developmental Disability [02]	Traumatic Brain Injury [03]	Deaf or Serious Difficulty Hearing [19]	Blind or Serious Difficulty Seeing [20]	Missing Extremities [31]	Significant Mobility Impairment [40]	Partial or Complete Paralysis [60]	Epilepsy or Other Seizure Disorders [82]	Intellectual Disability [90]	Significant Psychiatric Disorder [91]	Dwarfism [92]	Significant Disfigurement [93]		
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%		
Prior FY	7	100%	0	0.00%	0	0.00%	7	100%	0.00%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	2	28.57%	0	0.00%
Current FY	10	100%	0	0.00%	8	80.00%	2	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	1	10.00%	0	0.00%
Difference	3		0		1		2		0		-1		0		0		0		-1		0	
Ratio Change	%	0.00%	0.00%	0.00%	-20.00%	20.00%	0.00%	-32.86%	0.00%	0.00%	-14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-18.57%	0.00%	0.00%	0.00%
Net Change	%	42.86%	0.00%	0.00%	14.29%	0.00%	42.86%	-66.67%	0.00%	0.00%	-100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-50.00%	0.00%	0.00%	0.00%

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

² Schedule A Employees in the Permanent Workforce are those currently serving under an appointment type covered by Schedule A(u). Employees previously converted to the Permanent Workforce are not counted. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: Datamart FPPS and EEO-AT 2.0 Analytic File for pay period 202122, downloaded on 11/12/2021

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