

U.S. SECURITIES AND  
EXCHANGE COMMISSION

**FISCAL YEAR 2020**



# ANNUAL EQUAL EMPLOYMENT OPPORTUNITY PROGRAM STATUS REPORT

MANAGEMENT DIRECTIVE 715



# CONTENTS

U.S. SECURITIES AND EXCHANGE COMMISSION INFORMATION (PARTS A, B, C, D)	1
Part A: Department or Agency Identifying Information	1
Part B: Total Employment	1
Part C: Agency Leadership	1
Part D: Subordinate Components and Documents	3
EXECUTIVE SUMMARY (PART E)	5
Mission of the U.S. Securities and Exchange Commission	5
SEC's EEO Program	6
Commission's Annual Self-Assessment Against MD-715 Essential Elements	9
Essential Element A: Demonstrated Commitment from Commission Leadership	9
Essential Element B: Integration of EEO into the Commission's Strategic Mission	20
Essential Element C: Management and Program Accountability	28
Essential Element D: Proactive Prevention of Unlawful Discrimination	35
Essential Element E: Efficiency	38
Essential Element F: Responsiveness and Legal Compliance	45
Summary of EEO Plan Objectives Planned to Eliminate Identified Barriers or Correct Program Deficiencies	60
Accomplishments	60
CERTIFICATION OF ESTABLISHMENT OF CONTINUING EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS (PART F)	73
AGENCY EEO PLAN TO ATTAIN THE ESSENTIAL ELEMENTS OF A MODEL EEO PROGRAM (PART H)	75
Section I: Agency's Procedures for Reasonable Accommodation (RA)	75
AGENCY EEO PLAN TO ELIMINATE IDENTIFIED BARRIER (PART I)	81
Section I: Analysis of Discretionary Cash and Time-off Awards	81
Section II: Analysis of the Accounting Occupation	86
Section III: Analysis of the Attorney Occupation	91

SPECIAL PROGRAM PLAN FOR THE RECRUITMENT, HIRING, ADVANCEMENT, AND RETENTION OF PERSONS WITH DISABILITIES (PART J) . . . . .	95
Section I: Efforts to Reach Regulatory Goals . . . . .	95
Section II: Model Disability Program . . . . .	99
Plan to Provide Sufficient & Competent Staffing for the Disability Program . . . . .	99
Plan to Ensure Sufficient Funding for the Disability Program . . . . .	100
Section III: Plan to Recruit and Hire Individuals with Disabilities . . . . .	101
Plan to Identify Job Applicants with Disabilities . . . . .	101
Plan to Establish Contacts with Disability Employment Organizations . . . . .	104
Progression Towards Goals (Recruitment and Hiring) . . . . .	105
Section IV: Plan to Ensure Advancement Opportunities for Employees with Disabilities . . . . .	109
Advancement Program Plan . . . . .	109
Career Development Opportunities . . . . .	110
Awards . . . . .	116
Promotions . . . . .	118
Section V: Plan to Improve Retention of Persons with Disabilities . . . . .	126
Voluntary and Involuntary Separations . . . . .	126
Accessibility of Technology and Facilities . . . . .	128
Reasonable Accommodation Program . . . . .	131
Personal Assistance Services Allowing Employees to Participate in the Workplace . . . . .	135
Section VI: EEO Complaint and Findings Data . . . . .	137
EEO Complaint Data Involving Harassment . . . . .	137
EEO Complaint Data Involving Reasonable Accommodation . . . . .	137
Section VII: Identification and Removal of Barriers . . . . .	138
 ATTACHMENT 1. SEC ORGANIZATIONAL CHART . . . . .	 147
ATTACHMENT 2. EQUAL EMPLOYMENT OPPORTUNITY POLICY . . . . .	150
ATTACHMENT 3. SEC STRATEGIC PLAN FY 2018—FY 2022 . . . . .	151
ATTACHMENT 4. POLICY ON PREVENTING HARASSMENT (PPH) . . . . .	152
ATTACHMENT 5. REPRESENTATIVE SAMPLE OF CHAIRMAN CLAYTON'S COMMUNICATIONS TO STAFF ON EEO AND DIVERSITY & INCLUSION . . . . .	153
ATTACHMENT 6. REASONABLE ACCOMMODATION AND PERSONAL ASSISTANCE SERVICES PROCEDURES . . . . .	154
ATTACHMENT 7. SEC'S ALTERNATIVE DISPUTE RESOLUTION CONFLICT TO RESOLUTION PROCEDURES . . . . .	155
ATTACHMENT 8. POLICY MEMORANDUM: STANDARDS FOR EEO, WORKFORCE DIVERSITY, AND WORKPLACE INCLUSION . . . . .	157
ATTACHMENT 9. FY 2020 OMWI SPECIAL OBSERVANCES AND EVENTS . . . . .	158
ATTACHMENT 10. WORKFORCE DATA TABLES . . . . .	161

# 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	4,389	104	4,493

## Part C: Agency Leadership

### Section I: Head of Agency and Head of Agency Designee

Agency Leadership	Name	Title
Head of Agency	Allison Herren Lee	Acting Chair
Agency Head Designee	Peter J. Henry	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	Peter J. Henry	Director, Office of Equal Employment Opportunity	0905	SO	202-551-7001	<a href="mailto:henryp@sec.gov">henryp@sec.gov</a>
Affirmative Employment Program Manager	Peter J. Henry	Director, Office of Equal Employment Opportunity	0905	SO	202-551-7001	<a href="mailto:henryp@sec.gov">henryp@sec.gov</a>
Complaint Processing Program Manager	Kelly Goode	Compliance and Resolutions Manager, Office of Equal Employment Opportunity	0905	SK-15	202-551-4398	<a href="mailto:goodee@sec.gov">goodee@sec.gov</a>
Diversity & Inclusion Officer	Pamela Gibbs	Director, Office of Minority and Women Inclusion	0340	SO	202-551-6503	<a href="mailto:gibbsp@sec.gov">gibbsp@sec.gov</a>
Hispanic Program Manager (SEPM)	Pamela Gibbs	Director, Office of Minority and Women Inclusion	0340	SO	202-551-6503	<a href="mailto:gibbsp@sec.gov">gibbsp@sec.gov</a>

EEO Program Staff	Name	Title	Occupational Series (xxxx)	Pay Plan and Grade (xx-xx)	Phone Number (xxx-xxx-xxxx)	Email Address
Women's Program Manager (SEPM)	Pamela Gibbs	Director, Office of Minority and Women Inclusion	0340	SO	202-551-6503	<a href="mailto:gibbsp@sec.gov">gibbsp@sec.gov</a>
Disability Program Manager (SEPM) <sup>1</sup>	Pamela Gibbs	Director, Office of Minority and Women Inclusion	0340	SO	202-551-6503	<a href="mailto:gibbsp@sec.gov">gibbsp@sec.gov</a>
Special Placement Program Coordinator (Individuals with Disabilities)	Kai Petty	Team Lead, Office of Human Resources	0201	SK-14	202-551-6344	<a href="mailto:pettyka@sec.gov">pettyka@sec.gov</a>
Reasonable Accommodation Program Manager	Dia Gonsalves	Branch Chief, Office of Human Resources	0343	SK-15	202-551-3166	<a href="mailto:gonsalvesd@sec.gov">gonsalvesd@sec.gov</a>
Anti-Harassment Program Manager <sup>2</sup>	Dwayne Boyd	Attorney, Office of Equal Employment Opportunity	0905	SK-14	202-551-6017	<a href="mailto:boydd@sec.gov">boydd@sec.gov</a>
ADR Program Manager	Rachel Anglade	Attorney, Office of Equal Employment Opportunity	0905	SK-14	202-551-2190	<a href="mailto:anglader@sec.gov">anglader@sec.gov</a>
Compliance Manager	Kelly Goode	Compliance and Resolutions Manager, Office of Equal Employment Opportunity	0905	SK-15	202-551-4398	<a href="mailto:goodee@sec.gov">goodee@sec.gov</a>
Principal MD-715 Preparer	Alta G. Rodriguez	Senior Counsel	0905	SK-16	202-551-6002	<a href="mailto:rodriguezag@sec.gov">rodriguezag@sec.gov</a>

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

<sup>2</sup> The harassment prevention program is a management responsibility and many SEC offices coordinate responsibilities. The Office of Equal Employment Opportunity subject matter expert is identified here due to his leadership in the SEC's proactive harassment prevention dialogues and for providing educational outreach 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	No	
Results from most recent Federal Employee Viewpoint Survey or Annual Employee Survey	No	

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# EXECUTIVE SUMMARY (PART E)

<b>EEOC FORM 715-01 PART E</b>	<b><i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>
U.S. Securities and Exchange Commission	<b>For period covering October 1, 2019 to September 30, 2020</b>

This Equal Employment Opportunity (EEO) Program Status Report for Fiscal Year (FY) 2020 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 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 2020 and will continue to take in FY 2021 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 approximately \$97 trillion in securities trading annually on U.S. equity markets and 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 Chairman of the Commission who is responsible for the executive and administrative functions of the Commission. On May 4, 2017, Jay Clayton was sworn in as the 32nd Chairman of the SEC. Chairman Clayton led the women and men of the SEC throughout the FY 2020 reporting period.

In FY 2020, the SEC was organized into five divisions (Corporation Finance, Enforcement, Economic and Risk Analysis, Investment Management, and Trading and Markets) and 25 offices. The SEC's Headquarters is located in Washington, DC (Headquarters or HO). The Agency also has 11 Regional Offices located throughout the country. As of September 30, 2020, the SEC had a total workforce of 4,493 employees, including 4,390 permanent employees and 103 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. 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)—have specific and interrelated responsibilities to foster equal employment opportunity and to focus on equal opportunity and diversity-related efforts in the Agency's workforce.

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 the 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.

OEEO's Director is a Senior Officer (the equivalent of a member of the Senior Executive Service) who, consistent with 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 Chairman. The OEEO Director leads a neutral office comprised of a small team of diverse professionals. This team has significant expertise in legal and social science analysis, proactive prevention, conflict management, investigative techniques, federal sector EEO rules and processes, and program management.

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. OGC, which defends the SEC in EEO matters, is firewalled from activities within OEEO. OGC participates during adversarial portions of the EEO process (hearings and appeals), during settlement negotiations (to include discussions occurring as a result of a request for mediation made through OEEO's Alternative Dispute Resolution [ADR] Program), and/or to provide appropriate legal advice or assistance when a manager or supervisor requests it during the course of an EEO investigation (consistent with EEOC guidance and recent case law setting forth parameters for agency counsel involvement and professional responsibility rules governing attorney conduct). Other SEC offices (such as OHR) are similarly firewalled and kept separate as necessary and appropriate to avoid conflicting or competing interests.

OEEO staff attorneys conduct legal sufficiency reviews of EEO matters, which include, for example, preparing and issuing "Accept/Dismiss" determinations addressing jurisdiction over, and scope of, claims set forth in formal complaints; conducting an impartial and appropriate investigation of accepted formal complaints; conducting substantive reviews of the Reports of Investigations (ROIs) to ensure compliance with laws and regulations; and drafting of Final Agency Decisions (FADs) and Final Agency Orders (FAOs) (as required by 29 C.F.R. § 1614.110).

At the same time, while OEEO maintains the primary 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 (as required by 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 accommodation programs they administer. The collective work of these offices provides the strategic framework for driving the SEC's approach to EEO, affirmative employment, and D&I.

OEEO collaborates as appropriate with OGC and OIG, which trains and advises managers and supervisors on merit system principles, prohibited personnel practices, and whistleblower protections under applicable civil services laws. Finally, OEEO coordinates extensively with management, OHR, OGC, OIG, and other offices, as needed, to implement the SEC's harassment-prevention program under the *Faragher-Ellerth* line of cases, which require that an employer promptly and thoroughly investigate complaints of perceived discrimination, harassment, or retaliation.

Through cross-functional coordination among key stakeholders in FY 2020, the SEC remedied deficiencies identified by the EEOC as part of its technical assistance review of the SEC's EEO and Disability Programs, including: issuing compliant reasonable accommodation procedures; providing ADR training to managers and supervisors; posting reasonable accommodation procedures on the SEC's external website; posting personal assistance services procedures on the SEC's external website; and posting Section 504 and 508 of the Rehabilitation Act and Architectural Barriers Act notices on the SEC's external website. In FY 2021, the SEC will continue to focus on enhancements to its Policy on Preventing Harassment (PPH) procedures and with respect to career development and advancement opportunities for persons with disabilities.

In addition, OEEO is available to provide technical assistance to senior leadership, management, the Diversity Council, employee affinity groups, and NTEU to help carry out leadership priorities and implement the EEO and D&I aspects of the SEC's *Strategic Plan for FY 2018 – 2022*, the *Diversity and Inclusion Strategic Plan FY 2020 – 2022*, OHR's *Human Capital Strategic Plan FY 2020 – 2022*, and the *2020 – 2022 Recruitment Strategy*.

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

OEE0, 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 2020, OEE0 again performed an annual EEO Program self-assessment. This Executive Summary recaps the SEC's FY 2020 self-assessment findings and action items, organized by each Essential Element and related compliance indicators.

### Essential Element A: Demonstrated Commitment from Commission Leadership

MD-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 2020, SEC leadership again demonstrated commitment to ensuring that the SEC's talented and diverse staff have equal employment opportunities and are treated fairly and with respect.

The SEC's *Strategic Plan FY 2018 – FY 2022* (available at [SEC.gov/strategic-plan](https://www.sec.gov/strategic-plan)) 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.

The SEC also finalized and shared agency-wide its first *Diversity and Inclusion Strategic Plan FY 2020 – 2022*, further exemplifying leadership commitment. To support the SEC’s commitment to its workforce, the SEC also developed a three-year (FY 2020 – FY 2022) *Human Capital Strategic Plan* with input from OHR, OEE0, and Division and Office Senior Leadership. The *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. OEE0’s ongoing planning aligns with and supports these overall strategic goals and initiatives.

*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 and Policy on Preventing Harassment (*see Attachments 2 and 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 SEC's Policy on Preventing Harassment expresses the SEC's commitment to a harassment-free work environment. The PPH was designed to identify and stop behavior that might be offensive on a legally-protected basis before it escalates. These documents affirm that the SEC Chairman, Commissioners, senior leaders, managers, and first-line supervisors will enforce EEO principles and laws. These policies contain all content required by the EEOC, including:

- A commitment to EEO for all employees and applicants for employment, regardless of, *inter alia*, their race, color, religion, sex (including pregnancy, sexual orientation, transgender status, and gender identity), national origin, age, disability, genetic information, and prior protected EEO-related activity.
- A commitment that all employees and applicants will have the freedom to compete on a fair and level playing field.
- A guarantee that EEO encompasses all personnel/employment programs, management practices, and decisions, including, but not limited to, recruitment/hiring, merit promotion, transfer, reassignments, training and career development, benefits, and separation.
- A guarantee that workplace harassment will not be tolerated, and that the Agency will promptly correct the harassing conduct before it becomes severe or pervasive.
- A guarantee that reprisal against anyone who engaged in protected activity will not be tolerated, and that the Agency supports the rights of all employees to exercise their rights under the civil rights statutes.

In spring 2020, the SEC Chairman issued these policies via email directly to all employees with a message emphasizing the strategic importance of integrating EEO into the SEC's everyday business:

Another matter discussed in the town hall is our shared commitment to equality of opportunity. This commitment applies just the same even though we are much more physically separated.

In this regard, I am pleased to re-issue the SEC's *Equal Employment Opportunity (EEO) Policy* and *Policy on Preventing Harassment* and encourage you to read each policy.

We at the SEC can be thought of as a team. Every one of our team members should be able to compete on a level career playing field. Integrating EEO into the SEC's everyday business furthers the *strategic initiatives* that drive our mission. It also is a critical part of our cultural foundation that has enabled us to establish a talented, diverse, engaged and highly productive workforce.

We all play a role in creating a workplace where everyone has an equal chance to succeed as far as their talents will take them.

There is no place at the SEC for discrimination, harassment, or retaliation in violation of federal laws or SEC policies. If you believe that either of these policies has been violated, or ever have questions about the right thing to do, I ask you to speak up in whichever of the following ways you feel most comfortable: 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](mailto: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 the SEC's everyday work, and is available to all.

These policy documents are readily available on OEEO's intranet page. Both documents also have been provided 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. Large posters with this information have been placed near the OEEO suite and in a display stand in the lobby of SEC Headquarters, in other common areas, and in Regional Offices.

OEEO also made concerted efforts throughout FY 2020 to communicate to the SEC workforce its continued availability to address EEO concerns and complaints, particularly, as SEC personnel, with few exceptions, switched to mandatory full telework in mid-March due to the COVID-19 pandemic. The OEEO Director advised all SEC personnel on the importance of maintaining a considerate and respectful telework environment and reminded the SEC workforce that all EEO laws and protections continued in full force and effect in the new virtual working environment:

Collegiality is one of the hallmarks of the SEC, and we encourage you to continue to show consideration and respect in your interactions with one another and to leverage the support and services available from the Office of Equal Employment Opportunity (OEEO).

Particularly with increased communications by email, it is helpful to reflect in moments of stress and uncertainty on civility in tone and content of messages. Please read the SEC's *EEO Policy* and *Policy on Preventing Harassment* to refresh yourself about rights and responsibilities applicable to workplace interactions. OEEO's *recipe for harassment-free holidays* and the SEC's *guide for disability inclusion in the workplace* are useful resources to review. Please be aware of your behavior toward others and avoid blaming anyone who may contract the novel coronavirus. And please do not assume that anyone has the coronavirus, including based on stereotypes or symptoms.

If you feel that you have been treated inappropriately, please contact the *Office of Equal Employment Opportunity* at [OEEO@sec.gov](mailto:OEEO@sec.gov) or [HarassmentConcerns@sec.gov](mailto:HarassmentConcerns@sec.gov). Also contact us with any questions or concerns—our office is open, and we are here to support you.

In addition, OEEEO staff formed a collaborative working group to develop and publish agency-wide communications on timely and cutting-edge civil rights/EEO-related topics of interest. The inaugural communication reflected on the passing of civil rights titans John Lewis and C.T. Vivian and their courageous work in advancing racial equality in the United States, including the prohibition of discrimination in employment enshrined in the Civil Rights Act of 1964. The communication also acknowledged the unjustified killings of African Americans, and highlighted the EEOC’s Resolution condemning this violence. In these agency-wide communications, OEEEO regularly reminds SEC colleagues to review the SEC’s EEO and harassment prevention policies and to contact OEEEO staff with questions, concerns, or complaints of discrimination.

The efforts of this OEEEO working group are part of a new communications initiative, with the assistance of the SEC’s Office of Public Affairs, to relay critical information on civil rights and EEO-related topics to the SEC workforce and highlight the assistance and technical support that this neutral office offers the SEC workforce. As part of this initiative, OEEEO is working to incorporate communications means described in EEOC’s Report, *Preserving Access to the Legal System: A Practical Guide to Providing Employees with Adequate Information About Their Rights Under Federal Equal Employment Opportunity (EEO) Laws and Regulations* (September 2, 2014).

*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**

<b>SEC Regulations and Procedures</b>
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)
Religious Compensatory Time (for bargaining unit employees) (SECR 6-22)
Policy on Preventing Harassment & Procedures to Implement the SEC’s Policy on Preventing Harassment (SECOP 27-1)
Standards for Equal Employment Opportunity, Workforce Diversity, and Workplace Inclusion (OMWI – September 8, 2016)



The SEC publishes information about the EEO complaint process and the roles and responsibilities of OEEO. Information is placed on the SEC's external and internal websites and in high-traffic areas in SEC buildings and offices to provide employees and applicants for employment with notice of their EEO rights and to highlight the 45-calendar day time limit for contacting an EEO Counselor or OEEO if they believe they have been discriminated against on an EEO basis and wish to enter the administrative complaint process.

The OEEO intranet page contains contact and location information for OEEO, ensuring that employees can easily seek OEEO's assistance—including EEO counseling—in person (until mid-March 2020, when the SEC workforce began mandated telework in response to the COVID-19 pandemic) or virtually. OEEO continued a review of its intranet page and enhanced ease of use, including by highlighting prominently how to report harassment or file an EEO claim. Importantly, to ensure ongoing access to the justice system, OEEO worked quickly to provide new filing-related information applicable given mandated telework, including by reaching out directly to those persons already participating in the EEO process at the SEC and general information on the SEC's public and internal websites.

In FY 2020, OEEO drove significant updates to SEC's external website to achieve compliance with Section 501 of the Rehabilitation Act of 1973 by providing transparent, easy-to-understand information related to requirements under Sections 504 and 508 of the Rehabilitation Act and Architectural Barrier Act (ABA), including how to raise concerns informally as well as how to file a complaint formally alleging a legal violation. With significant support from OEEO, SEC will issue an Administrative Regulation and related Operating Procedures setting forth complaint-filing procedures under Sections 504 and 508 and the ABA in FY 2021.

In FY 2020, the Agency provided new employees with copies of important policies and procedures (including the EEO Policy, Policy on Preventing Harassment, and EEO Dispute Resolution Policy Statement) during orientation and relays additional information about the federal-sector EEO complaint process through a taped presentation. 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, ADR, harassment prevention and reporting, and reasonable accommodation.

This mandatory training is supplemented by additional training and information-sharing. OEEO conducted an in-person, scenario-based harassment prevention training designed to raise awareness of the types of words and conduct that could offend others regardless of intent. This training was updated to be presented in a virtual environment to reach employees on mandatory telework due to the pandemic. OEEO trained over 200 employees in FY 2020 through both the in-person and virtual modules. OHR shared information about the SEC's accommodation program for disability, including providing access to relevant policies and procedures and how to make requests, at *New Employee Orientation*.

In addition, in 2020, the Agency leveraged *SEC Today* (the SEC's daily employee newsletter) to communicate on, for example, religious inclusion, the earning and use of compensatory time for religious practices, and new resources available for managers and employees on reasonable accommodation (for disability and religious practices). These resources included information sheets and on-demand training for managers and employees on reasonable accommodation topics.

In FY 2020, OEEEO continued conducting individual outreach to newly-hired or promoted supervisors and managers within their first few weeks in the position—and prior to more formal training opportunities—to give them immediate information and tools to comply with EEO laws and best practices. In FY 2020, OEEEO staff briefed 32 new supervisors and managers. As part of this outreach, OEEEO 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. OEEEO continues to expand information that is made available in its toolkit, including pandemic-related compliance information and information required by the No FEAR Act. This briefing provides a foundation for subsequent, manager-specific training on ADR, merit principles and prohibited personnel practices, and managing in compliance with EEO laws. OEEEO also creates, conducts, collaborates in presenting, and/or sponsors other trainings on EEO-related topics, as well, including, for example, harassment prevention dialogues and on-demand learning, retaliation awareness under various legal schemes, ADR in the EEO process, contractors and EEO issues, live and on-demand new supervisor training regarding EEO, reasonable accommodation, whistleblowing, and on-demand training related to transgender rights in the workplace.

In April 2020, at the invitation of the Agency's Office of Acquisitions (OA), the OEEEO delivered a virtual presentation entitled "Workplace Rights and Protections for SEC Contractors" to SEC Contracting Officers and Contracting Officer Representatives. This was the first time that OEEEO had presented on this topic, and OEEEO leveraged this opportunity to provide SEC Contracting Officers and Contracting Officer Representatives with an understanding of the types of EEO workplace issues and complaints that SEC contractors might raise, and how SEC Offices and, primarily OEEEO, processes these issues and complaints. The 140 participants at the presentation were highly engaged and, at the conclusion of the presentation, rated their knowledge of the topic very high. Following the presentation, OEEEO revised the presentation to better address some of the questions that were raised, made the presentation 508-compliant, and subsequently posted it on the SEC's learning platform.

Further, the No FEAR Act requires each federal agency to develop a plan to train all employees (including managers and supervisors) about the rights and remedies available under the Antidiscrimination Laws and Whistleblower Protection Laws applicable to them. Office of Personnel Management (OPM) regulations, found at 5 C.F.R. § 724.302(a)(9), require agencies to include No FEAR Act training plans in the annual No FEAR Act Report. The SEC obtained certification from the U.S. Office of Special Counsel (OSC) through its 5 U.S.C. § 2302(c) program (requiring agencies to inform their employees of the rights and remedies available to them under the Civil Service Reform Act [CSRA], the Whistleblower Protection Act [WPA], the Whistleblower

Protection Enhancement Act [WPEA], and related laws) in December 2016. This certification expired December 2019, and OSC recertified the SEC in March 2020. As part of ongoing efforts related to certification, the Agency accomplished the following in FY 2020:

- In spring 2020, OEEO led an update to the mandatory No FEAR Act training to ensure all applicable discrimination and whistleblowing protections for federal employees were included.
- In June 2020, OEEO updated and published on [SEC.gov](https://www.sec.gov) an enhanced No FEAR Act notice describing all anti-discrimination and whistleblowing protections, including venues and timeframes for asserting rights, in an effort to further transparency and ease of finding information for those seeking information on rights under applicable anti-discrimination laws and Executive Orders.
- 223 managers viewed the recording of the training OSC provided in FY 2019 on prohibited personnel practices and merit system principles.
- OGC routinely advises new employees of whistleblower rights during orientation.
- OGC and the Chairman's Office provided notification to all employees of the right to be free from reprisal via an agency-wide email.
- SEC provides information to employees about OSC, Prohibited Personnel Practices (PPP), and whistleblower rights on a designated SEC intranet page.
- SEC's website links directly to OSC's website enabling individuals to learn about their rights and get instructions on where and how to file PPP and whistleblower-related claims.
- SEC placed updated posters from OSC throughout Headquarters and Regional Offices.
- OGC offered training to managers on addressing retaliation, harassment, and discrimination.
- OEEO coordinated a training (for the second year in a row) on retaliation with stakeholders in OGC, OHR, OIG, and the Office of Support Operations (OSO).

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 2020, senior SEC leaders 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 2020:

The importance of diversity, inclusion, and opportunity to the Commission, the financial industry, and our society more generally was brought into stark relief by the events of 2020. The Commission's commitment to these fundamental and performance-enhancing principles is long-standing and we recognize action is needed and progress must continue. In recent years, we undertook a variety of

internal initiatives to further our collective commitment to these principles and each other, including efforts to measure our progress. We also launched a variety of external initiatives designed to further these principles in our markets, including in the areas of investor access and investment management...

In FY 2020, the SEC's advisory committees held meetings focused on issues of diversity, inclusion, and opportunity within their respective market segments.

In FY 2020, the Chairman, Commissioners, and Senior Officers 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 [LGBT] 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, and SEC's senior leadership supports the EAGs and encourages employees to participate in EAG events and activities held throughout the year. Senior leaders spoke at or attended major diversity events this past fiscal year. A list of some events held is included in *Attachment 9*.

The SEC has an active Diversity Council comprised of members of the EAGs, management, NTEU, and representatives from Headquarters and Regional Offices. The SEC's Diversity Council is engaged in working collaboratively on a range of issues to foster diversity and inclusion at the Commission. In FY 2020, the SEC Chairman continued to serve as chair for the Diversity Council, underscoring his support of equity, diversity, and inclusion at the Agency. The Diversity Council launched several new initiatives in FY 2020 including:

- The UN-covering Task Force, led by an OEEEO staff member, which promotes bringing your authentic self to work and establishes five working groups—*Communications, Data/Metrics, Employee Affinity Groups, Facilitated Discussions, and Learning & Development*—to support this initiative;

- The subcommittee on the study of *Fairness and Bias* in the workplace, led by the OMWI Director, which seeks to ascertain employee perceptions of fairness and bias in the workplace; and
- The working group consisting of EAG representatives, which analyzed the Agency’s Federal Employee Viewpoint Survey (FEVS) results and developed recommendations.

OMWI also supported the launch of the Diversity Council’s first [webpage](#) on the SEC’s intranet site, *The Exchange*, as well as helped the Diversity Council launch the new Diversity and Inclusion webpage on [SEC.gov](#) to showcase diversity and inclusion initiatives at the Commission.

In FY 2020, the SEC hosted a number of diversity and inclusion discussions that reflected the Agency’s commitment and support of a diverse and inclusive workplace and marketplace. In particular, as issues surrounding race came to the forefront given societal events, the SEC initiated a number of events and open dialogues to raise awareness and foster a connected culture. For example, OMWI held *Diversity Dialogues*, a series of small group discussions across the Agency led by a staff member in OMWI and one in OEEO that provided a safe space for candid discussions on race and related matters. From June to December 2020, the SEC held 29 *Diversity Dialogues* attended by almost 1,000 staff members. Additionally, the African American Council hosted a virtual *Lunch and Learn* session where over 400 attendees participated in the candid, open, and supportive conversation, which centered on both societal-level issues and the personal experiences of African American colleagues.

Starting in June 2020, Chairman Clayton frequently highlighted equality of opportunity, equity, diversity, and inclusion topics and accomplishments in his newly-launched, weekly communication to the SEC workforce, reinforcing the importance of commitment to these issues in day-to-day SEC operations and the connection of these issues to mission achievement. *See Attachment 5* for a representative list of topics Chairman Clayton highlighted in his weekly communications to staff. In addition, in FY 2020, the Chairman presented the *Isaac C. Hunt Award for Diversity and Inclusion* at a virtual ceremony to a member of the SEC staff to show the Commission’s special appreciation for employees who contribute significantly to the advancement of diversity efforts at the SEC or in their communities.

Significantly, in October 2019, following the SEC’s Chairman active participation in the launch of a cross-agency effort led by the Department of Commerce’s Office of Civil Rights, supporting First Generation Professionals (FGP) in federal service, the SEC’s OEEO conducted an all-day workshop that highlighted SEC leaders and staff who identify as FGPs and shared with the audience their personal journeys as they navigated uncharted territories in their personal and professional lives. SEC personnel and other federal government employees were invited to participate in inspirational and practical panel discussions and workshops on a number of topics, including networking, financial literacy, self-promotion, and resilience. Given the success of the initial workshop, OEEO sponsored a FGP Panel Discussion in October 2020 moderated by Chairman Clayton and featuring FGPs—Federal Deposit Insurance Corporation Chairman Jelena McWilliams and

SEC Commissioner Allison Herren Lee (currently, the SEC’s Acting Chair)—and FGP ally SEC Commissioner Elad Roisman. The SEC’s delivery of these FGP programs has prompted other federal agencies to contact OEEO for guidance, lessons learned, and best practices in delivering similar programming.

The concerted efforts around equality of opportunity, equity, diversity, and inclusion by SEC leadership, the Diversity Council, OMWI, OEEO, the EAGs, and Agency staff may have been fruitful. In December 2020, SEC Chairman Clayton, in coordination with the NTEU President, communicated to all SEC personnel the 2020 Federal Employee Viewpoint Survey results and shared that the Agency’s response rate of 78.5% was the Agency’s second highest since 2012. This compares favorably to the overall government wide response rate of 44.3%. See OPM’s [January 19, 2021, Press Release](#) providing a preview of highlights from the 2020 FEVS Government wide results: [www.opm.gov/news/releases/2021/01/opm-federal-employee-viewpoint-survey-preview-highlights-of-governmentwide-2020-results/](http://www.opm.gov/news/releases/2021/01/opm-federal-employee-viewpoint-survey-preview-highlights-of-governmentwide-2020-results/).

#### *The SEC’s FY 2020 Federal Employee Viewpoint Survey (FEVS) Results*

In addition to significant gains in overall FEVS average scores (78% positive, representing a 6 percentage point increase over 2019), the scores on the following key indices related to engagement, satisfaction, inclusion, and leader effectiveness increased by 6 – 7 percentage points compared to prior year (2019) data:

- **Global Satisfaction Index:** 82% positive (7 percentage point increase);
- **Employee Engagement Index:** 82% positive (6 percentage point increase);
- **Leader Effectiveness Index:** 75% positive (6 percentage point increase); and
- **New Inclusion Quotient Index (the New IQ):** 75% positive (6 percentage point increase).

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 2020 was 75 percent positive, which was 6 percentage points higher than the Agency’s overall New IQ for 2019, and the highest percent positive score for the Agency in the last nine years. The SEC’s scores on each *Habit of Inclusion* increased between 3 and 8 percentage points across all of the subfactors: Fair (up 8 percentage

points); Open (up 5 percentage points); Cooperative (up 8 percentage points); Supportive (up 3 percentage points); and Empowering (up 8 percentage points). Across all five subfactors, these are the highest percent positive scores attained by the SEC in the past nine 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 increased by 2 to 6 percentage points between 2019 and 2020, reaching 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
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%
Q45 - My supervisor is committed to a workforce representative of all segments of society.	73%	76%	80%	82%	81%	84%
Q55 - Supervisors work well with employees of different backgrounds.	64%	68%	77%	78%	77%	83%

*Source: Federal Employee Viewpoint Survey 2020, retrieved on February 10, 2021.*

The SEC also examines FEVS results by key demographic groups (e.g., age, gender, race/ethnicity, SEC tenure, supervisory status, sexual orientation, veteran status, and disability status). The SEC made significant improvements across all demographic groups. In results broken down by gender, age, and SEC tenure, all subgroups saw increases between 5 and 9 percentage points across the FEVS average, Employee Engagement Index, Global Satisfaction Index, and the New IQ. In the results broken down by race, Asian American employees and White employees saw increases between 5 and 7 percentage points, with Black or African American employees and Hispanic employees seeing increases between 2 and 5 percentage points across the four key indices.

In 2020, the SEC made significant gains in items related to diversity, inclusion, and opportunity; fairness; empowerment; perceptions of senior leaders; communication; collaboration; and creativity and innovation. In an email to SEC staff, Chairman Clayton recognized that employee feedback helped drive the Agency’s focus and commitment to making improvements in these areas, particularly, in the areas of employee growth and opportunity, staff empowerment, and diversity and inclusion, including in the area of senior management representation.

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

MD-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.*

To minimize repetition, these compliance indicators will be addressed together.

As a direct report to the SEC Chairman, the OEEEO 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 Chairman on December 23, 2020, to the OEEEO Director which authorizes the OEEEO 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 (MD-110). The OEEEO Director also has direct and regular access to the Chairman, Commissioners, and other senior-level management officials.

In addition, in FY 2020, the SEC had sufficient resources, budget, and qualified staffing to implement a successful EEO program. In FY 2020 (as in previous years), OEEEO had a standalone budget and was authorized to fill two full-time positions to complement OEEEO's team. OEEEO is a small team of diverse professionals with significant expertise and includes:

- The Director (an attorney with extensive labor and employment compliance expertise);
- A Deputy Director (an attorney with extensive labor and employment compliance expertise from multiple sectors);
- An EEO Compliance and Resolutions Branch Manager (a former EEOC Administrative Judge, and attorney with extensive labor and employment compliance expertise);
- Five Attorney Advisors with significant litigation and EEO compliance experience;
- An EEO Specialist;
- Three Management and Program Analysts, one of whom is a social scientist; and
- An Industrial/Organizational Psychologist.



The duties and responsibilities of these EEO officials and personnel are defined in position descriptions, annual performance plans, EEOC guidance, and in related standard operating procedures OEEEO has developed.

In FY 2020, three contractors and three student interns were available to assist OEEEO in identifying and working to eliminate identified barriers to employment for all protected groups. OEEEO 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. By leveraging these various resources at different stages of the EEO complaint process, OEEEO 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.

In FY 2020, all counselors and investigators satisfied the 32 hours of training and/or eight hours of refresher training required by EEOC MD-110. Likewise, in FY 2020, OEEEO 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. OEEEO will work on leveraging additional training opportunities and enhancing skills and cross-training for all staff in future fiscal years.

In coordinating the SEC's overall EEO activities, the OEEEO Director also leverages the efforts of staff in other offices with primary responsibility for aspects of the EEO Program not controlled by OEEEO. OEEEO collaborates with OMWI on workforce D&I issues, including affirmative employment efforts led by OEEEO (e.g., barrier analyses) as well as special emphasis programs. OEEEO 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)*. OEEEO consults with OGC to ensure compliance with OEEEO and EEOC decisions and orders. OEEEO coordinates with OIG and OGC to encourage sufficient workforce training on whistleblower protections and prohibited personnel practices under federal civil service laws.

OEEEO also works with management, OHR, OGC, and OIG related to the SEC's anti-harassment policy and program. Pursuant to the SEC's anti-harassment procedures, management, in conjunction with OHR and/or OIG, are responsible for conducting investigations related to harassment.

Working together, as appropriate, staff from these (and sometimes other) offices and teams collectively enabled the SEC during FY 2020 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 2020, the OEEO Director met (in-person, and virtually beginning in March 2020) with the Chairman and each Commissioner regularly and also frequently communicated with Senior Leadership, including 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 OEEO 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, the OEEO Director and designated staff participate in major meetings and initiatives regarding workforce changes that might implicate EEO issues or negatively impact any protected EEO group. For example, in FY 2020:

- OEEO contributed its subject matter expertise to the SEC’s first *Diversity and Inclusion Strategic Plan*.
- OEEO provided input to the SEC’s Recruitment Strategy to align it with the SEC’s *Affirmative Action Plan for Persons with Disabilities*.
- OEEO provided consulting services to OHR related to a newly-forming executive selection program (Senior Officer Cohort Program) and SEC compensation-related policies and practices.
- OEEO finalized the process for and transitioned two barrier analysis studies to the Agency’s Chief Operating Officer for management action.
- OEEO completed and shared results from formal program evaluation on the implementation of the Agency’s policy on screening and interviewing job candidates.
- OEEO developed and published the SEC’s procedures related to processing parental status, sexual orientation, and gender identity complaints pursuant to Executive Orders 13152, 13087, and 13672.
- OEEO continued to lead Agency efforts to finalize procedures related to processing complaints filed under Sections 504 and 508 and the Architectural Barriers Act.
- OEEO drove discussions to better define roles and responsibility within the SEC related to compliance with Sections 504 and 508 of the Rehabilitation Act.

- OEEO worked collaboratively with key stakeholders on revising the SEC’s public website for accessibility reasonable accommodation information.
- OEEO continued to collaborate with OHR to enhance supervisory and employee training offered by SEC University (SECU) College of Leadership and Team Development (CLTD) to ensure that EEO concepts are addressed in new employee orientation, CLTD 307, as well as trainings on the No FEAR Act and harassment prevention. OEEO staff served as trainers in CLTD 307.
- OEEO contributed EEO expertise on several Administrative Regulations and SEC Operating Procedure reviews including, Reasonable Accommodation under the Rehabilitation Act, and the SEC’s 508 Policy.
- OEEO identified opportunities for the SEC to enhance its religious accommodation program, resulting in a new on-demand training module offered to SEC employees and enhanced communications related to religious inclusion and accommodation.

As noted above, both the SEC *Strategic Plan* and the *Diversity and Inclusion Strategic Plan* reference EEO and D&I principles, committing the Agency to full compliance with all 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 OEEO Director will continue to work through the SEC’s Operating Steering Committee regarding personnel, budget, technology, and other issues to provide an EEO perspective, proactively and prior to final decisions being made. Further, OEEO will continue to seek partnership from OHR and OMWI in report and policy development and review so that an EEO perspective and 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. The Commission’s strategic plans, described above, emphasize this business imperative. OHR develops recruitment plans to attract and retain Senior Officers based on pre-determined skillsets needed for the role.

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 2020, OMWI offered various online, virtual and live classes to help managers supervise effectively in the SEC’s diverse work environment. For example, OMWI offered six virtual sessions of “Conscious Equity 2.0,” a course primarily targeting managers and supervisors at Headquarters to help foster a connected culture where team members can feel empowered, psychologically safe, and prepared to manage self and others. The course was well-received with almost 600 staff members participating, including 370 supervisors

and managers from Headquarters and 142 from the Regional Offices. These sessions were followed by 18 group discussions led by a facilitator where staff shared ideas about implementing some of the strategies covered by the course. Over 2,000 SEC staff members across the Agency participated in these discussions.

Similarly, the SECU College of Leadership and Team Development 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. Information on leadership development by grade levels is below:

#### Senior Officers (SOs)

In FY 2020, Senior Officers participated in SECU seminars that provided leadership best practices and cutting-edge self-paced resources on current leadership best practices. Courses included: *Learning to Manage in a Complex World*, *Managing in a Virtual World*, and *Leading Author* discussions on *Accountable Leaders*. SOs 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. SECU also designed and introduced a SO seminar series that included courses on *Leading Through Uncertainty, Ambiguity and Transition*, *Preparing for the Unpredictable*, and *Strategies for Agility, Effectiveness and Awaken Your Team*. Anticipated outcomes from the SO seminar series include:

- Establishing rapport and meaningful connection with 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;
- Inspiring an organizational culture of inclusion, ownership, and results; and
- Cultivating a culture that embraces diversity of thought and experiences.

In FY 2020, the SEC initiated the development of the SO Cohort 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 creating a centralized, agency-wide selection program that initially screens candidates on essential leadership competencies in a fair and legally-compliant manner.

As an initial step in developing this program, the SEC conducted a competency study to identify and validate the leadership skills required of all SOs. The study began with an extensive review of competency model research, including the leadership models developed and validated by OPM and the SEC. OHR worked closely with a diverse group of SOs to conduct an iterative review of the model and tailor it to align with critical SO leadership skills required at the SEC. Once finalized, all SOs received a competency survey to identify the most critical leadership skills across the Agency. This information will serve as the foundation for developing leadership assessments during the next development phase in FY 2021.

OHR is developing the SO Cohort Program with a high level of rigor to ensure it provides a standardized, fair, and lawful approach for selecting SOs. Special advisors from OEEEO and OMWI provided technical assistance to ensure all program materials and processes emphasize and support fairness, diversity, and inclusion, including with respect to requirements under Section 501 of the Rehabilitation Act related to mentoring and advancement of persons with disabilities. In FY 2021, OHR will launch a communications campaign to educate SEC employees on the program and create awareness, specifically emphasizing that the program offers an inclusive and open opportunity to advance for those employees willing to self-develop in the leadership skills targeted by this program.

#### SK-17 Managers

In FY 2020, SECU facilitated its fourth annual leadership development seminar series entitled *Virtual Team Engagement and Effectiveness*, which expanded on content in prior years' popular leadership development seminar series for SK-17 leaders. During these virtual 90-minute seminars, Regional- and Headquarters-based managers developed their team-based leadership capabilities and competencies. In FY 2020, the interactive, three-part series included *Delegation for Virtual Ownership and Engagement*, *Managing Virtual Accountability and Workflow*, and *Next Level Meeting Mastery*. Each session was presented with the goal of:

- Understanding communication styles and the impact of personality in the workplace to more effectively gather, discuss and disseminate information between teams and stakeholders;
- Recognizing and valuing individual differences, and treating all team members with respect;
- Managing individual and group workflows to maintain accountability and encourage strong relationships;
- Inspiring professional development for others by broadening skillsets and developing new competencies; and
- Fostering trust behaviors and building resilience to maintain high performance.

### SK-15 Supervisors

In FY 2020, the Leadership Development Seminar Series for SK-15 supervisory staff, *Developing and Maintaining Effective Organizational Relationship*, included courses on *Building Effective Relationship Networks*, *Communicating for Understanding and Influence*, and *Diagnose and Troubleshoot Communication Breakdowns*. First-level supervisor seminars and programs focus on supporting and increasing innovation and creativity at the first-line supervisor level in the SEC. These courses are intended to expand SK-15 supervisors' leadership skills and to help them:

- Identify the best operating modes to help lead teams to achieve their various outcomes and make team communications clearer and more effective;
- Hold team members accountable for commitments in a constructive and positive manner to maintain trust and respect; and
- Introduce a variety of practical strategies for addressing issues and difficult conversations in ways that strengthen, rather than weaken, the group or team.

### All Managers

SECU offerings provide specialized, targeted leadership development for all managerial levels at the SEC, thereby emphasizing the importance of leadership skills for all who formally lead others. All managers have access to *All Things Management (ATM)* and the *AskHR* portal on the SEC's intranet, which 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. SECU's FY 2020 leadership offerings were designed or re-designed for easily accessible and effective delivery in the virtual environment. In-person and virtual sessions included: *Learning to Manage in a Complex World*; *Managing in a Virtual World (multiple offerings)*; *Leader as Coach*; *Fundamentals of HRM*; *Next Level Meeting Mastery*; and *Leading Author* discussion focused on *Accountable Leaders*.

All SEC managers are eligible to receive twelve sessions of private executive coaching. The coaching supports managers as they pause, reflect, and explore new options for their careers and actions. In FY 2020, approximately 71 managers participated in this executive coaching program. As a supplement to in-class training and coaching, the SECU published its *Summer Reading* list, available to all SEC staff. Each of the books on this list promotes the baseline leadership culture of inclusivity and engagement and best practices for leading self and others that the SEC is working to maintain. Books are available online at no cost. The book list included: *The Art of Authenticity: Tools to Become an Authentic Leader and Your Best Self* by Karissa Thacker; *The Long-Distance Leader* by Kevin Eikenberry; and *Feedback and Other Dirty Words* by M. Tamara Chandler.

The SEC also has the following required supervisory training:

- **Fundamentals of Human Resource Management (CLTD 307):** CLTD 307 is required for all new SEC managers. This course 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 including the SEC’s policies on the prevention of workplace violence, providing accommodations, and EEO and whistleblower protections are extensively covered. During 2020, CLTD 307 was updated from in-person training to a highly-interactive two-hour, two-day offering to meet participants’ and Agency needs during the pandemic. Participants complete required eLearning online modules on human capital-related topics that prepare them to participate in the in-person classroom session. The EEO training module provides fact-based scenarios and video content for discussion and in-depth teaching on the SEC’s EEO complaint process and substantive EEO laws. The training also covers the Merit Principles and Prohibited Personnel Practices as foundational to federal employment; cards containing this information are provided to all participants in required supervisory training. Subject matter experts facilitate 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. During FY 2020, the College of Leadership and Team Development sought assistance from the SEC’s Office of General Counsel and the Office of Special Counsel to re-create wallet cards listing the Merit System Principles and Prohibited Personnel Practices (formerly provided by OPM). Wallet cards, available in hard copy and soft PDF copy, are provided to new and tenured SEC managers.
- **Leader as Coach (LAC):** In FY 2020, due to the pandemic, SECU re-designed the Leader as Coach course—formerly a full-day, in-person mandatory offering—for facilitation in a virtual environment. LAC is for management at all levels in the SEC. The course is focused on helping managers to provide coaching and feedback to all employees, thereby promoting agency-wide learning and emphasizing career growth. Managers worked together to discuss a wide variety of case studies and role-played to practice listening and providing coaching or feedback. SEC managers attend two highly-interactive three-hour virtual sessions to enhance and 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. Offerings are ongoing for new SEC managers.

*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 2020, 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, 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 eleven 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 Section A.2 above (Compliance Indicator A.2) 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. Further, 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 listed 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 2020, the Commission re-issued the SEC’s Policy on Preventing Harassment, and, in combination with the Procedures to Implement the SEC’s Policy on Preventing Harassment (issued in June 2019), set forth the anti-harassment policy and program pursuant to the *Faragher-Ellerth* line of Supreme Court cases and the EEOC’s *Enforcement Guidance on Vicarious Employer Liability for Unlawful Harassment by Supervisors*. Taken together, these documents set forth all of the criteria established in the enforcement guidance which requires:

- A clear explanation of prohibited conduct;
- Assurance that employees who make complaints of harassment or provide information related to such complaints will be protected against retaliation;
- A clearly described complaint process that provides accessible avenues of complaint;
- Assurance that the SEC will protect the confidentiality of harassment complaints to the extent possible;
- A complaint process that provides a prompt, thorough, and impartial investigation; and
- Assurance that the SEC will take immediate and appropriate corrective action when it determines that harassment has occurred.

Based on technical assistance from the EEOC provided in FY 2020, the SEC is updating its procedures to provide further clarity on some of the criteria referenced above. The policy and procedures provide a clear explanation of prohibited conduct. As set forth in the procedures, OEEO has established a firewall between the anti-harassment program in OEEO and the OEEO Deputy Director that is based on the type of work that OEEO staff performing Faragher-Ellerth related duties undertake. OEEO staff serve as an intake point for harassment concerns and conduct educational outreach when requested by management; management, in conjunction with other SEC stakeholders such as OHR, OIG, and OGC, remains responsible for gathering information, investigating concerns, and taking prompt corrective action, as needed, under the circumstances. This structure maintains OEEO's independence from the decision-making process on harassment complaints, thus minimizing the potential for a conflict of interest that could arise if OEEO processes an EEO complaint under Part 1614 involving the same or similar acts of alleged harassment. In FY 2020, the OEEO complaints team continued to formally refer and track all allegations of harassment received as part of the informal or formal complaint process.

The SEC's proactive harassment prevention program is grounded in training and early intervention. Program efforts are designed to reduce the incidence and impact of EEO-based harassment. OEEO facilitates interactive harassment prevention dialogues with the SEC workforce of managers, supervisors, non-supervisory employees, and contractors. These dialogues raise awareness of behaviors that could be offensive on an unlawful basis regardless of intent and promote an environment in which concerns can be addressed and resolved expeditiously and respectfully, thus emphasizing the benefit of immediate reporting. They also introduce participants to the value of bystander awareness in preventing harassment. Interactive sessions help educate parties as to how the behavior was perceived and why it could be problematic and inappropriate at work. In FY 2020, the pandemic caused a significant reduction in the number of in-person training sessions; 10 training sessions were held, and approximately 200 employees and contractors participated. OEEO developed a virtual training module to deliver to employees as the SEC transitioned to mandatory telework. In line with published scientific literature in this area, this program is based on voluntary participation to increase open disclosure of potential concerns and facilitate transfer of learning to the job. Within the SEC, the well-respected PPH program has grown through word-of-mouth and recommendations from participants. In early FY 2020, OEEO presented a concentrated version of the program to the SEC Chairman, the Commissioners, and their staff.

OEEO had many contacts regarding potential PPH concerns in FY 2020, and most led to pre-emptive resolution because corrections were made to avoid or resolve the potential PPH issue at the onset before it escalated. Over the past six years, the volume of proactive contacts to OEEO has increased from fewer than 30 in FY 2015 to a high of 82 inquiries in FY 2020. OEEO conducted coaching sessions related to preventing harassment often as a follow-on to the outreach described here; 89 SEC participants benefitted from these coaching sessions. Greater societal awareness and the PPH program's positive reputation for confidential (to the extent possible) and quality consultation and coaching has encouraged and led to wider adoption of proactive prevention efforts among leaders and employees. As indicated above, the Commission published

new operating procedures in June 2019, which define steps to be taken by parties in response to an alleged harassment incident as well as methods to prevent or address any potentially retaliatory response. Establishing and posting these procedures, jointly signed by the OEEEO Director and the Chief Operating Officer (COO), help communicate both the importance of harassment prevention and the Agency's commitment to the program's goals and intent.

Similarly, the SEC has in place a Reasonable Accommodation Policy and program to ensure that applicants and employees know about their right 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. The SEC continues to make progress enhancing this program, and in FY 2019, EEOC informed the Agency that its proposed policy, standard operating procedures, and forms had been approved and comply with applicable EEOC regulations and guidance. The Commission is finalizing these documents internally and will disseminate and train appropriate staff on the revised policy and procedures (and forms), and post them on [SEC.gov](https://www.sec.gov), as required under the new Section 501 Affirmative Action Regulations, and on the internal interactive portal *AskHR* in FY 2021. As separate offices, there is a clear firewall between OEEEO and OHR—the office administering the SEC's reasonable accommodation and PAS programs. Additional information about the SEC's reasonable accommodation program and efforts to correct deficiencies can be found in *Part E* and in *Part J, infra*.

The SEC's administrative regulation and operating procedures on religious accommodation are under development. These policy documents will be reviewed by key stakeholders and are expected to be finalized by December 2021.

*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 language included, however, 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.*

OEEO 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 substantive reviews of SEC strategic workforce plans, policies, and procedures. The CHCO, OEEO Director, and the OHR and OEEO Deputy Directors meet monthly to discuss various personnel programs, policies, and procedures.

Significantly, OEEO has made preparing and delivering briefings on barrier analysis to OHR leadership and program offices and other internal stakeholders a sustained priority to raise awareness of the cross-cutting nature of this work, to highlight intersections and areas for collaboration in report-writing and data gathering, and to increase buy-in from partners across the SEC to EEO-related strategic planning. Another successful area in which OEEO and OHR have coordinated include regarding grievances and MSPB appeals and related EEO complaints to ensure the same matter is not dual-processed inappropriately under applicable legal authorities. Although OMWI primarily worked with OHR to focus on outreach and recruitment for SEC’s workforce, OEEO will work on enhancing coordination with these efforts in line with areas for study and/or

opportunities identified through its barrier analysis work and to contribute an OEEO perspective to future SEC recruitment strategies. Finally, OHR 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 all perspectives are represented.

*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 20, 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 2020, OEEO did not issue any findings of discrimination. In the event of a finding, and as required by 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 would provide 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 would be 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.

The SEC has held employees accountable for inappropriate conduct as necessary under the circumstances. For example, two employees were disciplined in FY 2020 in accordance with Agency policy related to conduct found to be inconsistent with EEO laws.

*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 in the first place.

The OEEO intranet page, 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 2020, 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 conducting two barrier analyses; formally transitioned two analyses for management action; briefed relevant incumbents, supervisors, and 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 processes 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.

## 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 ongoing 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) leads 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 is 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 supported by contractors who have expertise in data analytics.

OEEO continued to mature the barrier analysis program in FY 2020. OEEO continued to use Agile principles and work methods (these include cross-functional and self-organizing teams, emphasis on collaboration and continuous learning, and speed up value creation through incremental delivery) in its barrier analysis program.

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

The SEC will continue to conduct research that helps to identify barriers (if any) and areas of improvement to EEO for specific segments of the workforce and applicants to the Agency. Research into barriers will be conducted using EEOC's recommended methodologies and by applying best practices in social science and Industrial/Organizational psychology. OEEO conducts 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 2020:

- OEEO extended the barrier analysis program's reach to gather data from incumbents serving in the accountant occupation in close coordination with OHR and Union representation. The information gathered directly from employees potentially impacted by study results was invaluable—both to support comprehensive analytic results and to facilitate later organizational change.

- As part of its program evaluation, OEEO 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. OEEO 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.
- OEEO continued work on the equal employment opportunity analytic tool and the related self-service workforce data summary tools to coordinate with the instructions provided by the EEOC’s Office of Federal Operations (OFO). These tools enable users to review data on the demographic composition within specific occupations of the entire workforce, newly-hired staff, Applicant Flow Data (AFD), and separations by critical organizational characteristics.
- OEEO 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.
- OEEO obtained contracting resources to support the planning and development of a barrier analysis research agenda. The 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.

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

**a. Barrier Analysis Study: Persons with Disabilities and Persons with Targeted Disabilities**

The SEC continued work to analyze and support its commitment to affirmative employment of persons with (targeted) disabilities. During FY 2020, OEEO updated and improved workforce summaries about the Agency’s employees with (targeted) disabilities. Data summaries and visualizations on this workforce were shared, upon request, with OHR’s Disability Program Office and informed OMWT’s efforts to update and improve the Disability Dashboard. Beyond the workforce data summaries, OEEO’s study of persons with (targeted) disabilities both informed and benefited from the Agency’s leadership commitment to disability inclusion. More broadly, during FY 2020, the SEC continued preparations for implementation of the revised regulation through a variety of actions coordinated across OEEO, OHR, and OMWT. Information about the study of PWD and PWTD, as well as accomplishments and actions related to those efforts, can be found in the SEC’s *Affirmative Action Plan for Persons with Disabilities*. This study closed in FY 2020.

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

During FY 2020, OEEO concluded and shared with Agency leadership results from the analysis of the distribution of discretionary cash and time-off awards to employees in different groups. Based on OEEO’s research summary, Agency leadership, under the direction of the COO, considered and initiated management action toward improvement in areas of awards distribution identified by the study. Actions by OHR emerging from these efforts were defined for implementation starting in FY 2020. These actions include improved leadership-focused guidance and reporting on awards distribution throughout the year. This study closed in FY 2020. OEEO will monitor actions taken in response to the study’s results going forward. Additional information about this study is included in *Part I* of this report, *infra*.



c. **Barrier Analysis Study: Analysis of the accountant occupation**

Research into the participation of women in accountant positions continued in FY 2020. OEEO updated prior work on quantitative analyses, synthesized data gathered through various means as part of this study, summarized the full set of research evidence, and developed briefing materials for various stakeholders. The research phases for data collection, integration, and interpretation in this study are now complete. During FY 2021, OEEO will share research results and transition this study for management action. Additional information about this study is included in *Part I* of this report, *infra*.

d. **Barrier Analysis Study: Analysis of the attorney occupation**

Research into the participation of men in attorney positions continued in FY 2020. The attorney occupation is the SEC's occupation with the largest employee population. OEEO expanded review of workforce data on the SEC's attorney occupation, interviewed experts involved in recruiting and hiring attorneys for the Commission, conducted social science research on the incentive for male attorneys to separate from public service and enter private industry, conducted regression analyses on the hiring of attorneys, and prepared data for further analysis of separations. Secondary research on Agency datasets and basic proportional comparisons suggest market forces may account for the difference in participation rates. In FY 2021, OEEO will conduct additional regression analysis on the separation of attorneys, and data analysis related to the promotion of attorneys at the Agency. Additional information about this study is included in *Part I* of this report, *infra*.

*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. In FY 2020, OEEO implemented a new framework in which final studies and opportunities identified by OEEO are provided to the SEC's COO, who, in turn, consults with relevant management and provide updates on action planning and implementation. Pursuant to the framework:

- The COO and other relevant management officials provide SEC management's written response to the analysis no later than 60 days after receipt, including what actions the SEC will 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 the OEEO Director meet three times a year to discuss the status of the SEC management's action planning. These meetings are also an opportunity for OEEO and SEC management to assess any observable impacts and engage in additional consultation.
- The COO provides OEEO and the Chairman's Office with a report annually discussing the status of SEC management's actions and action planning that relate to OEEO's analyses. The report is provided a month after the end of the fiscal year so that OEEO can include the information in the SEC's next MD-715 report.

This framework provides the means not only for action planning, but also for the monitoring necessary to ensure accountability. Initial meetings pursuant to the new framework have been positive with respect to adding transparency and rigor in addressing OEEO's 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.*

Year over year, the SEC complaints program continues to improve. In early FY 2020, OEEO onboarded a Compliance and Resolutions Branch Manager dedicated to maintaining and enhancing the quality and timeliness of all aspects of the Part 1614 complaint process.

Under the Branch Manager, 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, timely processing of EEO matters. OEEO continued to make enhancements to the complaints program in FY 2020, including, for example:

- Seamless transition to electronic complaint processing in light of the pandemic and the SEC’s mandatory telework posture since mid-March 2020;
- Continuing to distribute the educational resource, *Top 10 Reasons to Consider ADR*, to management officials and employees to increase participation in ADR;
- Identifying opportunities and developed strategies to bring greater awareness of the compliance program, such as through the SEC’s daily employee newsletter and updated the OEEO intranet site to highlight in plain language the programs and staff responsibilities for complaint processing, ADR, and preventing harassment;
- Creating templates for Final Agency Decisions and Final Agency Orders; an updated witness notification to include sanctions language pursuant to 29 C.F.R. Part 1614; revision to acceptance letters to eliminate redundancies; and updated complaints program standard operating procedures and forms including, an updated intake form and process to identify cases for ADR earlier, and iComplaints security and recordkeeping requirements;

- Enhancing quality control of data entry for complaints tracking to be consistent with EEOC guidance regarding issues and corrective actions; enhancing complaints-related tracking tools including, for example, related to referrals to and from OEEO, open case status, and upcoming due dates;
- Assessing quality-control measures related to EEO complaint-processing contractors to ensure they are providing quality work;
- Continuing use of generic email accounts to ensure ready access to OEEO staff;
- Leveraging facilitation services offered through OHR for some counseling matters;
- Expanding the pool of mediators and EEO counselors available through contracts;
- Streamlining the acquisitions process for complaint processing services, including contract mediators, EEO Counselors, and EEO Investigators; and
- Developing and issuing procedures for processing claims of discrimination raised pursuant to Executive Orders regarding parental status, sexual orientation, and gender identity.

In FY 2020, OEEO completed 34 counselings under Part 1614. All but one counseling completed in FY 2020 qualified as timely under 29 C.F.R. § 1614.105, and the one counseling was completed beyond the 90 days due to provisions in the settlement agreement allowing the required time for revocation pursuant to the Older Workers Benefit Protection Act, 29 U.S.C. Section 626(f). Five counselings were timely completed within 30 days, and 16 traditional counselings were completed timely with written extensions of no longer than 60 days. Twelve counselings were processed through the SEC’s ADR program and were timely completed within 90 days. Of the 34 counselings completed, 17 were resolved at the informal stage. In each of these counselings, 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 counseling session and also later in writing.

In FY 2020, 16 new formal EEO complaints were filed under Part 1614—compared with 24 in FY 2019. In all new formal complaints, the Agency issued acknowledgement letters. Of the new formal complaints that were filed in FY 2020, the average length of time for issuing the acknowledgement letter increased following the loss of administrative support and delays caused by the pandemic. In one instance, receipt of the formal complaint was delayed by several weeks due to the pandemic. In addition, 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 2020, OEEO conducted investigations of formal EEO complaints in a timely fashion. Of the 15 investigations completed during FY 2020, one was untimely. (The agency processing a conflict case on behalf of the SEC did not begin the investigation until after receipt of the hearing request; OEEO has enhanced mechanisms for overseeing conflict complaints processed by other federal agencies.) 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 2020, two Final Agency Decisions (no discrimination found) were issued. In FY 2020, the discrimination bases alleged most frequently at the SEC were: reprisal (12), sex (nine), race (seven), age (five), and disability (five). For comparison purposes, according to the most recent EEOC report available, EEOC's Annual Report on the Federal Workforce for FY 2018, Complaint Tables (EEOC's Annual Report), the top five bases in complaint allegations filed for FY 2018 were reprisal/retaliation, age, disability—physical, sex—female, and race—Black/African American. In FY 2020, the issues most frequently raised at the SEC were: terms/conditions of employment (11), non-sexual harassment (nine), assignment of duties (five), promotion/non-selection (two), and performance evaluation/appraisal (two). 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 reiterate this message in other routine briefings, 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 a longstanding 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 makes clear 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.

OEEEO 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*, both launched in FY 2019. OEEEO continued to provide the tip sheet to employees and management officials when ADR was approved in FY 2020. OEEEO also quickly created a virtual structure for ADR to ensure that ADR remained viable in a mandatory telework environment.

The SEC allocated funding to use contract ADR professionals to resolve workplace disputes; in some instances, OEEEO 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. OEEEO works with OGC to ensure that an official with settlement authority is accessible during the dispute resolution process.

In FY 2020, OEEEO processed a total of 34 informal complaints (informal complaints carried over from FY 2019 and new informal complaints initiated in FY 2020). Among these, the option to pursue ADR in lieu of traditional EEO counseling was routinely explained to counsees. Through C2R, OEEEO conducted 14 mediations during both the formal and informal process; six or approximately 42.9% of these matters settled or resulted in the counselee not filing a formal EEO complaint. Compared to FY 2019, resolution rates for informal and formal mediations dropped slightly (45.5% in FY 2019 versus 42.9% in FY 2020) while participation rates increased (11 mediations in FY 2019 versus 14 mediations in FY 2020). OEEEO will continue to monitor whether efforts to increase ADR participation and resolution rates are successful.

*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 Micropact 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 Program uses SEC Forms 2937 and 2938 to capture, track, and analyze processing of requests for reasonable accommodation or PAS.
- OMWI and OHR track recruitment efforts through Microsoft Excel 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 2020, OEEEO examined data to identify potential problems, spotted trends, and developed action plans for the next fiscal year.

As reported in the SEC's FY 2020 No FEAR Act report, 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.

- Raising awareness through sharing personal stories about words and conduct that could be perceived as offensive in the workplace can help reduce EEO complaints alleging harassment. OEEO will continue to monitor educational efforts to determine if this impact is sustained over the longer term.
- 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 is applying the above experience and insights in planning its priorities. A primary focus will be implementing Goal 3 of SEC *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). In addition to supporting the implementation of the SEC *Strategic Plan*, in FY 2020, OEEO:

- Continued to process all informal and formal complaints and requests for ADR in compliance with 29 C.F.R. Part 1614 and EEOC MD-110;
- Supported 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, revising the public website for accessibility and reasonable accommodation information, reviewing and updating SEC’s reasonable accommodation and Section 508 policies, and leading efforts to finalize complaint procedures related to accessibility issues under Sections 504 and 508 of the Rehabilitation Act;
- Conducted ongoing barrier analyses, including monitoring action plans that effectively address identified barriers; and
- Collaborated with the federal sector EEO community to share and learn best practices and innovative approaches to enhance equality of employment opportunity.

More generally, OEEO will continue to support the SEC in focusing on the following objectives during FY 2021:

- Continuing to incorporate the EEOC's Six Essential Elements of a Model EEO Program to achieve greater program effectiveness;
- Briefing senior leadership on the state of the EEO Program to reaffirm support for the program, provide awareness of issues and trends (systemic or otherwise), and solicit input on strengthening the EEO Program;
- Maintaining accuracy of EEO complaint data;
- Leveraging internal communication channels to distribute EEO-related information and promoting communication of information and early intervention to help officials identify the issues and bases that may give rise to EEO complaints;
- Training supervisors and managers to provide proactive approaches to resolving issues stemming from alleged violations of personnel policies and practices;
- Fostering constructive, open, continuous communication between employees and management to help resolve workplace conflicts at the earliest possible opportunity, and ensuring that employees, management officials, and persons with settlement authority understand the purpose and value of ADR;
- Increasing employee awareness of EEO statutes;
- Continuing 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;
- Reviewing information from employee surveys, exit interviews, focus groups, and training to identify opportunities for improvement; and
- Incorporating EEO best practices gained through the SEC's coalitions with other federal agencies.

Consistent with these objectives, to identify and keep abreast of significant external EEO complaint processing trends and best practices, OEEO compares SEC data with data for similar size and mission-focused agencies using existing and available government wide federal sector reports. OEEO personnel also review new EEOC regulations, guidance, and case law updates (such as the EEOC's Digest of EEO Law); monitor current development periodicals; and consult other external expert resources. In addition, the OEEO Director attends EEOC's Quarterly EEO Director Meetings to learn from other EEO directors and share innovative ideas. Similarly, OEEO staff take advantage of OPM knowledge-sharing vehicles and network with EEO professionals in numerous other contexts (such as at annual Federal Dispute Resolution and EEOC EXCEL conferences). Staff also participate in inter-agency EEO councils (such as the Small Agency Council EEO/ODI Committee) and more informal cross-government task forces.



This concerted, sustained engagement with EEO peers and other colleagues help OEEEO learn about and share EEO best practices. For instance, during FY 2020, OEEEO staff led and/or participated in ad-hoc inter-agency working groups formed to share best practices for implementing the EEOC's new Section 501 Affirmative Action Regulations and preparing MD-715 reports. OEEEO's training approach was shared even more broadly when OEEEO presented a virtual training session at the national FDR Training in August 2020 to over 300 attendees. OEEEO also met with EEOC's OFO to share information about the PPH program, and the outcome of those discussions is the participation of OEEEO's PPH staff in the EEOC's Education Consortium and Speakers Bureau. The SEC understands that OFO is considering building an experiential component to its own harassment prevention program.

## 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 time frames; 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 (AJs) 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, OEEO staff will check FedSEP regularly to ascertain whether the matter has been docketed. Regardless of docketing status, OEEO 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 2020, the SEC timely responded and fully complied with all EEOC orders issued as part of the hearings and/or appeals process, including an order to conduct a supplemental investigation, which was timely completed. 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, OEEO 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 2020, all annual reports were accurate and complete and submitted early or on time. Also in FY 2020, OEEO 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). OEEO also developed protocols to publish the MD-715 reports while protecting privacy and published the FY 2017, FY 2018, and FY 2019 MD-715 Reports on its public website. OEEO aims to publish future reports as expeditiously as possible.

### 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 2006 – 2010 American Community Survey (ACS) survey 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. For brevity, benchmark data from the 2006 – 2010 *EEO Tabulation* is referred to as the 2010 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).

#### *SEC's Total Workforce*

At the end of FY 2020, the SEC had 4,493 employees, 4,389 permanent and 104 temporary. Of the 4,389 permanent employees, there were 2,358 (53.73%) men and 2,031 (46.27%) women. The SEC gained a total of 256 permanent employees, 137 (53.52%) men and 119 (46.48%) women.

In FY 2020, the SEC had a separation rate of less than four percent (141 separations for a turnover rate of 3.21%) of its total permanent workforce. The SEC aims to keep its turnover rate relatively low, i.e., below eight percent per year. Of the 139 voluntary separations, seven were Hispanic or Latino employees, 91 were White employees, 24 were Black or African American employees, and 15 were Asian employees.

Table A1 provides a comparison of the FY 2020 participation for each ethnicity/race and gender combination to the 2010 CLF. The participation of White female employees at the SEC shows the largest difference at 8.35% points below their participation in the 2010 CLF. Hispanic or Latino men and women show levels of difference that are about 2% points below their participation in the 2010 CLF (Hispanic or Latino men at -1.93% points and Hispanic or Latino women at -2.15% points).

Relative to other ethnicity/race and gender groups, 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 4.43% to 4.45% points higher than that demographic group's 2010 CLF participation. While these data suggest that participation in the total SEC permanent workforce for these groups is higher than in the 2010 CLF, the specific analysis by occupation and pay grade is more nuanced. Additional detail about those groups is shared later in this section through comparisons to occupational CLF and by pay grade or leadership level, *infra*.

### *SEC's Mission Critical Occupations*

This section discusses workforce analysis in each of the SEC's five MCOs: attorney, accountant, securities compliance examiner, information technology management, and economist. Among the SEC's total permanent employees, there were 1,870 attorneys, 836 accountants, 345 securities compliance examiners, 295 information technology (IT) management employees, and 90 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 PWTD 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

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

Applicant Flow Data 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® only for SEC vacancies posted on USAJOBS. 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 2020, the SEC did not have a tool to capture and report on applicant data for hiring actions outside of USAJOBS.

A few important notes about AFD help facilitate interpretation. First, selections designated within AFD are tentative. AFD presented in various workforce tables show 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 2020. 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.

Second, 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, data 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 USAStaffing 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 USAStaffing 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 promotion is another area of interest in the SEC's review of equal employment opportunity. To explore data related to promotional opportunity, 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 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.

As the SEC has continued to evaluate data on competitive promotion, it has learned that employees are less likely to self-identify their demographic information in AFD. To help ensure higher quality analysis, data on internal competitive promotion augments AFD with an employee's self-identification data from the Agency's Human Resource Information System (HRIS). The SEC has encouraged employee self-identification for demographic information, particularly for disability status. To leverage the greater coverage of demographic data, progress through competitive promotion is summarized and analyzed through a combination of AFD and internal HRIS records for employees on staff.

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. Employees in the competitive service across the federal government are eligible to apply for MP postings. AFD for these vacancies does not benefit from the additional demographic information available for SEC employees on staff. Summaries of these vacancy postings are, then, restricted to data available from AFD.

Finally, the SEC's fellows programs are an important pathway into MCOs. In FY 2020, 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 Applicant Flow Data for each MCO and for the SEC's senior-graded and leadership positions. As a reminder, these data do not reflect *all* applications—only those applications where the applicants provided demographic information.

### Attorneys

The current status, including gains through external hiring and internal competitive promotion of attorneys, is presented in Table A6. In FY 2020, among the 1,870 attorneys, there were 1,021 (54.60%) men, 849 (45.40%) women, and 429 (22.94%) minority group members. The Agency hired 123 attorneys and promoted 40 attorneys.

#### *Gains, AFD for External Hiring: Attorneys (0905)*

The SEC posted 38 vacancies through USAJOBS and made 27 selections for attorney positions. Of the 2,194 applicants who self-identified their demographic information (self-identified applicants), 1,359 (61.94%) were men and 835 (38.06%) were women. Twenty-seven of the self-identified applicants were selected. Of the 27 selectees who self-identified, 15 were men and 12 were women. A difference between qualified applicants (62.76%) and new hires (48.78%) (“new hires” refers to onboarded employees) was found for male employees. These results 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 USAStaffing and are not included as selections in the audited AFD for the fiscal year (only closed selections are included). Further, previous research indicates that open, continuous postings may result in a different demographic profile. The Agency is in the process of conducting analysis on the attorney occupation, discussed further in *Part I* of this report, *infra*.

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

The SEC received 311 applications for 36 attorney competitive promotion postings and 40 selections. Of the 311 self-identified applicants, 291 qualified for promotion, 162 men and 129 women. Of those tentatively selected for the promotions, 24 were men and 16 women. White males comprised 130 (44.67%) of the qualified applicants and received 18 (45.00%) of the promotions. White females comprised 98 (33.68%) of the qualified applicants and received 12 (30.00%) of the selections. Asian females comprised 4.12% of qualified applicants and 2.50% of selections. A further demographic breakdown by ethnicity/race and gender of the candidates who applied for internal promotions is presented in Table A6.

## Accountants

The current status, gains through external hiring, and competitive promotion of accountants is presented in Table A6. In FY 2020, among the 836 accountants, there were 474 (56.70%) men, 362 (43.30%) women, and 243 (29.07%) minority group members. The Agency hired 19 accountants and promoted five.

### *Gains, AFD for External Hiring: Accountants (0510)*

In FY 2020, the SEC received 361 self-identified applications through USAJOBS and made seven selections for accountant positions. Of the 361 applicants, 173 (47.92%) were male and 188 (52.08%) were female. No differences were found between the qualified applicant pool and new hires with respect to gender overall. However, differences between qualified applicants and new hires were found for Black or African American males and females. Detailed demographics are reflected in Table A6.

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

The SEC received 323 self-identified applications for eight internal competitive promotion postings and five selections. Of the 323 applicants, 96 qualified (48 men and 48 women). In FY 2020, female qualified applicants (50.00%) were above their Relevant Applicant Pool (44.04%), and females received three (or 60%) of the five promotions. Therefore, no anomaly was found. However, differences between selections and qualified applicants were found for Hispanic or Latino males and females, Black or African American males and females, and Asian males and females. The Agency is in the process of conducting analysis of competitive promotions among women in the accounting occupation, discussed further in *Part I* of this report, *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 later in this report, *infra*.

## Securities Compliance Examiners

The current status and gains through competitive promotion and external hiring of securities compliance examiners is presented in Table A6. In FY 2020, among the 345 securities compliance examiners who self-identified, there were 220 (63.77%) men, 125 (36.23%) women, and 120 (34.80%) minority group members. The Agency hired 22 securities compliance examiners (11 men and 11 women) and promoted ten.

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

In FY 2020, the SEC received 41 applications on USAJOBS, and hired 22 securities compliance examiners. Of the 22 selectees who self-identified their demographics, 11 (50.00%) were men, and 11 (50.00%) were women. Differences were found between qualified applicants and new hires for Black or African American males and females, and Asian 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 63 applications for six postings and ten selections. Of the 63 self-identified applicants (44 were men and 19 were women), 57 qualified (39 men and 18 women). Differences between qualified applicants and selections were found for White males and Black or African American males. Selections for all other demographic groups were at, close to, or above their representation among qualified applicants.

**Information Technology Management**

The current status and gains through external hiring and competitive promotion of information technology (IT) management employees is presented in Table A6. In FY 2020, among the 295 self-identified applicants for IT management specialist positions, there were 217 (73.56%) men, 78 (26.44%) women, and 167 (56.61%) minority group members. The Agency hired 25 employees in IT management and promoted eight.

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

In FY 2020, the SEC received 1,110 applications through USAJOBS and hired 25 information technology management specialists. Of the 1,110 self-identified applicants, 77.93% were men and 22.07% were women. Differences between qualified applicants and new hires were found for women and Black or African American males. 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 652 self-identified applications (507 males and 145 females) for 11 information technology management postings and eight selections. Of the 652 applicants, 375 qualified. Males represented 80.80% of qualified applicants (303 applicants) and females represented 19.20% of qualified applicants (72 applicants). Differences between the proportion of qualified applicants and selections were found for Hispanic females, White males and females, Black or African American males, and Asian females. Table A6 reflects the demographic breakdown.

**Economists**

The current status of economists is presented in Table A6. In FY 2020, among the 90 economists at the SEC, there were 63 (70.00%) men, 27 (30.00%) women, and 33 (36.67%) minority group members. In FY 2020, the Agency hired six economists and promoted two economists.

*Gains, AFD for External Hiring: Economists (0110)*

In FY 2020, the SEC received 397 self-identified applications through USAJOBS, selected two economists (one Hispanic or Latino male, and one Black or African American male) and onboarded six economists. Of the 397 self-identified applicants, 70.53% were men and 29.47% were women. Men comprised 55.6% of the qualified applicants who were referred, and women represented 44.4% of the qualified applicants who were referred. Given the small number of selections (two), it is impossible to draw any meaningful conclusions from these data. Table A6 reflects the demographic breakdown.



#### *Progression, AFD for Competitive Promotion: Economists (0110)*

The SEC received seven applications for two postings and two selections. Of the four male applicants who applied, two were deemed qualified, and one of these qualified applicants (a White male) was referred and selected. Of the three female applicants who applied, all three were deemed qualified, and one of these applicants (a Hispanic or Latino female) was referred and selected. Given the small number of applicants (seven) and selections (two), it is impossible to draw any meaningful conclusions from these data. Table A6 reflects the demographic breakdown.

#### *Detailed Workforce Analysis for Attorneys and Accountants*

Accountants and attorneys comprised 61.65% 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.

Within the female accountant and male attorney groups, the participation rates of both White male attorneys and White female accountants at the end of FY 2020 are below their OCLF.

White female accountants' participation rate at the SEC (26.91%) is below the OCLF for White female accountants of 44.23%. This result follows the same pattern as the overall participation rate of female accountants at the SEC (43.30%) compared to the OCLF for female accountants of 60.09%. This difference has been studied as part of the Agency's barrier analysis program.

The participation rate for White male attorneys at the SEC (44.60%) is below the OCLF for White male attorneys of 59.68%. Similar to the White female accountants, the difference for White male attorney participation mirrors the difference for the overall participation rate for male attorneys at the SEC (54.60%) compared to the OCLF for male attorneys of 66.70%. These differences are under study as part of the Agency's barrier analysis program.

#### *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 the Agency's 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* of this report, *infra*.

To evaluate equality of employment opportunity 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, 43.25% of the positions are held by women and 56.75% by men. In comparison, the workforce comprising the Upward Mobility Benchmark is 44.88% women and 55.12% men. Minority group members hold 31.49% of positions in senior grades as compared to 33.16% 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 2020, the SEC received 4,587 self-identified applications through USAJOBS and hired 207 employees for senior-graded positions. Of the 4,587 applicants, their diversity demographics were 65.34% men and 34.66% women. 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 (42.22%) were selected for senior grade level positions than expected compared to their rate of qualification (33.43%). Among the 207 external applicants who were eventually onboarded in FY 2020, 113 (54.59%) were men and 46 (45.41%) were women. *See Table A7.*

The participation of minority group members, contrary to what was true for women, declined across the hiring phases. Minority group members represented 56.11% of the self-identified external applicants and 37.20% of new hires.

#### *Progression, AFD for Internal Competitive Promotion: Senior Grade Promotions*

The SEC received 3,880 self-identified applications for 109 senior grade level postings, and 106 selections. The applicants were 55.93% men and 44.07% women. Among the 1,952 qualified applicants, 483 (24.74%) White men qualified and 31 were tentatively selected (29.25%). Female participation increased at the selection phase of the hiring process. Women represent 44.07% of the 3,880 self-identified applicants, 43.24% of the qualified applicant pool, 43.12% of referred applicants, and 48.11% (51) of the 106 candidates selected for promotion.

On the other hand, similar to what we saw for external hiring, 66.47% of self-identified internal competitive promotion applicants were minority group members. Their participation remained high in the qualified applicant pool (60.86%) and among referred applicants (68.49%), yet 43.40% (46) of the candidates tentatively selected for promotion were minority group members. This result was primarily driven by a ten percentage point difference between selections and the qualified applicant pool among Black or African American males (2.83% of selections, 13.06% of qualified applicants), and a seven percentage point difference between selections and the qualified applicant pool among Black or African American females (12.26% of selections, 19.67% of qualified applicants). Table A7 reflects the demographic breakdown.

### *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. As mentioned above, EEOC instructs agencies to consider two metrics when evaluating their supervisory and management workforce, the Relevant Applicant Pool and the Leadership Upward Mobility Benchmark. 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. Table A8 shows that, at the SEC, the eligible RAP gets larger at higher levels of leadership.

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* of this report, *infra*.

A summary of Table A8 shows that among supervisory and managerial levels as a whole, 39.22% of positions are held by women and 60.78% by men. In comparison, the workforce comprising the Leadership Upward Mobility Benchmark is 44.00% women and 56.00% men. Minority group members hold 26.11% of positions in leadership as compared to 31.45% of minority employees participating in the Leadership Upward Mobility Benchmark. 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*

Due to its importance to Agency success, this section presents a more detailed analysis of the participation of women and minority employees in SO positions. The number of SOs at the SEC decreased from FY 2016 to the end of FY 2020. Meanwhile, 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 2020, women made up 33.8% of Senior Executives in the federal workforce, compared to 44.27% among the SEC's SO population.

As of the end of FY 2020, the proportion of minority SOs at the SEC remained below the FY 2020 participation rate of 20.9% among Senior Executive positions in the federal workforce. Since FY 2016, the participation rate of minority employees among SOs increased from 13.38% to 16.79%. From FY 2016 to FY 2020, the number of permanent staff Black or African American SOs increased by two from seven to nine, while the combined number of Asian SOs, Hispanic or Latino SOs, and those in other race/ethnicity groups increased by one, from twelve to thirteen.

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 2020, the SEC received 617 self-identified applications through USAJOBS and made 18 new hires for supervisory positions across all levels. Among the applicants were 420 (68.07%) men and 197 (31.93%) women. Eleven men, seven women, and five minority group members were hired for managerial or supervisory positions. 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 1,004 self-identified applications (61.65% from men and 38.35% from women) for 50 postings and 53 selections for supervisory or managerial positions. As was shown in the senior grade level positions, women's participation among applicants who applied, qualified, referred and were selected for promotion progressively increased from 41.64% of the qualified applicant pool to 45.28% of those tentatively selected for promotion. Minority group member participation declined from 49.84% of the qualified applicant pool to 32.08% of those tentatively selected for promotion. Table A8 reflects the demographic breakdown.

### *Additional Detail on the Workforce Analysis for Senior Leadership and Senior Grade-Level Positions*

The FY 2020 participation rates of men and women differ across the SEC's supervisory and management ranks, with an unusual pattern shown in the first-level supervisor, as compared to the composition of the feeder or relevant applicant pool at lower SK-levels.

Specifically, women represent 43.30% (1,177 employees) and men represent 56.70% (1,541 employees) at the GS-14 equivalent level. However, among first level supervisors, men make up 61.34% (219 employees) and women comprise 38.66% (138 employees) of the SK-15 workforce. Participation of women was lower in this first-level supervisor position than found in any other leadership level; there were 1.6 times as many male first-level supervisors as female.

By way of comparison, 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 550 permanent SK-16 employees in FY 2020; men accounted for 59.82% (329) and women accounted for 40.18% (221) 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 392 managers of whom 62.24% were men (244 employees) and 37.76% were women (148 employees).

Within the total of 131 SOs, 55.73% are men (73 employees) and 44.27% are women (58 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 winnow down at each successive grade up to the SO level. The participation rate for Black or African American women begins at 44.13% at the SK-12 level, declines to 24.53% at the SK-13 level, and 6.27% at the SK-14 level. There is a slight increase at the SK-15 (typically first-line supervisor) level (7.16%), and a winnowing down to 3.45% of SK-16 individual contributors, 4.85% of SK-17 managers, and 4.58% of Senior Officers. Similarly, the participation rate for Black or African American men begins at 11.27% at the SK-12 level, declines to 8.00% at the SK-13 level, and 4.29% at the SK-14 level. There is a slight uptick at the SK-15 level (4.41%), and a winnowing down to 2.73% of SK-16 individual contributors, 2.04% of SK-17 managers, and 2.29% of SOs.

Participation rates for Hispanic or Latino women are 4.23% at the SK-12 level, and winnow down to 3.73% at the SK-13 level, 2.81% at the SK-14 level, 1.65% at the SK-15 level, 1.09% at the SK-16 level, 0.77% at the SK-17 level, and 0.00% at the SO level. Hispanic males were only significantly different from their participation in the permanent workforce (3.24%) at the SK-16 level (1.27%). They were at or near their participation in the permanent workforce at the other senior grades.

Asian men were only significantly below their participation in the permanent workforce at the SO level. Asian men represented 1.53% of SOs, though they ranged from 5.87% to 8.26% in the feeder grades for Senior Officer positions (SK-14 through SK-17). A similar, but less pronounced pattern emerged for Asian women. Asian women represented 3.05% of SOs, though they ranged from 4.41% to 7.66% in the feeder grades for Senior Officer positions. *See Tables A8 and A4P.*

#### *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 of \$2,500. Special Act Awards between \$2,500 and \$10,000 require additional approval by the COO or the Chairman. Similarly, time-off awards of at least 40 hours are subject to that same additional approval. In FY 2020, 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*

In reviewing the data on discretionary time-off awards, some general conclusions emerged. Men and women were about equally likely to receive a low value (less than 10 hours) time-off award (49.88% men versus 50.12% for women).

As was found in prior years, White women were more likely to receive both lower and higher value time-off awards (participation rates of 30.48% and 29.88% for lower and higher value time-off awards) than would be expected given their overall workforce participation (25.73%). Approximately 30% of time-off awards distributed in both value categories were given to White women, compared to their participation on rolls at 25.73%. Asian women were less likely to receive lower value time-off awards than expected (4.79% of awards were granted to Asian women whereas they represent 6.39% of the workforce).

Black or African American men were less likely to receive a higher-value (11 to 40 hours) time-off award; they participated among higher value time-off award recipients at lower rates than their participation in the workforce (for Black or African American men, the overall participation was 4.61%, and participation for higher value time-off awards was 3.40%). For Black or African American women, the overall participation was 10.84%, and participation for larger time-off awards was 10.04%.

#### *Cash Awards Summary by Ethnicity/Race and Gender*

Discretionary cash awards to Black or African American men and women were concentrated at lower value levels (\$500 or less) and tended to decrease at the highest cash award values. Inclusion rates for Black or African American men and women at cash values of less than \$1,000 ranged from 19.71% to 26.97%, a relatively high range, while inclusion rates ranged from 13.52% to 20.69% for White employees, Asian employees, and Hispanic or Latino employees. In contrast, Black or African American employees experienced relatively lower levels of inclusion in cash awards of \$1,000 or more compared to other demographic groups. For cash awards of \$1,000 – \$1,999, 26.47% of Black or African American males received an award, and 25.10% of Black or African American females received an award. In contrast, 38.42% of White males and 36.94% of White females received an award of \$1,000 – \$1,999. Inclusion rates at the \$2,000 – \$2,999 levels for Black or African American males and females were about 5 percentage points lower than for White employees, and no Black or African American males received cash awards of \$3,000 or more. *See Table A9-2.*

Hispanic or Latino and Asian employees experienced their highest inclusion rates at the \$1,000 – \$1,999 cash value level, ranging from 29.31% to 36.30%. However, at the \$2,000 – \$2,999 level, Hispanic or Latino females had lower inclusion rates than all other demographic groups, at 2.59% (Hispanic or Latino males experienced higher inclusion than all other groups at the \$2,000 – \$2,999 cash value level, at 13.38%). Asian males experienced 3.66% lower inclusion than White males at the \$2,000 – \$2,999 cash value level (6.41% for Asian males compared to 10.07% for White males), and Asian females were 1.86% lower (at 8.21%). Asian employees and Hispanic or Latino males had relatively low likelihoods of receiving cash awards of less than \$1,000, with inclusion rates ranging from 13.38% to 15.71%.

As mentioned elsewhere in this report, discretionary cash and time-off awards were the focus of a barrier analysis study by OEEO over this reporting period. 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. *Part I* of this report, *infra*, provides additional detail about the analysis and opportunities for action to enhance equality of opportunity related to discretionary cash and time-off award distribution.

## 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 2020, OEEEO continued to advance its barrier analysis and reporting functions. As described in Compliance Indicators C.6, D.2 and D.3, *supra*, OEEEO made progress towards conducting two barrier analyses; briefed relevant incumbents, supervisors, and managers on analytic work; and continued work on monitoring actions and evaluation based on prior barrier analysis work. OEEEO completed and shared results from formal program evaluation on the implementation of the Agency's policy on screening and interviewing job candidates.

OEEEO also finalized the process for, and issued, the first formal transition of barrier analysis study results to the Agency's COO for management action. In response, management identified specific actions to implement to address OEEEO 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 the OEEEO Director and staff, have started to meet to discuss the status of the SEC management's action planning.

In late FY 2020, the SEC—through the collaborative efforts of OEEEO, OMWI, OHR, and Disability Interests Advisory Committee (DIAC)—hosted a fireside chat moderated by Commissioner Roisman and DIAC's executive sponsor, which took place during the 2020 National Disability Employment Awareness Month. During this impactful session, Commissioner Roisman led a discussion with senior 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.

In addition, OEEEO continued to expand functionality in its automated tool, Equal Employment Opportunity—Analytic Tool (EEO-AT), that extracts, accurately codes, summarizes, and provides reporting on demographic information about employees and applicants for employment. The EEO-AT's flexible framework enabled both this year's reporting and more in-depth analysis that forms the basis for the barrier analysis work described above, and in *Part I* and *Part J* of this report, *infra*. The additional work on EEO-AT (EEO-AT 2.0) required the re-allocation of substantial resources from OEEEO's barrier analysis function in FY 2020. However, the investment made in the development of EEO-AT 2.0 was required to prepare for changes in the MD-715 reporting framework, which is required as part of this FY 2020 report.



### *Improving the Reasonable Accommodation Program*

The new Reasonable Accommodation (RA) policy and related operating procedures (approved by the EEOC in August 2019), *SECR 6-80, Reasonable Accommodation Program*, replace the SEC's resource guide, *Disability Accommodation Procedures*. The updated RA policy and operational procedures align with recent updates made to the RA process and related program guidance, including requirements identified in the EEOC's Section 501 regulations under the Rehabilitation Act of 1973. The Commission is finalizing these documents internally and will disseminate and train appropriate staff on the revised policy and procedures (and forms). 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 FY 2021, the SEC will post a 508-compliant version of these documents on its public website at [SEC.gov](https://www.sec.gov), as required under the new Section 501 Affirmative Action Regulations, and to the internal interactive portal *AskHR*.

In FY 2020, the SEC did not meet the goal of processing 90% of accommodation requests within the timeframe specified in the Agency's policy. An explanation of challenges encountered and solutions identified and/or implemented to satisfactorily address this compliance requirement follows.

#### **a. Challenges Encountered in FY 2020**

In FY 2020, the timeframe for processing RA requests was affected by a number of organizational, environmental, and business process changes. Organizationally, the Agency maintained sufficient funding to acquire and implement approved accommodations for individuals with disabilities as reasonable accommodations, however, during this period, the Agency lost two key staff members with familiarity of the functions relative to processing requests for reasonable accommodation. Throughout most of FY 2019, the program was adequately staffed with three full-time equivalents (FTE), until July 2019, when the program staffing level fell to two FTEs due to attrition. Since then, the Agency has pursued rigorous staffing activities through competitive staffing and detail opportunities to regain adequate staffing levels to effectively administer the reasonable accommodation program. In FY 2020, the program hired additional staff to administer the RA program and respond to the RA program requests increasing its staffing level by one FTE which include two federal employees (one staffer was detailed to another office from June to December 2020), and one contractor who provides administrative support, along with the Disability Program Officer (DPO) who also manages a portfolio of other HR programs.

In mid-March, personnel in SEC offices at Headquarters and in the 11 Regional Offices transitioned to mandatory telework due to COVID-19. These office closures prevented the Agency from timely delivering and installing ergonomic equipment that was purchased prior to the Agency's mandatory telework posture, thus impacting the timeliness of the accommodations provided.

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 the Federal Occupational and Health (FOH) to complete medical reviews of employees with a wide range of conditions. In FY 2020, requests to FOH were processed in 24.3 days, on average. While timeliness of FOH opinions improved by 13.1% in FY 2020, other factors further impacted the FOH process. The confidential nature of FOH services and federal Privacy Act and Rehabilitation Act compliance requirements relative to the transmission of electronic health data resulted in FOH adjusting business processes and, at the same time, adapting to mandatory telework operating status as a result of the COVID-19 pandemic. The Agency experienced additional delays in FOH's ability to timely process and respond to medical review requests during the transition period.

#### b. Solutions Identified and/or Implemented

At the start of FY 2020, the Agency instituted several initiatives to mitigate barriers impacting reasonable accommodation program timeliness. The Agency experienced limited market availability of certain ergonomic items (e.g., Adjustable Height Tables (AHT) desk-mounted solace equipment) resulting in extended lead times in the acquisition process. The Agency temporarily changed its vendor to meet SEC requirements. Also, the previous contractor servicing the entire Agency changed local distributors, and manufacturer response time for the delivery and installation of equipment was impacted.

In FY 2020, OHR identified opportunities to strengthen its manual tracking process, including, but not limited to, 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. During FY 2020, the SEC improved the processing timeliness of its RA and Temporary Medical Telework (TMT) programs from 74% in FY 2019 to 85% in FY 2020. Specifically, the SEC processed 104 RA requests, closed 98 of those requests, and met or exceeded processing timelines for 73 requests at an average processing timeliness rate of 74% within 20 business days. The SEC processed 38 RA requests for AHT, closed 34 AHT requests, and met or exceeded processing timelines for 27 of those requests at an average processing rate of 79% within 20 business days. Of the remaining 66 requests, the SEC met or exceeded timely processing standards for 74% of closed requests within 20 business days.

The SEC's 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. The SEC provided temporary "interim" accommodations to assist employees with disabilities who had an immediate need for reasonable accommodations (e.g., while the employee requested medical documentation or to assess the effectiveness of the requested accommodation). The SEC processed and closed 51 TMT requests and processed 98% of those requests timely. The Agency intends to publish the revised TMT policy and operational procedures in calendar year 2021.

The Agency will continue ongoing efforts to procure a new HR service delivery platform to automate the reasonable accommodation program case management process in FY 2021. The implementation of the system is expected to simplify case tracking, help identify 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. Multiple competing priorities delayed the implementation of the case management system in FY 2020. During Q1 FY 2020, the Agency met with a potential vendor that included a system demonstration of a Commercial Off-The-Shelf (COTS) product to identify a solution that complements the Agency's reasonable accommodation program process and requirements in terms of system functionality, adaptability, and accessibility. To advance RA program maturity and success, system requirements analyses are expected to be completed in calendar year 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 in calendar year 2022.

The SEC established new five-year contract vehicles for its Sign Language Interpretation and Ergonomic Furniture and Equipment Services. Implementation activities to establish a new vendor for the Sign Language Interpretation Services remain underway with a 2021 target date. A new blanket purchase agreement (BPA) for the ergonomic program was established in FY 2020 and will provide more efficient and timely acquisition of vendor services and products. Under the previous contractual arrangement, the vendor typically required a four- to six-week lead time for the manufacturing of the product. Then, the Agency worked with the vendor to schedule coordinated delivery and installation of the product. This typically requires an additional one to two weeks. Under the new contract, the vendor typically requires a four-week lead time which includes delivery. With this arrangement, the Agency anticipates a two-week improvement in its ability to provide employees the requested ergonomic furniture and equipment. Items will continue to be shipped to the manufacturer installer's warehouse with delivery and installation scheduled by the Agency. Therefore, onsite storage of equipment in Regional Offices is a non-issue. For Agency Headquarters offices, ergonomic furniture and equipment will continue to be stocked in inventory on-site.

As a result of the COVID-19 pandemic, in March 2020, the Agency made incremental adjustments to its operations to include requiring telework in all offices, with limited exceptions. These office closures impacted the Agency's ability to timely deliver and install ergonomic equipment that was purchased prior to the Agency's mandatory telework posture. As a result of the Agency's mandatory telework posture, the Office of Human Resources modified its reasonable RA process to support SEC employees with disabilities at their authorized telework location. The SEC continued to provide reasonable accommodations to include Personal Assistance Services reader and personal assistant services, assistive technology and equipment, and ergonomic equipment to Persons with Disabilities and Persons with Targeted Disabilities during the current mandatory telework status. The Agency shipped equipment that did not require installation services (e.g., task chairs, monitors, mouse, keyboards, etc.) to employees' residences. Additionally, the Agency provided all employees with a one-time stipend of up to \$335.00 to help defray the costs of certain IT and telework expenses incurred during the mandatory telework posture. Moreover, the SEC established interim workplace flexibilities such as expanded work scheduling options to assist all employees with balancing work and personal obligations during the COVID-19 pandemic.

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 continues to provide equipment for all employees who telework three or more days each week and, as needed, for employees with disabilities authorized to telework as a reasonable accommodation.

#### *Improving Accessibility for Persons with Disabilities and Persons with Targeted Disabilities*

The SEC updated its external website to ensure public accessibility of its reasonable accommodation procedures and personal assistance services guidance on the [SEC.gov](https://www.sec.gov) website for PWD and PWTD. 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 identified and made available when the employees report for duty at the SEC. In FY 2020, 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 H* and *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 2020, 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 on reasonable accommodations. A 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 will be posted on [SEC.gov](https://www.sec.gov) once finalized in FY 2021.

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

In FY 2020, 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 active 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 SECU's CLTD 307 *Fundamentals of Human Resources Management* course offered by the Agency's learning office.

In FY 2020, the SEC conducted two separate CLTD 307 trainings 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 SECU *Learn Engage Achieve Platform* (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 receives 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 2020, the SEC continued to take steps to improve overall disability recruitment efforts. The SEC's FY 2018 – 2019 *Recruitment Strategy* was extended into FY 2020 in an effort to accommodate additional hiring activities (the updated 2020 – 2022 *Recruitment Strategy* was finalized in FY 2020). In FY 2020, 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 17 in-person and virtual career events which allowed the SEC to maintain a recruitment presence and support efforts to build a pipeline for future employment.
- Continued to distribute Schedule A recruitment materials via social media and professional organizations. The SEC hired 12 employees under the Schedule A hiring authority of which [Redacted to protect privacy.] have a targeted disability.
- 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 two National Disability Employment Awareness Month celebrations—one celebration featured SEC senior leaders, and the other celebration featured leading experts in the areas of disability disclosure and identity in the workplace.
- Hosted various outreach events in partnership with various SEC Employee Affinity Groups to include the DIAC and Women's Committee that included a Fall Festival, Eyeglass Drive and the Annual May Meet-and-Greet which generated new members for the DIAC.
- The Disability Program Officer is 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 to 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.

- Trained all new employees on Work-Life, RA, TMT, and leave programs to ensure awareness of various solutions or flexibilities for employees.
- Processed 104 RA requests, of which 26 were requests for telework as a reasonable accommodation, as well as 51 TMT requests.
- Continued to update OHR's friendly, interactive portal, *AskHR*, on the SEC's intranet. The site provides employees with information about hiring, compensation and benefits, employee development, performance management, and disability 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 expects 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, the SEC committed to reserve slots for employees with disabilities in the next cycle of the Mentoring Program as it transitions to a permanent program (with a target set for the 2022 mentee cohort). 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 is launching a cross-office working group comprised of subject matter experts in the Offices of the Chief Operating Officer, Human Resources, Equal Employment Opportunity, and Minority and Women Inclusion which will consult with the Disability Interests Advisory Committee and other disability inclusion champions to drive a comprehensive plan related to advancement opportunities for PWD and PWTD. Enhanced marketing and possible tailoring of existing and developing SEC advancement-related programs and creating new programs will be collectively explored.

#### *Agency EEO, Diversity and Inclusion, and Leadership Development Accomplishments*

In FY 2020, 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.

##### **Outreach and Recruitment of Diverse Talent**

Under OMWI's leadership, the SEC pursues a comprehensive strategy for building and maintaining a diverse workforce and fostering an inclusive workplace culture. A key component of that strategy has been outreach and recruitment to develop and maintain a pipeline of diverse talent for future SEC employment. Though hiring remained limited during FY 2020, the SEC participated in at least 21 diversity outreach and recruitment events; distributed job

advertisements to 347 recruitment sources; and used its partnerships with 20 professional associations, educational organizations, and institutions to inform diverse professionals and students about job vacancies and internships.

OHR continued to take steps to ensure the SEC has a pipeline of talent in the disability and veteran community by:

- Continuing to leverage relationships with key organizations throughout FY 2020;
- Launching a new 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; 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.

For example, the SEC continued to partner with the following organizations to expand its talent pipeline: 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.

#### Work-Life Programs

The SEC’s Work-Life Programs were instrumental in FY 2020 given the COVID pandemic. The SEC continues to support its employees and their family members through an array of work-life programs that include the Employee Assistance Program, 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 116 live webinars, seven supervisory-only webinars, and 63 health and wellness seminars.



### Training and Leadership Development

The SEC provided numerous opportunities for employees to acquire the skills and certifications needed to succeed in their positions and to progress in their careers. SECU provided classroom-style and e-Learning programs and offered an extensive array of learning opportunities in technical areas (e.g., courses on Hedge Funds, Mutual Funds, and Credit Derivatives) as well as in leadership development to SEC senior leaders and non-supervisory staff alike.

The SECU College of Leadership and Team Development offerings are designed to 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. Content incorporates multiple learning formats so all SEC employees can successfully participate, including 508 compliant e-learning, virtual offerings and the availability of on-demand sign language interpreters. Varied training formats provide SEC leaders with an equality of access to leadership development offerings, regardless of one's learning style or location at Headquarters, one of the SEC's 11 Regional Offices, or remote workers. From March 2020 until September 2020, all CLTD offerings were converted or initially offered using highly-interactive and modified content to effectively impart learning virtually to engage adult learners with varying learning styles and needs during mandatory telework.

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

### *Career Development Programs*

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

#### *Women in Leadership*

The Women in Leadership program is offered under the auspices of the Brookings Institution. Each year, the SEC offers either managers or non-managerial staff the opportunity to participate in this leadership development program in a cohort format. One cohort is offered to SK-15 and SK-17 supervisors, while another cohort is offered to staff at the SK-14 and SK-16 levels. Through the *Women in Leadership* program, individuals from across federal agencies learn how to strengthen leadership qualities and explore key elements of senior leadership success while maintaining authenticity and balance. The learning objectives of this program include:

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

### Excellence in Government Fellows Program

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

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

### Aspiring Leaders

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

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

### Upward Mobility Program

In August 2020, the SEC launched the *Upward Mobility Program—Cohort 2020* 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 (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.

### Career Advancement Program

In FY 2020, the SEC offered one employee 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.

### Mentoring Program

In FY 2020, based on the successful launch of the SEC’s pilot Mentoring Program in FY 2019, the Agency offered a second cohort of 30 employees an opportunity to participate in the SEC’s Mentoring Program. The registration process for this second cohort received overwhelming interest among employees. On September 23, 2019, 103 employees registered interest in participating in the second mentoring cohort, and 30 employees were paired with mentors across the Agency. This second offering started in October 2019 with an orientation session for both mentors and mentees, and lasted for approximately eight months, ending with a Capstone celebration event on June 16, 2020. 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 quarterly and facilitated by OCOO and SECU experts. On a regular basis, the program managers in OCOO gathered feedback from both mentees and mentors about the program’s efforts.

*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*) 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 or to learn about a specific topic or as part of a workshop series, or are custom-designed for a team to address their unique challenges and opportunities. The *Team Effectiveness* workshops available to organizations in FY 2020 by SECU included:

*Communication Styles*

*Workplace Trust*

*Achieving Results*

*Leading People*

*Team Dynamics*

*Emotional Intelligence*

*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*

*Difficult Conversations (for supervisors and non-supervisors)*

*Conversational Intelligence*

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

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

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

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

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

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

 3/29/21  
 Signature of Principal EEO Director/Official Date

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

 3/29/21  
 Signature of Agency Head or Agency Head Designee Date

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

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

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

## STATEMENT OF MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY

### Section I: Agency's Procedures for Reasonable Accommodation (RA)

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

#### Objective(s) and Dates for EEO Plan

Date Initiated (mm/dd/yyyy)	Objective	Target Date (mm/dd/yyyy)	Modified Date (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
10/01/2016	Establish a process that allows the SEC to confirm that 90% of accommodation requests are processed in compliance with the time frame identified in the SEC's reasonable accommodation procedures.	09/30/2022		

#### Responsible Official(s)

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

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Sufficient Funding & Staffing? (Yes or No)	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
09/30/2021	In FY 2021, the Disability Program will implement new policy and procedural guidance. This guidance replaces the current resource guide <i>Disability Accommodation Procedures</i> with a new RA policy and related operating procedures, under <i>SECR 6-80, Reasonable Accommodation Program</i> . 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 internal interactive portal <i>AskHR</i> and on its public website at <a href="http://SEC.gov">SEC.gov</a> , as required under the new Section 501 Affirmative Action Regulations.	Yes	09/30/2019	
09/30/2022	In FY 2021, the Agency will engage in an acquisition process to procure a new HR service delivery platform to automate the reasonable accommodation program case management process. System requirements analyses are expected to be completed in FY 2021; full design and implementation of an automated RA system is expected in FY 2022. The implementation of the system will enable the SEC to address the timeliness standards set by the new SEC RA policy.	Yes, subject to funding availability	09/30/2019	
09/30/2022	This system will also allow the SEC to assess and analyze trends that occur in the Agency that warrant increased outreach and education efforts with managers and/or employees.	Yes, subject to funding availability	09/30/2019	



## Report of Accomplishments

Fiscal Year	Accomplishments
FY 2020	<p>In FY 2019, the Agency revised its Reasonable Accommodation Policy and related Operating Procedures. These revised documents were approved by the EEOC in a letter dated August 22, 2019.</p> <p>The SEC replaced the current resource guide, <i>Disability Accommodation Procedures</i>, with a new RA policy and related operating procedures under <i>SECR 6-80, Reasonable Accommodation Program</i>. 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 <a href="http://SEC.gov">SEC.gov</a>, as required under the new Section 501 Affirmative Action Regulations and its internal interactive portal <i>AskHR</i> in FY 2021. 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. The operational guidance further explains stakeholder responsibilities for the provision of reasonable accommodation, how persons with disabilities may request accommodations, how such requests are processed and includes information about the interactive process, and, as applicable, and how requestors may seek review of decisions when a request has been denied.</p> <p>As reported in the SEC's FY 2019 MD-715 Report, the SEC did not meet the goal of processing 90% of accommodation requests within the timeframe specified in the Agency's policy.</p> <p>The Office of Human Resources (OHR) identified opportunities to strengthen its manual tracking process. OHR tracks timeliness for processing RA requests and meets on a monthly basis with the CHCO to review and discuss timeliness and processing of all RA cases. During FY 2020, the SEC improved the processing timeliness of its Reasonable Accommodation (RA) and Temporary Medical Telework (TMT) programs from 74% in FY 2019 to 85% in FY 2020. Specifically, the SEC processed 104 RA requests, closed 98 of those requests, and met or exceeded processing timelines for 73 requests at an average processing timeliness rate of 74% within 20 business days. The SEC processed 38 RA requests for Adjustable Height Tables (AHT), closed 34 AHT requests, and met or exceeded processing timelines for 27 of those requests at an average processing rate of 79% within 20 business days. Of the remaining 66 requests, the SEC met or exceeded timely processing standards for 74% of closed requests. Notwithstanding this, the SEC provides temporary "interim" accommodations to assist employees with disabilities who have an immediate need for reasonable accommodations due to extenuating circumstances (e.g., while in pursuit of medical documentation or to assess the effectiveness of a requested accommodation).</p> <p>The timeframe for processing RA requests in FY 2020 was affected by a number of organizational, environmental, and business process changes. Organizationally, the Agency maintained sufficient funding to acquire and implement approved accommodations for individuals with disabilities as reasonable accommodations; however, the Agency experienced significant attrition of two key staff members with familiarity with the functions relative to processing requests for reasonable accommodation during this period.</p> <p>Throughout most of FY 2019, the program was adequately staffed with three FTEs. In July 2019, the program staffing level fell to two FTEs due to attrition. Since then, the Agency has ensued rigorous staffing activities through competitive staffing and detail opportunity procedures to regain adequate staffing levels to effectively administer the reasonable accommodation program. In FY 2020, the program hired additional staff to administer the RA program and respond to the RA program requests increasing its staffing level by one FTE which include two federal employees (one staffer was detailed to another office from June to December 2020), and one contractor who provides administrative support, along with the Disability Program Officer who also manages a diverse portfolio of other HR programs.</p> <p>The SEC initiated frequent consultations with medical experts at the Federal Occupational and Health (FOH) to complete medical reviews of employees with a wide range of conditions in an effort to improve their ability to do their jobs and maintain a high level of productivity; in FY 2020, requests to FOH were processed in 24.3 days on average. While timeliness of FOH opinions improved by 13.1% in FY 2020, environmental factors further impacted the FOH process. The confidential nature of FOH services and federal Privacy Act and Rehabilitation Act compliance requirements relative to the transmission of electronic health data resulted in FOH adjusting business processes and change to mandatory telework operating status as a result of the COVID-19 pandemic. Thus, the Agency experienced additional delays in FOH's ability to timely process and respond to medical review requests during the transition period.</p> <p style="text-align: right;"><i>Continued on the next page</i></p>

Fiscal Year	Accomplishments
FY 2020	<p>At the start of FY 2020, the Agency instituted several initiatives to mitigate barriers impacting reasonable accommodation program timeliness. The Agency experienced limited production of certain ergonomic items (e.g., AHT desk-mounted solace equipment) resulting in extended lead times in the acquisition process and promulgated the Agency temporarily changing its vendor to meet Agency requirements. Also, the local distributor for the previous contractor servicing the entire Agency changed, and manufacturer response time for the delivery and installation of equipment was impacted.</p> <p>The SEC established new five-year contract vehicles for its Sign Language Interpretation and Ergonomic Furniture and Equipment Services. Implementation of new vendor for the Sign Language Interpretation Services remain underway and is scheduled for FY 2021. A new blanket purchase agreement for the ergonomic program was established in FY 2020 and will provide more efficient and timely acquisition of vendor services and products. Under the previous contractual arrangement, the vendor typically required a 4 – 6 week lead time for the manufacturing of the product. The Agency would then work with the vendor to schedule the coordinated delivery and installation of the product—this typically required an additional 1 – 2 weeks. Under the new contract, the vendor typically requires a 4-week lead time which includes delivery. With this arrangement, the Agency anticipates a 2-week improvement in its ability to implement the ergonomic furniture and equipment. Items will continue to be shipped to the manufacturer installer’s warehouse and delivery and installation will be scheduled by the Agency. Therefore, onsite storage of equipment in Regional Offices is a non-issue. For Agency Headquarters offices, ergonomic furniture and equipment will continue to be stocked in inventory on-site.</p> <p>As a result of the COVID-19 pandemic, in March 2020, the Agency made incremental adjustments to its operations to include requiring telework in all offices, with limited exceptions. These office closures prevented the Agency from timely delivering and installing ergonomic equipment that was purchased prior to the Agency’s mandatory telework posture. Notwithstanding this, the SEC continued to provide reasonable accommodations to include PAS reader and personal assistant services, assistive technology and equipment, and ergonomic equipment to Persons with Disabilities (PWDs) and Persons with Targeted Disabilities (PWTDs) during the current mandatory telework status. The Agency shipped equipment that required non-installation services (e.g., task chairs, monitors, mouse, keyboards, etc.) to employees’ residence. Additionally, the Agency provided employees with a one-time stipend of up to \$335.00 to help defray the costs of certain IT and telework expenses incurred during the mandatory telework posture. Moreover, the Agency established interim workplace flexibilities with additional work scheduling options to assist employees with balancing work and personal obligations during the COVID-19 pandemic.</p> <p>The SEC updated its external website to ensure public accessibility of its reasonable accommodation procedures and personal assistance services guidance on the <a href="https://www.sec.gov">SEC.gov</a> website for Persons with Disabilities and Persons with Targeted Disabilities. Also, efforts to engage with the OHR Talent Acquisition Group continue to assist newly-selected employees who self-identity themselves as PWD or PWTD to determine what accessibility options, if any, they may need, so that solutions can be identified and made available when the employee reports for duty at the SEC. In FY 2021, the SEC published additional resource information for employees, supervisors, and managers on its <i>AskHR</i> 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 <i>Part J</i> of this report, <i>infra</i>.</p> <p>In FY 2020, 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 active process provision, and how to respond appropriately when an individual puts 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 CLTD 307 <i>Fundamentals of Human Resources Management</i> course offered by the Agency’s learning office, SECU. 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 by type of requests made by employees with disabilities 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) that provides an effective overview of the Rehabilitation Act of 1973, the Americans with Disabilities Act, and the federal and SEC reasonable accommodation process.</p> <p style="text-align: right;"><i>Continued on the next page</i></p>

Fiscal Year	Accomplishments
FY 2020	<p>The Agency continues to improve upon current business practices to ensure all information technology is accessible to internal and external parties, as mandated by the Section 508 of the Rehabilitation Act of 1973. In FY 2020, 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 SEC, contact information and specific complaint processes for filing a formal claim related to accessibility, and additional resources for individuals to learn more. An SEC Administrative Regulation and Operating Procedures setting forth the complaint process related to Sections 504 and/or 508 and the Architectural Barriers Act will be finalized in FY 2021, and will be posted on <a href="http://SEC.gov">SEC.gov</a> thereafter.</p> <p>Meanwhile, the Agency will continue ongoing efforts to procure a new HR service delivery platform to automate the reasonable accommodation program case management process in FY 2021. The implementation of the system is expected to simplify case tracking, help identify 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. Multiple competing priorities delayed the implementation of the case management system in FY 2020. During Q1 FY 2020, the Agency met with a potential vendor that included a system demonstration of a Commercial Off-The-Shelf product to identify a solution that complements the Agency's reasonable accommodation program process and requirements in terms of system functionality, adaptability, and accessibility. To advance RA program maturity and success, system requirements analyses are expected to be completed in calendar year 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 in calendar year 2022.</p> <p>The SEC's 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. The Agency intends to publish the revised TMT policy and operational procedures in calendar year 2021.</p>

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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 Discretionary Cash and Time-off Awards

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis of discretionary cash and time-off awards data	Table A9	<p>The distribution of discretionary cash and time-off awards, in both the number and amount, show differences for specific demographic groups, including men, women, employees in specific race and ethnic groups, and employees with disabilities.</p> <p>In FY 2014, females were given more time-off awards than males (approximately 52% to females and 48% to males) and males received more cash awards (between 51% and 55%) than females. For cash awards of \$501 or more, males received an average award of \$1,580 while females received an average award of \$1,422. Members of some minority groups received lower cash awards compared to other demographic groups.</p> <p>Cash awards in FY 2014 for individuals with disabilities were, on average, \$1,120.</p>

EEO Group(s) Affected by Trigger

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

### Barrier Analysis Process

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

### Status of Barrier Analysis Process

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

Statement of Identified Barrier(s)

Barrier Name* (required)	Description of Policy, Procedure, or Practice
Analyses of discretionary cash and time-off awards	<p>Based on data summarized in this study, OEEO identified opportunities to improve awards distribution practices for both discretionary cash and time-off awards. OEEO worked with leadership across the Commission to support action in the following areas:</p> <ul style="list-style-type: none"> <li>• Institute review and monitoring for who receives awards;</li> <li>• Reduce constraints for when discretionary awards are distributed;</li> <li>• Expand the criteria for what contributions are considered for award; and</li> <li>• Provide management support for how to submit and review awards.</li> </ul>

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>Identify and present action options for Agency consideration to help address observed group differences in the Agency's employee recognition program.</p> <p>Agency leadership provided their response and plans for actions supporting the employee recognition program in response to this study's results during FY 2020.</p> <p>All planned actions toward the objectives of this study have been completed. This study is now closed.</p>	03/16/2016	09/30/2020	Yes	01/31/2020	7/16/2020

Responsible Official(s)

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



Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
09/30/2020	See the SEC's FY 2019 MD-715 Report for planned and completed activities in prior years.  OEEO will begin to design an evaluation plan to monitor results based on the work completed on this study.	01/31/2020	7/16/2020

Report of Accomplishments

Fiscal Year	Accomplishments
<b>FY 2020</b>	<p>During FY 2020, the SEC completed all planned actions for this study. Agency leadership provided their response and plans for actions supporting the employee recognition program in response to this study's results during FY 2020. This study is now closed.</p> <p>To support closing out this study, OEEO consulted with OHR and other Agency leaders on:</p> <ul style="list-style-type: none"> <li>Options for on-demand reporting or dashboard capability that could provide more or improved reporting to whom, when, and for what performance behaviors awards are distributed. An agency-wide reporting tool is currently under development.</li> <li>Identifying and defining additional actions in response to this study. Increased reporting, monitoring, and review have been implemented in several Divisions and Offices.</li> <li>The results and applicability of this study to processes for discretionary cash and time-off awards distribution and related employee recognition program elements.</li> <li>Defining a plan and approach for ongoing monitoring of defined actions.</li> </ul> <p>OEEO will continue to monitor actions taken in response to this study through data and analysis of discretionary awards distribution.</p>

## STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

### Section II: 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 life cycle, i.e., recruitment, selection, development, and retention of accountants.</p> <p>In FY 2014, female accountants at the SEC, and in particular, White female accountants, had participation rates lower than the OCLF (over 16 percentage points). The White female accountant OCLF is 44.23%, whereas White females comprised 27.52% of the SEC's accountants.</p>

#### EEO Group(s) Affected by Trigger

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

## Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	<p>Workforce data tables and participation rates for women in the accounting occupation from FY 2013 – FY 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>
Interviews	Yes	<p>Interviews with subject matter experts in OHR, SECU, and OMWI about recruitment, hiring, and career development for accountants at the Agency.</p> <p>Interviews with Diversity and Inclusion leadership at the "Big Four" public accounting firms (i.e., Deloitte, EY, KPMG, and PwC).</p> <p>Individual interviews with Agency leaders at Headquarters about the procedures and practices for career development, promotion, recognition, and retention of accountants.</p>
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Data definitions and potential benchmark information from the Census Bureau and OPM defining population data for the accountant occupation in the civilian labor force and the federal workforce.

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
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)
No	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"> <li>Evaluate and consider changes to workforce structure that may limit available career development opportunities;</li> <li>Design programs, communication, and outreach focused on encouraging accountants to seek career development and promotion; and</li> <li>Continue work on changing attitudes toward, and support for, flexible work arrangements among both individual contributors and supervisors of accountants.</li> </ul>

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"> <li>Processes for the career development and promotion of accountants; and</li> <li>Career progression and workforce planning within the SEC's accountant occupation.</li> </ul> <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	

Responsible Official(s)

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

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
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	
04/30/2021	Briefings for Division and Office leadership for the accountant workforce.		
05/31/2021	OEEO Director initiates project close out and transition to ongoing monitoring.		

## Report of Accomplishments

Fiscal Year	Accomplishments
FY 2020	<p>During FY 2020, OEEO completed data collection, integration, and interpretation of summary analyses for this study. In FY 2021, OEEO will share 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. OEEO extended the study's timeline into FY 2020 to incorporate expanded data collection and analysis on:</p> <ul style="list-style-type: none"> <li>• 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;</li> <li>• The use and support for flexible working arrangements for accountants, particularly under the SEC's telework program; and</li> <li>• Organizational structures and changes in the Agency's accounting workforce at different SK levels that impacted the availability of career mobility over time.</li> </ul> <p>To gather additional data on the areas listed above, OEEO:</p> <ul style="list-style-type: none"> <li>• Hosted idea-generation sessions with business management office representatives from Divisions and Offices who employ accountants to suggest lawful and practical opportunities for action.</li> <li>• 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;</li> <li>• Conducted sessions with accountant incumbents in positions not covered by the SEC's collective bargaining agreement; and</li> <li>• Conducted a total of 11 focus group sessions with 66 SEC accountants, representing different SK-levels, participating from Headquarters and Regional Offices.</li> </ul> <p>OEEO 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, OEEO 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, OEEO compiled a research summary of the analyses conducted and results obtained as part of this study. In FY 2021, the research summary will be shared with Agency leadership as part of transitioning the study for management action.</p>

## STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

### Section III: 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 life cycle, 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)
No	No

Statement of Identified Barrier(s)

Barrier Name* (required)	Description of Policy, Procedure, or Practice
Analysis of male attorneys	No barrier has yet been identified

Objective(s) and Dates for EEO Plan

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

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Director, OEEEO	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	OEE0 will begin to conduct quantitative analysis of new hire and separations data to inform barrier analysis.		1/1/2020
03/01/2021	OEE0 will begin to conduct quantitative analysis of promotions data to inform barrier analysis.		11/1/2020
11/01/2021	OEE0 will begin integrating and interpreting quantitative and qualitative data, trends across year, root causes, and identified triggers to establish evidence for any areas in need of improvement.	01/01/2021	
01/31/2022	The SEC will begin to identify actions as appropriate to help foster equal employment opportunity.	04/30/2021	
04/18/2022	OEE0 will begin conducting briefings for Division and Office leadership for the attorney workforce.	8/31/2021	
07/30/2022	OEE0 Director initiates project close out and transition to ongoing monitoring.	10/31/2021	
09/30/2022	OEE0 will begin to design an evaluation plan to monitor results based on the work completed on this study.	10/30/2021	

### Report of Accomplishments

Fiscal Year	Accomplishments
FY 2020	<p>The following provides detail about analytic work OEE0 conducted in FY 2020 in support of this analysis:</p> <ul style="list-style-type: none"> <li>• Interviewed subject matter expert in OHR regarding recruitment of attorneys;</li> <li>• Analyzed data regarding new hires, promotions, and separations of attorneys;</li> <li>• Identified additional promotions data analysis to be conducted, including trends by race, age, and disability status;</li> <li>• Reviewed records documenting applicant flow and selection decisions for specific attorney vacancy postings;</li> <li>• 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</li> <li>• Produced regression analysis on the selection process among attorney new hires.</li> </ul>

# 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 <b>X</b>
b. Cluster GS-11 to SES (PWD)	Yes <b>X</b>	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 2020, the locality adjusted salary of a GS-11, step 1, in the Washington, DC area was \$72,030.

*Continued on the next page*

- 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.
- This action added 41 permanent employees to the PWD workforce data. The workforce data tables included with this report and the analyses described below reflect this change. Prior year data for such employees was updated for comparison.

For employees with salaries below a GS-11, step 1, the Agency achieved the numerical goal for PWD participation; 53.33% 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 8.62% 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 2020, the participation of PWD in the total workforce increased from 6.57% to 8.70%; 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 **X**      No 0  
b. Cluster GS-11 to SES (PWTD)                      Yes 0      No **X**

The SEC did not achieve the numerical goal established for PWTD in the lower salary cluster during FY 2020. In the lower salary cluster, none of the 16 permanent employees are PWTD. The reason this trigger occurred in the lower salary cluster was because PWTD moved into the higher salary cluster in FY 2020. However, the numerical goal for PWTD among higher salaried employees remains six one hundredths of a percent below the goal: 1.94% 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 2020, the SEC’s Office of Human Resources (OHR) developed an updated 2020 – 2022 *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 pipeline 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.

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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 2020 and particularly during National Disability Employment Awareness Month in October 2019 and October 2020, 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 PWTD, 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 FTE to Special Programs classification, recruitment, and staffing in support of the disability program.

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

Disability Program Task	Number of Full-Time Equivalent Staff by Employment Status			Responsible Official (Name, Title, Office, Email)
	Full Time	Part Time	Collateral Duty	
Processing applications from PWD and PWTD	13	0	0	Kai Petty, <i>Lead HR Specialist</i> Office of Human Resources <a href="mailto:pettyka@sec.gov">pettyka@sec.gov</a>
Answering questions from the public about hiring authorities that take disability into account	13	0	0	Kai Petty, <i>Lead HR Specialist</i> Office of Human Resources <a href="mailto:pettyka@sec.gov">pettyka@sec.gov</a>
Processing reasonable accommodation requests from applicants and employees	2	0	0	Dia Gonsalves, <i>Disability Program Officer</i> Office of Human Resources <a href="mailto:gonsalvesd@sec.gov">gonsalvesd@sec.gov</a>
Section 508 Compliance	1	0	0	Sharvon Jones, <i>Governance Branch</i> , Office of Information Technology <a href="mailto:jonessh@sec.gov">jonessh@sec.gov</a>
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) <a href="mailto:FerrariR@sec.gov">FerrariR@sec.gov</a>  Jinhee Kim, RA, LEED AP, <i>Architect</i> , OSO-OBO <a href="mailto:KimJin@sec.gov">KimJin@sec.gov</a>  Carla Hairston; NCIDQ, COEE, <i>Space Management Specialist</i> OSO-OBO <a href="mailto:HairstonC@sec.gov">HairstonC@sec.gov</a>
Special Emphasis Program for PWD and PWTD	4	0	0	Xiya Li, <i>Branch Chief</i> Office of Human Resources <a href="mailto:lixiy@sec.gov">lixiy@sec.gov</a>  Kai Petty, <i>Lead HR Specialist</i> Office of Human Resources <a href="mailto:pettyka@sec.gov">pettyka@sec.gov</a>

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, 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 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.



## SECTION III: PLAN TO RECRUIT AND HIRE INDIVIDUALS WITH DISABILITIES

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

### Plan to Identify Job Applicants with Disabilities

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

OHR continued to take steps toward improving the participation of PWD and PWTD in applicant pools. Since focusing on these efforts under OHR's *2018 – 2019 Recruitment Strategy*, 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.

Despite the mandatory telework posture due to the COVID-19 pandemic, the Agency maintained a strong recruitment presence in FY 2020, and attended 15 in-person and virtual career fairs and events supporting efforts in building pipelines for future employment.

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 required all external hiring requests be 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 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 SPPC receives notifications and newsletters from the following groups and transmits information to OHR staff engaged in recruiting:

- EARN—Employer Assistance Resource Network: [askearn.org](http://askearn.org)
- JAN—Job Accommodation Network: [askjan.org](http://askjan.org)
- ODEP—Office of Disability Employment Policy, Department Of Labor: [dol.gov/odep/](http://dol.gov/odep/)
- OWF—Operation Warfighter Program: [warriorcare.dodlive.mil/carecoordination/operation-warfighter/](http://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 resume. Building a pool of qualified candidates is important to the SEC; as such, the Agency has developed a *Schedule A Resume Database*.

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

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

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

Yes **X**      No 0      N/A 0

In FY 2020, 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 trains the hiring manager on the various procedures of the Schedule A hiring process and offers it as a course of action where applicable.

In FY 2020, the Agency successfully hired nine veterans with a service-connected disability directly into the competitive service. DIAC and the Disability Program Office 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 Program* (OWF) during FY 2020. 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 plans to finalize program policies and procedures for implementation agency-wide in FY 2021.

The Special Programs Manager also maintains an ongoing relationship with the SEC's DIAC and the Veterans Committee, members of 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, the National Treasury Employees Union (NTEU), OMWI, 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 2020, the Agency hired 256 permanent employees, of which PWD and PWTD represented 7.03% and 0.78%, respectively, of all new hires in FY 2020. 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 2020, the SEC hired and onboarded a total of 256 permanent staff employees. Among these newly-hired staff members were 195 persons in MCO positions as follows: 123 attorneys; 19 accountants; 22 securities compliance examiners; 25 IT management specialists; and 6 economists. Seven of those 195 (3.59%) 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. In addition, in FY 2020, 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 staff attorneys, accountants, IT management specialists, and economists as follows:

- PWD represent 3.25% of the 123 newly-hired attorneys—below their participation rate of 5.16% in the qualified applicant pool (QAP).
- For IT management, 4.00% of new hires were PWD, below their representation in the QAP (13.30%).
- No PWD were hired for any of the six economist positions although 28 PWD were in the QAP (5.30%).
- On the other hand, PWD represent 5.26% of newly-hired accountants, above their participation rate in the qualified applicant pool (2.37%).
- Triggers were also observed for PWTD in the attorney, IT management, accountant, and economist occupations.
- For attorneys, the QAP for PWTD was 1.19%; no PWTD (0.00%) were hired as permanent staff attorneys.
- Forty-six PWTD were in the QAP (2.93%) for IT management, and no PWTD were hired (0.00%).
- Fourteen PWTD were in the QAP (2.65%) for economist positions, and no PWTD were hired.
- One PWTD was found in the QAP for accountants (0.34%), and no PWTD were hired.
- For securities compliance examiner vacancies posted in FY 2020, 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       No 0
- b. Qualified Applicants for MCO (PWTD)      Yes       No 0

In the FY 2020 data, 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 four of the SEC’s MCOs, i.e., attorney, accountant, securities compliance examiner, and IT management. Differences were also identified between the RAP and QAP for PWTD within the internal competitive promotion data for the MCOs of attorney, accountant, securities compliance examiner, and IT management.

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 5.36%, and PWD represented 2.75% of the qualified internal applicants. The RAP for PWTD was 1.10%, and PWTD were 0.00% of the qualified internal applicants for attorneys.

For accountants, the Agency did not observe a difference between the RAP and qualified internal applicants among PWD or PWTD.

For securities compliance examiners, the Agency observed a difference between the RAP and qualified internal applicants for PWD, but not for PWTD. The RAP for PWD was 7.04%, and PWD represented 3.51% of the qualified internal applicants.

For IT management, the Agency did not observe a difference between the RAP and qualified internal applicants for PWD or PWTD.

For economists, the Agency observed differences between the RAP and qualified internal applicants for PWD and PWTD. The RAP was 2.53% PWD, and there were no PWD among qualified internal applicants. The RAP for PWTD was 1.27%, 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 <input checked="" type="checkbox"/>	No <input type="checkbox"/>
b. Promotions for MCO (PWTD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

The selection data indicate a difference for PWD in the IT management occupations, but no differences were observed for selections across the attorney, accountant, securities compliance examiner, or economist occupations. Among IT management specialists, the QAP for PWD was 2.23%, and no PWD were represented among selections.

The selection data also indicate a difference for PWTD in the accountant and IT management occupations, but no differences were observed for selections across the attorney, securities compliance examiner, or economist occupations. Among IT management specialists, the QAP for PWTD was 14.76% PWD, and no PWTD were selected. Among accountants, the QAP for PWTD was 4.88%, and no PWTD were selected.



## 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 2020, 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. These improvements, which were commended by the EEOC, included: issuing compliant reasonable accommodation procedures; posting reasonable accommodation procedures on the SEC's external website; posting personal assistance services procedures on the SEC's external website; and posting Section 504 and 508 of the Rehabilitation Act and Architectural Barriers Act notices on the SEC's external website. The SEC continues to focus on enhancements with respect to advancement opportunities for persons with disabilities. On February 12, 2021, the SEC submitted its compliance report to the EEOC related to the ongoing deficiencies.

## 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 in Section IV below.

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

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- The *Aspiring Leaders Program* is an interactive blended-learning program designed to strengthen the leadership and management skills of SEC non-supervisory (SK-13 and SK-14) employees. The program covers: critical leadership skills for effective supervision; first-line management responsibilities; understanding government policy, process, and regulations relevant to management; and increasing self-awareness through guided self-assessments and feedback.
- The *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 formal 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 2020, 71 SEC employees 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: *Managing Yourself in the Virtual Environment* and *Building Effective Relationship Networks* (this latter course is designed to enhance relationship-building and maintain effective relationships for SEC leaders at all levels).

In FY 2020, the SEC initiated the development of the Senior Officer (SO) Cohort 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 creating a centralized, agency-wide selection program that initially screens candidates on essential leadership competencies in a fair and legally-compliant manner. OHR's Human Capital Strategy Group is developing

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the SO Cohort Program with a high level of rigor to ensure it provides a standardized, fair, and legally-compliant approach for selecting SOs. Special advisors from OEEO and OMWI provided technical assistance so that program materials and processes emphasize and support fairness, diversity, and inclusion. In FY 2021 OHR will launch a communication campaign to educate SEC employees on the program and create awareness, specifically emphasizing that the program offers an inclusive, open opportunity to advance for those employees willing to self-develop in the leadership skills targeted by this program.

In FY 2020, the Agency launched the second offering of the SEC Mentoring Program which was advertised SEC wide. On September 23, 2019, 103 employees registered interest in participating in the second mentoring cohort. On a first-come, first-serve basis, 30 participants were accepted into the Mentoring Program and matched with volunteer mentors with deep technical expertise and/or leadership experience. The SEC held an orientation session for both mentors and mentees on October 28 and 29, 2019. Thereafter, the SEC held formal events facilitated by the Office of the Chief Operating Officer and SEC University experts each quarter throughout FY 2020 (these career development events were offered virtually once SEC personnel transitioned to full-time telework due to the pandemic) to help guide the mentoring relationship toward success. The second cohort of the Mentoring Program celebrated its Capstone event in June 2020.

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 transitions to a permanent program (with a target set for the 2022 mentee cohort). 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.

In FY 2021, the SEC is launching a cross-office working group comprised of subject matter experts in the Offices of the Chief Operating Officer, Human Resources, Equal Employment Opportunity, and Minority and Women Inclusion which will consult with the Disability Interests Advisory Committee and other disability inclusion champions to drive a comprehensive plan related to advancement opportunities for PWD and PWTD. Enhanced marketing and possible tailoring of existing and developing SEC advancement-related programs and creating new programs will be collectively explored. 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 <sup>1</sup>	Total Participants		PWD		PWTD	
	Applicants (#)	Selectees (#)	Applicants (%)	Selectees (%)	Applicants (%)	Selectees (%)
Internship Programs	526	[Redacted to protect privacy.]	7.79%	33.33%	2.85%	33.33%
Fellowship Programs	165	17	0.61%	0.00%	0.61%	0.00%
Mentoring Programs	93	30	13.98%	13.33%	3.23%	3.33%
Coaching Programs	NA	NA	NA	NA	NA	NA
Training Programs	727	727	11.00%	11.00%	2.06%	2.06%
Detail Programs	65	13	6.15%	0.00%	1.54%	0.00%
Other Career Development Programs	NA	NA	NA	NA	NA	NA

**Notes to help the reader understand the data above:**

<sup>1</sup> 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 2020. 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.

The SEC does not currently have "Other Career Development Programs."

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  No 0
- b. Selections (PWD) Yes  No 0

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

For the internship program, 7.79% of applicants were PWD and PWD were 33.33% of selections. As selections had a substantially higher percentage of PWD than the percentage of PWD among applicants, there was no trigger for internships.

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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 (8.70%). PWD represent 13.98% of those employees who expressed interest in the Mentoring Program and 13.33% of those selected for mentoring. The participation rate of PWD among those selected to participate in the Mentoring Program for FY 2020 almost approximates those that express interest in the training program.

Aggregate PWD participation in training programs approved on standard form 182 through the Agency's learning management system, LEAP, exceeds their participation on rolls: 11.00% of training requiring separate approval on SF-182 were completed by PWD, compared to 8.70% 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 8.70% of permanent staff were PWD, 6.15% of applicants for temporary promotion were PWD. None of the applicants were selected.

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

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

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

From the Career Development Opportunities table in Section IV 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.

Similar to the PWD data for the Agency’s economist and accountant Fellows programs combined, the Agency noted a difference between the participation of PWTD among (external) applicants for these programs and eventual selections for positions. While 0.61% of applicants were PWTD, none of the Fellows hired (0.00%) were PWTD.

For the internship program, 2.85% of applicants were PWTD, and PWTD were 33.33% 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 (3.23%) exceeded the percentage of PWTD among permanent staff (1.91%). Thus, no trigger was found among applicants. The participation of PWTD among employees selected for mentoring in FY 2020 (3.33%) 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 program. In the aggregate, training records show that PWTD participated in training programs approved on SF-182 through LEAP at rates slightly above their participation on rolls; 2.06% of training opportunities requiring special approval were completed by PWTD, compared to 1.91% of PWTD permanent employees.

Data about Detailed employees show evidence of a difference disadvantaging PWTD among those who applied for Temporary Promotion and among those selected. While 1.54% of applicants for temporary promotion were PWTD, PWTD represent 1.91% of permanent staff employees. No PWTD were selected.

## Awards

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

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

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. Employees who received at least one award in any particular award category are counted once.

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. One employee is represented more than once if he or she received more than one award in that category.

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 did not find a trigger in the distribution of time-off awards at any level (less than 10 hours or 10 – 40 hours).

For cash awards, the Agency found a trigger for PWD for cash awards of \$2,000 – \$2,999. There were no triggers for PWD at any other cash award level.

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For cash awards at the \$2,000 – \$2,999 level, the inclusion rate for PWD was 7.10%, and the inclusion rate for people with no disability was 8.74%.

The Agency found triggers for PWTD at the cash award levels of \$500 and under, \$1,000 – \$1,999, and \$2,000 – \$2,999.

For cash awards of \$500 and under, the inclusion rate for PWTD was 16.47%, and the inclusion rate for people with no targeted disability was 18.75%. For cash awards of \$1,000 – \$1,999, the inclusion rate for PWTD was 28.24%, and the inclusion rate for people with no targeted disability was 35.28%. For cash awards of \$2,000 – \$2,999, the inclusion rate for PWTD was 5.88%, and the inclusion rate for people with no targeted disability was 8.66%.

The Agency has 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 <input checked="" type="checkbox"/>
b. Pay Increases (PWTD)	Yes 0	No <input checked="" type="checkbox"/>

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 <input checked="" type="checkbox"/>
b. Other Types of Recognition (PWTD)	Yes 0	No 0	N/A <input checked="" type="checkbox"/>

In FY 2020, the Agency did not offer other formal recognition programs for which demographic data, including disability status, are captured in the human resource data systems. The Agency recognizes the value of recognition to support PWD and PWTD in the workforce; trigger analysis is not conducted for programs such as the SEC Honorary Awards program or any of the several honors programs offered by Division Directors.

## 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 <b>X</b>	No 0
Internal Selections (PWD)	Yes 0	No <b>X</b>

**b. Grade GS-15**

Qualified Internal Applicants (PWD)	Yes 0	No <b>X</b>
Internal Selections (PWD)	Yes 0	No <b>X</b>

**c. Grade GS-14**

Qualified Internal Applicants (PWD)	Yes 0	No <b>X</b>
Internal Selections (PWD)	Yes <b>X</b>	No 0

**d. Grade GS-13**

Qualified Internal Applicants (PWD)	Yes 0	No <b>X</b>
Internal Selections (PWD)	Yes 0	No <b>X</b>

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

We reviewed FY 2020 data to assess whether triggers exist with regard to promotions to senior grade levels. Of 1,952 qualified internal applications for senior grade level positions, 363 (18.60%) were submitted by PWD. There was a difference between qualified applicants (5.81%) and the RAP (7.00%) at the SES equivalent level. There were no triggers identified among qualified internal applicants to the GS-15, GS-14, or GS-13 equivalent senior grades.

Among internal selections, a difference was observed at the GS-14 equivalent level, but not the SES, GS-15 or GS-13 equivalent levels. Of the 106 selections for internal promotions to senior grade levels, 13.21% were PWD, which is lower than their availability in the QAP at 18.60%. This difference was primarily driven by the GS-14 equivalent level. PWD represented 15.91% of selections at the GS-14 equivalent level, while they were 21.97% of qualified applicants.

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 <b>X</b>	No 0
Internal Selections (PWTD)	Yes 0	No <b>X</b>

**b. Grade GS-15**

Qualified Internal Applicants (PWTD)	Yes 0	No <b>X</b>
Internal Selections (PWTD)	Yes 0	No <b>X</b>

**c. Grade GS-14**

Qualified Internal Applicants (PWTD)	Yes 0	No <b>X</b>
Internal Selections (PWTD)	Yes 0	No <b>X</b>

**d. Grade GS-13**

Qualified Internal Applicants (PWTD)	Yes <b>X</b>	No 0
Internal Selections (PWTD)	Yes <b>X</b>	No 0

Applying the same comparisons to PWTD described previously, the Agency presents information on trigger identification for PWTD in promotions to senior grade levels. Of 1,952 qualified internal applications for senior grade level positions, 50 (2.56%) were submitted by PWTD, and 3.77% of selections were PWTD.

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

At the SES equivalent, SO, grade level, the RAP was 1.44% PWTD, and the participation among qualified internal applicants of PWTD was 0.00%. No selections for SO positions were PWTD as there were no PWTD in the qualified applicant pool.

At the GS-15 equivalent level, qualified internal applicants (1.87%) exceeded the RAP (1.43%). At this level, selections among PWTD (2.27%) exceeded qualified applicants (1.87%).

At the GS-14 equivalent level, the RAP was 1.55% while 2.58% of the qualified internal applicants were PWTD. Selections among PWTD (6.82%) exceeded the qualified applicant pool (2.58%).

At the GS-13 equivalent level, the Agency observed a difference involving PWTD among qualified internal applicants. The RAP was 5.63%, and the participation of PWTD among qualified internal applicants was 4.32%. None of the PWTD qualified internal applicants 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 <b>X</b>	No 0
b. New Hires to GS-15 (PWD)	Yes <b>X</b>	No 0
c. New Hires to GS-14 (PWD)	Yes 0	No <b>X</b>
d. New Hires to GS-13 (PWD)	Yes <b>X</b>	No 0

The Agency presents information on trigger identification for PWD new hires to senior grade levels. Among the 256 newly-hired staff members in FY 2020 were 207 persons hired into senior grade level positions: five SOs, 11 into GS-15 equivalent positions, 105 into GS-14 equivalent positions, and 86 into GS-13 equivalent positions. Sixteen of those 207 (7.73%) newly-hired permanent staff in senior grade levels identified as PWD. The following evaluates participation of PWD in each senior grade equivalent level.

The QAP summarizes data where the applicant self-identified with a disability and qualified for the position. Data describe vacancies for permanent positions with the SEC that were posted in USAJOBS with a closing date during the fiscal year, and 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 who 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 PWTD (*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 1.67% PWD, and none of the five newly-hired permanent SOs identified as PWD.

At the GS-15 equivalent level, the QAP was 10.94% PWD, and 9.09% of the 11 newly-hired permanent staff for those positions identified as PWD.

At the GS-14 equivalent levels, the QAP was 8.76% PWD, and 9.52% of the 105 newly-hired permanent staff were PWD.

At the GS-13 equivalent level, the QAP was 11.69% PWD, while 5.81% of the 86 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 0	No <b>X</b>
b. New Hires to GS-15 (PWTD)	Yes <b>X</b>	No 0
c. New Hires to GS-14 (PWTD)	Yes <b>X</b>	No 0
d. New Hires to GS-13 (PWTD)	Yes <b>X</b>	No 0

The Agency presents information on trigger identification for PWTD new hires to senior grade levels. The participation rate for PWTD was 0.97%.

The Agency found triggers in participation of PWTD between qualified applicants and new hires at the GS-13, GS-14, and GS-15 equivalent levels. The Agency did not have a trigger at the SES equivalent level because no PWTD were found among the qualified applicants for SES/ SO positions, thus no trigger was identified at that level.

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

At the GS-15 equivalent level, the QAP was 2.13%; no newly-hired staff members were PWTD (0.00%).

At the GS-14 equivalent level, the QAP was 2.98% PWTD; 1.90% of the newly-hired GS-14 equivalent staff were PWTD.

At the GS-13 equivalent level, the QAP was 3.96% 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 <b>X</b>
Internal Selections (PWD)	Yes 0	No <b>X</b>

**b. Managers**

Qualified Internal Applicants (PWD)	Yes 0	No <b>X</b>
Internal Selections (PWD)	Yes <b>X</b>	No 0

**c. Supervisors**

Qualified Internal Applicants (PWD)	Yes 0	No <b>X</b>
Internal Selections (PWD)	Yes <b>X</b>	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.

FY 2020 data are relevant for assessing whether triggers exist with regard to promotions to supervisory or managerial positions. Among the promotions in FY 2020 were 58 persons promoted to a leadership position at the supervisor, manager, or executive level: 10 SOs, 22 managers, and 26 supervisors. The following evaluates participation of PWD in each leadership level.

For the executive, manager, and supervisor levels, there were no differences to the disadvantage of PWD in the qualified internal applicant pool compared to the RAP.

For executives, the Agency did not have a trigger involving internal selections. The qualified applicant pool was 4.46% PWD, and selections were 10.00% PWD.

For managers, the Agency had a trigger involving internal selections. The qualified applicant pool was 10.13%, and selections were 4.55% PWD.

For supervisors, the Agency also had a trigger involving internal selections. The qualified applicant pool was 14.45%, and selections were 11.54% 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 <input checked="" type="checkbox"/>	No 0
Internal Selections (PWTD)	Yes 0	No <input checked="" type="checkbox"/>

**b. Managers**

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

**c. Supervisors**

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

The Agency presents information on trigger identification for PWTD internal promotions to supervisory positions. None of the 38 promotions were PWTD. The following evaluates participation of PWTD in each leadership level.

For Executives, there was a difference between the participation of PWTD in the qualified internal applicant pool compared to the RAP. There were no qualified applicants and the relevant applicant pool was 1.54% PWTD. There was no trigger for selections. No PWTD were selected, as there were no qualified applicants.

For Managers, there was no difference between the participation of PWTD in the qualified internal applicant pool compared to the RAP. The RAP was 1.13% PWTD and 1.27% of the qualified internal applicants were PWTD. The Agency identified a difference in participation for PWTD involving internal selections. No PWTD were selected, while PWTD were 1.27% of the qualified applicant pool.

For Supervisors, no triggers were identified among qualified internal applicants or selections.

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 <b>X</b>	No 0
b. New Hires for Managers (PWD)	Yes <b>X</b>	No 0
c. New Hires for Supervisors (PWD)	Yes 0	No <b>X</b>

The Agency presents information on trigger identification for PWD new hires into leadership positions, after assessing 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 2020 new hire data for PWD at the executive and manager levels. No trigger was found at the supervisor level.

Among the 256 newly-hired staff members in FY 2020 were 18 persons hired into leadership positions: five SOs, two SK-17 managers, and 11 supervisors below SK-17. [*Redacted to protect privacy.*] 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 1.00% PWD, and none of the five newly-hired permanent executives identified as PWD.

For managers, the QAP was 4.92% PWD, and neither of the two newly-hired managers identified as PWD.

For supervisors, the QAP was 12.78%, and 18.18% PWD were newly-hired into [*Redacted to protect privacy.*] 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 0	No <b>X</b>
b. New Hires for Managers (PWTD)	Yes 0	No <b>X</b>
c. New Hires for Supervisors (PWTD)	Yes <b>X</b>	No 0

No differences were found in the new hire data for PWTD at the executive or manager levels, but a difference was found at the supervisor level.

For executives, no PWTD (0.00%) were found in the qualified applicant pool, so there was no opportunity to observe a trigger. No PWTD were onboarded or selected as new hires for executive positions in FY 2020.

For managers, no PWTD (0.00%) were found in the qualified applicant pool, so there was no opportunity to observe a trigger. No PWTD were onboarded or selected as new hires for manager positions in FY 2020.

None of the 11 (0.00%) newly-hired permanent staff in supervisor positions identified as PWTD. The QAP was 1.94% [*Redacted to protect privacy.*].

## 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 2020, [Redacted to protect privacy.] employees were converted to the competitive service under the Schedule A hiring authority within two years of their most recent Schedule A appointment. [Redacted to protect privacy.] employees are currently serving on their most recent Schedule A appointments that were processed within the past two years. [Redacted to protect privacy.] employees hired in FY 2019 are serving on an initial Schedule A appointment, and [Redacted to protect privacy.] staff members were newly-hired under Schedule A during FY 2020. 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 2020, 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 0      No **X**
- b. Involuntary Separations (PWD)                      Yes 0      No **X**

Data from Table B1 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 did not have a trigger for voluntary or involuntary separations in FY 2020. The inclusion rate on voluntary separations was lower for PWD (3.07%) than for persons with no disability (3.68%). Likewise, the inclusion rate on involuntary separations was lower for PWD (0.00%) than for persons with no disability (0.05%).

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

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

Using data from Table B1, 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 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 did not have a trigger for voluntary or involuntary separations in FY 2020. The inclusion rate on voluntary separations was lower for PWTD (2.33%) than for persons with no disability (3.68%). Likewise, the inclusion rate on involuntary separations was lower for PWTD (0.00%) than for persons with no disability (0.05%).

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.

Not applicable. The Agency did not have a trigger with respect to separations for PWD or PWTD in FY 2020.

### Accessibility of Technology and Facilities

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

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

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

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).

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The SEC recently 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. An 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 will be finalized in FY 2021, and will be posted on [SEC.gov](https://www.sec.gov) thereafter.

Every SEC vacancy announcement posted to USAJOBS includes information about obtaining accommodations, including alternative methods to apply. The name of SEC's Special Programs Manager serving as the Selective Placement Program Coordinator is posted on OPM's website. OHR has built a separate page providing more in-depth information about hiring PWD ([SEC.gov/ohr/sec-disability-program-page.html](https://www.sec.gov/ohr/sec-disability-program-page.html)). 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 currently posts information on how to file an EEO complaint under, *inter alia*, Section 501 of the Rehabilitation Act at [SEC.gov/eeoinfo/eeocomplaints.htm](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.

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 *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. 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. Further, all Agency Contracting Officer Representatives (CORs) were required to complete Section 508 training in FY 2020.

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.)

The SEC established a reasonable accommodation (RA) processing timeline of 20 business days from the day of request to fulfillment, absent extenuating circumstances. Excluding the provision of adjustable height tables (AHTs), in FY 2020, 74% of initial requests for accommodation were processed within 20 business days.

The timeframe for processing RA requests in FY 2020 was affected by a number of organizational, environmental, and business process changes that impacted the Agency's ability to meet timeliness goal. Organizationally, the Agency maintained sufficient funding to acquire and implement approved accommodations for individuals with disabilities. At the end of FY 2019, the Agency experienced significant attrition of two key staff members with familiarity with the functions relative to processing requests for reasonable accommodation during this period. Since then, the Agency has ensued rigorous staffing activities through competitive staffing and detail opportunity procedures to regain adequate staffing levels to effectively administer the reasonable accommodation program. In FY 2020, the program hired additional staff to administer the RA program and respond to the RA program requests increasing its staffing level by one full-time equivalent (FTE) which include two federal employees (one staffer was on detail to another office from June to December 2020), and one contractor who provides administrative support for the RA program, along with the Disability Program Officer who also manages a diverse portfolio of other HR programs.

At the start of FY 2020, the Agency instituted several initiatives to mitigate barriers impacting reasonable accommodation timeliness. The limited production of certain ergonomic items (e.g., AHT desk-mounted solace equipment) resulted in extended lead time and required that the Agency temporarily change its vendor to meet the Agency's requirements. Also, the local distributor for the previous vendor servicing the entire Agency changed and manufacturer response time for the delivery and installation of equipment was impacted. In March 2020, as a result of the COVID-19 pandemic, the Agency instituted mandatory telework agency-wide, with limited exceptions. This prevented the Agency from delivering and installing ergonomic equipment that was purchased prior to the mandatory telework posture.

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Notwithstanding this, the SEC continued to provide reasonable accommodations to include PAS reader and personal assistant services, assistive technology and equipment, and ergonomic equipment to PWDs and PWTs during the current mandatory telework status. The Agency provided non-installation equipment (e.g., task chairs, monitors, keyboards, etc.) to employees' residences. Additionally, the Agency provided employees with a one-time stipend of up to \$335.00 to help defray the costs of certain IT and telework expenses incurred during the mandatory telework posture. Moreover, the Agency established interim workplace flexibilities with additional work scheduling options to assist employees with balancing work and personal obligations during the COVID-19 pandemic.

In FY 2020, the SEC initiated the procurement process to establish new contract vehicles via five-year blanket purchase agreements (BPA) for its Sign Language Interpretation and Ergonomic Furniture and Equipment Services. Implementation of the new vendor for the Sign Language Interpretation Services remains underway and is scheduled for FY 2021. A new BPA for the ergonomic program was established in FY 2020 and will provide more efficient and timely acquisition of vendor services and products. Under the previous contractual arrangement, the vendor typically required a 4 – 6 week lead time for the manufacturing of the product. After this time, the Agency works with the vendor to schedule coordinated delivery and installation of the product. This typically requires an additional 1 – 2 weeks. Under the new contract, the vendor typically requires a 4-week lead time which includes delivery. With this arrangement, the Agency anticipates a 2-week improvement in its ability to implement the ergonomic furniture and equipment. Furthermore, items will continue to be shipped to the manufacturer installer's warehouse and delivery and installation will be scheduled by the Agency. Therefore, onsite storage of equipment in Regional Offices is a non-issue. For Agency Headquarters offices, ergonomic furniture and equipment will continue to be stocked in inventory.

The SEC initiated frequent consultations with medical experts at the Federal Occupational and Health (FOH) to complete medical reviews of employees with a wide range of conditions in an effort to improve their ability to do their jobs and maintain a high level of productivity. In FY 2020, requests to FOH were processed in 24.3 days on average. While timeliness of FOH opinions improved by 13.1% in FY 2020, environmental factors further impacted the Agency's overall timeliness. Specifically, the impact of the ongoing COVID-19 pandemic affected the procurement process for the purchase of items for employees with disabilities and delayed scheduled installation of assistive technology and ergonomic equipment throughout the SEC.

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The Agency will continue ongoing efforts to procure a new HR service delivery platform to automate the reasonable accommodation program case management process in FY 2021. The implementation of the system is expected to simplify case tracking, help identify 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. Multiple competing priorities delayed the implementation of the case management system in FY 2020. During Q1 FY 2020, the Agency met with a potential vendor that included a system demonstration of a Commercial Off-The-Shelf (COTS) product to identify a solution that complements the Agency's reasonable accommodation program process and requirements in terms of system functionality, adaptability, and accessibility. To advance RA program maturity and success, system requirements analyses are expected to be completed in calendar year 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 in calendar year 2022.

In the meantime, a more structured set of processes and procedures were developed and used in FY 2020 for capturing data related to processing RA requests. The time frame for processing initial requests for RA during FY 2020 was 21.5 days; RA requests, excluding AHT were processed in 26.7 days; and requests for AHTs were processed in 11.5 days, respectively.

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.

The interactive portal, *AskHR*, on the Agency's intranet provides employees with information about reasonable accommodation and the processes for making requests. To support employees in making such a request, the Agency will replace the resource guide *Disability Accommodation Procedures* with a new RA policy and operational procedures in FY 2021. This new guidance will be available on the interactive portal for everyone involved in the accommodations process. It explains how persons with disabilities should request accommodations, how requests are processed, and, as applicable, how requestors may seek review of decisions where a request has been denied.

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The SEC provides temporary accommodations to employees with short-term medical conditions even when the condition does not constitute a covered disability when supervisory officials and the Disability Program Office decide that it is appropriate to do so. In FY 2020, the SEC processed 51 Temporary Medical Telework (TMT) requests, processed 104 RA requests, of which 26 were requests for telework as a reasonable accommodation.

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

The Agency will continue ongoing efforts to procure a new HR service delivery platform to automate the reasonable accommodation program case management process in FY 2021. The implementation of the system is expected to simplify case tracking, help identify 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 are expected to be completed in calendar year 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 in calendar year 2022.

Additionally, OHR continues to find ways to strengthen the current manual tracking process, including tracking timeliness for processing RA requests, and meeting on a monthly basis with the 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.

Requests and information relative to Personal Assistance Services remain available on the *AskHR* interactive portal. The SEC intends to publish in FY 2021 the new RA policy and operational procedures approved by the EEOC (in August 2019). During FY 2020, the Agency continued the review of the electronic case management system's business requirements, the new policy, and related procedural changes that support RA for employees and applicants for employment. Furthermore, changes to RA procedures will likely necessitate updates to training, job aids, notices, and other information sources in FY 2021 and beyond.

## 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.

In FY 2019, the Agency revised its Reasonable Accommodation Policy and related Operating Procedures. This guidance replaces the current resource guide *Disability Accommodation Procedures* with a new RA policy and related operating procedures to include information related to PAS, under *SECR 6-80, Reasonable Accommodation Program*. 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) in FY 2021, as required under the new Section 501 Affirmative Action Regulations. In early 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.

The *SECR 6-80 Reasonable Accommodation Program Policy* and 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 2020, 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.

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During FY 2020, 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 (CLTD 307) *Fundamentals of Human Resources (HR) 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 RA programs, 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, *Learn Engage Achieve 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 **X**      No 0      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 2020, the Agency did not have any findings of discrimination alleging harassment based on disability status. Two formal complaints that included allegations of harassment based on disability were settled.

### 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 2020, the Agency did not have any findings of discrimination involving the failure to provide reasonable accommodation. Three 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.

### Analyses of Persons with Disability and Targeted Disability in the Workforce

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?
<p>There was a lower-than-expected participation rate of Persons with Targeted Disabilities (PWTD) in the total workforce and in promotions to higher level positions when this study was initiated based on data from FY 2014. The participation rate of PWTD in the SEC's workforce was less than 1% in FY 2014 based on the then-current Standard Form 256 (SF-256) <i>Self Identification of Disability</i>. Participation of PWTD in the permanent workforce has increased based on the revised categories reflected in the new October 2016 version of the SF-256 to 2.02% in FY 2018.</p> <p>In FY 2018 data, the participation rate of Persons with Disabilities (PWD) in the total permanent workforce and among higher salaried employees as documented in responses to earlier sections is below the goal of 12% established by Section 501 of the Rehabilitation Act. The participation rate of higher salaried employees is 8.64%.</p> <p>Participation of PWD, and sometimes PWTD, among new hires and internal competitive promotions to mission critical, senior grade level, and leadership positions and among those who were selected for career development is below their availability in the relevant or qualified applicant pools.</p> <p>In contrast, the participation rate of PWD among those separating from the Agency in both FY 2017 and FY 2018 exceeded that expected based on their participation in the total workforce and in comparison to persons with no disability.</p>

Source of the Trigger	Specific Workforce Data Table
Workforce Data Table (if so identify the table)	Table B1 and employment lifecycle data
EEO Complaint(s)	
Grievance(s)	
Climate Assessment Survey	
Exit Interview(s)	
Anecdotal	
Other	

#### EEO Group(s) Affected by Trigger

EEO Group	
Persons with Disability	X
Persons with Targeted Disability	X

#### Barrier Analysis Process

Source of the Trigger	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	Workforce data tables and participation rates for PWD and PWTD from FY 2011 – FY 2018.  Demographic information related to retention for separated and on rolls PWD.
Complaint Data (Trends)	Yes	EEO complaint activity filed between FY 2012 – FY 2017 to identify any trends in complaints filed by PWD or PWTD.
Climate Assessment Survey (e.g., FEVS)	Yes	Federal Employee Viewpoint Survey data to compare responses from persons with disabilities to those with no disability.  Responses from PWD and PWTD to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018.
Exit Interview Data	Yes	Responses provided by PWD to the Agency's exit survey data from FY 2016 through FY 2018.
Focus Groups	No	
Interviews	Yes	Interviews with subject matter experts in OHR and OMWI and subject matter experts in disabled student service offices at Gallaudet University and Rochester Institute of Technology.  Interviews with the managers of PWD involuntarily separated during FY 2018 to uncover any preventable reasons for separation.
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Reports and regulations related to the employment of PWD and PWTD in the federal workforce offered by OPM, EEOC, DOL/ODEP, EARN, and other agencies and supporting organizations.

Source of the Trigger	Source Reviewed? (Yes or No)	Identify Information Collected
Other (Please Describe)	Yes	<p>Laws and federally mandated hiring and promotions policies, practices, and procedures applicable to recruitment and retention of persons with disabilities.</p> <p>The Agency's hiring and promotions policies, practices, and procedures applicable to people with disabilities, including those with targeted disabilities.</p> <p>Selection case files (hiring and promotions) from FY 2014 and FY 2015.</p> <p>Research literature, collective bargaining agreement language, and reports to better understand career development, promotion, retention, and recruiting and hiring processes related to PWD and PWTD.</p> <p>Information about best practices in recruiting PWD 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
No barrier was identified.	<p>While the Agency has not identified specific policies, practices, or procedures that represent a "barrier that affects employment opportunity for PWD or PWTD," representatives of OEEO and OHR agreed to take action toward enhancing equal employment opportunity for persons with (targeted) disabilities in the following areas:</p> <ul style="list-style-type: none"> <li>• Develop and implement policies and procedures specific to the recruitment, hiring, advancement, and retention of persons with disabilities and persons with targeted disabilities that are aligned with the federal government wide flexibilities and requirements for affirmative action;</li> <li>• Enhance consistency and structure in the posting, screening, and interview processes for selection; and</li> <li>• Create awareness on the part of hiring managers and subject matter experts (or others involved in the Agency's recruitment and selection processes) about the requirements for, and flexibilities available under, government wide programs supporting PWD and the affirmative action plan for PWTD; and employment programs, especially reasonable accommodation and disability programs, supportive of PWD and PWTD.</li> </ul>



**Objective(s) and Dates for EEO Plan**

Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Staffing & Funding (Yes or No)	Modified Date From (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)	Objective
10/01/2015	10/31/2020	Yes	09/30/2020	11/30/2020	<p>The objective of these efforts will be to continue to implement action plans developed to address the experience of PWTB and expand those plans to cover PWD in line with the revised EEOC regulations. Additional action will focus on:</p> <ul style="list-style-type: none"> <li>• Analysis of quantitative and qualitative data, including employee perceptions among the population of PWD and PWTB;</li> <li>• Implementing the recommended and required actions under Section 501 of the Rehabilitation Act of 1973;</li> <li>• Implementing, as feasible, revisions to the workforce data tables presenting information on PWD and PWTB, as per instruction from EEOC; and</li> <li>• Reviewing and updating agreed-upon action plans to address the broader population of PWD and PWTB and/or to cover Section 501 regulatory changes.</li> </ul>

**Responsible Official(s)**

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

**Planned Activities toward Completion of Objective**

<b>Target Date (mm/dd/yyyy)</b>	<b>Planned Activities</b>	<b>Sufficient Staffing &amp; Funding (Yes or No)</b>	<b>Modified Date From (mm/dd/yyyy)</b>	<b>Completion Date (mm/dd/yyyy)</b>
11/30/2017	OEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions among the population of PWD and PWTD as well as those without disabilities on, among other topics, the recruitment, hiring, promotion, recognition, and retention of talent.	Yes		11/6/2017
01/31/2018	The Agency will establish a cross-functional working group with representatives from OEEO and OHR to develop action plans and implement required and recommended activity under Section 501 of the Rehabilitation Act of 1973.	Yes		11/02/2017
03/31/2019	OEEO will gather data to determine the reasons for removal of PWD by reviewing data on file from any specific EEO activity and interviewing the supervisors of PWD who were involuntarily separated in FY 2017 and FY 2018.	Yes		3/31/2019
10/31/2020	OEEO will implement feasible changes to the workforce data tables providing information on PWD and PWTD in collaboration with a contracted service provider.	Yes	09/30/2019	11/30/2020

## Report of Accomplishments

Fiscal Year	Accomplishments
FY 2020	<p>All planned actions toward the objective defined in this section are complete. This particular study is now closed.</p> <p>During FY 2020, OEEO completed the work to design and implement changes to the workforce data tables under EEOC's instruction to federal agencies for workforce analysis. Revised tables that required significant manual intervention were included in the Agency's FY 2019 MD-715 Report.</p> <p>In parallel with developing and submitting the FY 2019 MD-715 Report, OEEO worked to improve the functionality and design of its equal employment opportunity—analytic tool (EEO-AT). These improvements added automation and standardized structure to the processing of workforce data tables, significantly reducing the workload associated with preparing workforce data tables, including those presenting information on persons with disabilities. Tool development was completed near the close of the fiscal year. User testing and resolution were completed in late October and early November. The improved EEO-AT II was used to generate and verify information presented in this report, including extensive analysis of persons with disability and persons with targeted disability shared in other sections of this report, <i>supra</i>. A fully functional set of analyses are now available. Technical documentation of analytic methods, data definitions, and standard operating procedures for this tool will continue in FY 2021.</p> <p>During FY 2020, OEEO and the SEC also completed the following actions in support of the <i>SEC's Affirmative Action Plan for the Recruitment, Hiring, Advancement and Retention of Persons with Disabilities</i> in the workforce.</p> <ul style="list-style-type: none"> <li>• The Disability Interests Advisory Committee took action through the Employment Lifecycle subcommittee focused on member interests. To inform this action, OEEO shared information with this subcommittee about the Agency's PWD workforce, led group exercises to uncover and define opportunities to expand support for PWD, and provided the resulting suggestions for action by DIAC members, by other supporting process owners in OHR and Office of Support Operations, and by Agency leadership in general.</li> <li>• During FY 2020, the Diversity Council and the SEC Chairman solicited input from each EAG to inform Agency response to observed differences in the employee experience from FEVS data. DIAC's suggestions for concrete action for the Diversity Council were informed by OEEO's prior barrier analysis work and the data-driven insights from the Employee Lifecycle subcommittee described above. DIAC's contribution, in turn, informed specific near and longer term initiatives, which notably captured and called out actions to enhance equality of opportunity for the Agency's disability community.</li> <li>• In late FY 2020, OEEO worked with OMWI, OHR, and DIAC on plans for a fireside chat hosted by Commissioner Roisman and DIAC's executive sponsor, which took place during the 2020 National Disability Employment Awareness Month. During this impactful session, Commissioner Roisman led a discussion with senior leaders who self-identify as persons with a disability. The discussion included: personal disclosure in connection with the OEEO-led UN-covering Taskforce initiative, an overview of each leader's personal experiences and journey toward success, and the value of relationships and strong supportive community. The session design and format conform to OEEO's research-based suggestions for strong senior leader support and modeling disability inclusion.</li> <li>• The Agency focused greater attention on accessibility in the workplace. Specifically, the SEC continues to provide consistent, dedicated, and timely support for information technology accessibility to the PWD and PWTD communities.</li> <li>• The Agency's RA Program office continues to engage with the OHR, Talent Acquisition Group to assist newly-selected employees who self-identify themselves as PWD or PWTD to determine the accessibility options, if any, they may need so that solutions can be identified and made available when the employee reports for duty at the SEC.</li> <li>• The Agency conducted scenario-based training with specific illustrations for supervisors and managers to heighten their awareness about the Rehabilitation Act and the SEC's RA program and provides general characteristics of available accommodations (offerings such as PAS) typically requested by employees with disabilities. The training also clarifies assumptions about roles and responsibilities with respect to the Agency's reasonable accommodation program.</li> <li>• The Agency updated its external website to ensure public accessibility of its reasonable accommodation procedures and personal assistance services guidance on the <a href="https://www.sec.gov">SEC.gov</a> website for PWD and PWTD.</li> <li>• The Agency published additional resource information for employees, supervisors, and managers on the Agency's interactive internal portal, <i>AskHR</i>, which provides a general overview and insight into its reasonable accommodation program process.</li> <li>• The Agency strengthened partnerships with stakeholders to include SEC program offices, NTEU, OMWI, DIAC, and employee affinity groups to identify sustainable actions to improve the Agency's Diversity and Inclusion initiatives for the PWD and PWTD communities.</li> <li>• The Agency continued to provide reasonable accommodations to include PAS reader and personal assistant services, assistive technology and equipment, and ergonomic equipment to PWDs and PWTDs during the current mandatory telework status. The Agency provided non-installation equipment (e.g., task chairs, monitors, keyboards) to employees at their place of residence.</li> </ul>

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

During FY 2020, OEEO completed the work to design and implement changes to the workforce data tables under EEOC's instruction to federal agencies for workforce analysis. A fully functional tool to generate workforce data tables is now available. All planned actions toward the objective defined in this section are complete.

This study is now closed.

5. For the planned activities that were completed, please describe the actual impact of those activities toward eliminated the barrier.

Actions defined for this objective are now complete. This particular study is now closed. Additional exploration and analysis supporting the SEC's *Affirmative Action Plan for Persons with Disabilities* will be considered under the prioritization framework for inclusion in the SEC's research agenda.

As described in other sections above, after a steady increase in participation over the past several years, the Agency achieved the goals established under Section 501 of the Rehabilitation Act for both PWTD and PWD at the lower salary levels. Because of the relatively small size of the PWD and PWTD populations, small changes in workforce participation, year over year, can have large impacts on the observed rates of change. Nonetheless, the SEC notes the following indications of growth within this employee population. From FY 2013 to FY 2020:

- The permanent workforce of PWTD experienced net growth of 14 persons or 19.44%, which outpaces the 12.83% net growth in the total permanent workforce over that same time period. Participation of PWTD in the total permanent workforce rose from 1.81% to 1.91%. PWTD, among higher salaried employees, increased from 1.54% to 1.94%.
- The permanent PWD workforce experienced net growth of 168 persons or 75.34%. Participation of PWD rose from 5.14% in the total workforce to 8.70% and from 4.93% to 8.62% among higher salaried employees.

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

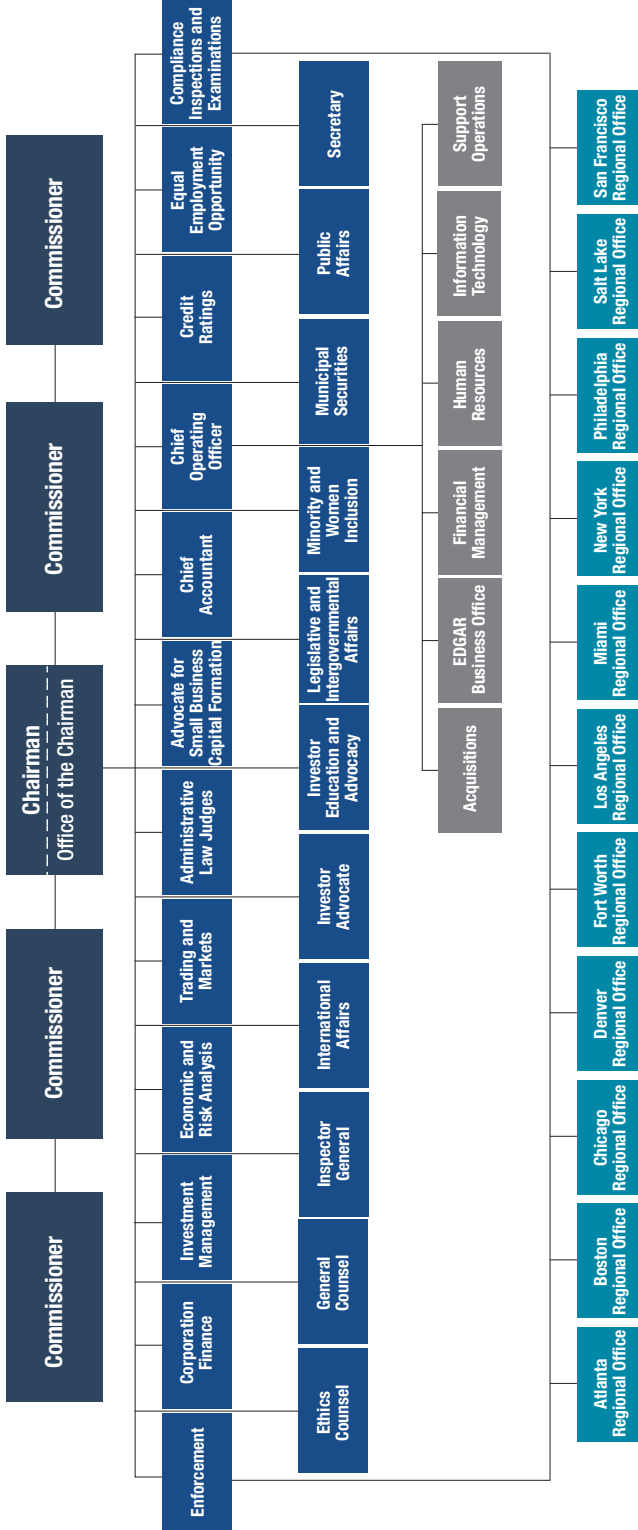
6. If the planned activities did not correct the trigger(s) and/or barrier(s), please describe how the Agency intends to improve the plan for the next fiscal year.

Triggers from the original study of PWTD continue to require focused attention toward improvement. Starting in FY 2016 and through FY 2019, representatives of OEE0 and OHR initiated and completed actions intended to address the recommendations to improve employment opportunities for PWTD. These actions were completed in FY 2019.

This study of Persons with Targeted Disabilities is now closed.

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# ATTACHMENT 1. SEC ORGANIZATIONAL CHART



# SEC'S ORGANIZATIONAL STRUCTURE

The SEC's leadership includes a Chairman and four Commissioners located at the SEC's Headquarters in Washington, DC.

The SEC consists of five presidentially-appointed Commissioners with staggered five-year terms. One of the Commissioners is designated by the President as the Chairman of the Commission—the Commission's chief executive. The Agency's functional responsibilities are organized into five Divisions and 25 Offices, each of which is headquartered in Washington, DC. The Commission's staff is located in Washington, DC, and 11 Regional Offices throughout the country. Divisions and Offices include:

## Five Divisions:

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

## Twenty-five Offices:

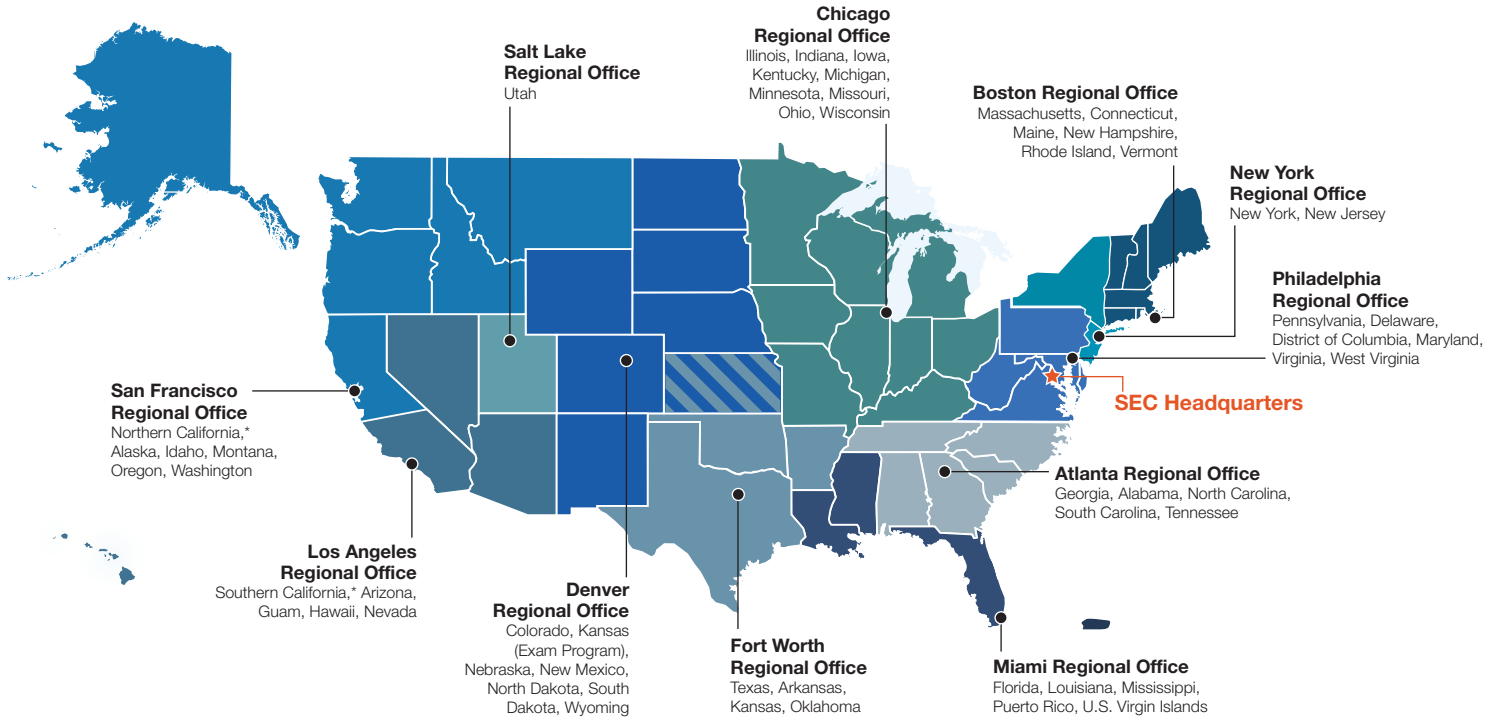
- Acquisitions
- Administrative Law Judges
- Advocate for Small Business Capital Formation
- Chairman
- Chief Accountant
- Chief Operating Officer
- Compliance Inspections and Examinations
- Credit Ratings
- EDGAR Business Office
- Equal Employment Opportunity
- Ethics Counsel
- Financial Management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



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

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

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



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

# ATTACHMENT 2. EQUAL EMPLOYMENT OPPORTUNITY POLICY

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

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

  
\_\_\_\_\_  
JAY CLAYTON

\_\_\_\_\_  
June 23, 2020

DATE

ATTACHMENT 3.  
SEC STRATEGIC PLAN  
FY 2018–FY 2022

The Agency *Strategic Plan* can be found at [www.SEC.gov/strategic-plan](http://www.SEC.gov/strategic-plan).

# ATTACHMENT 4. POLICY ON PREVENTING HARASSMENT (PPH)

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

The SEC prohibits harassment on each of the following equal employment opportunity (EEO) bases: race, color, sex (which is not limited to conduct that is sexual in nature and includes pregnancy, gender identity, sexual orientation, and transgender status), age (40 and older), religion, national origin, disability, genetic information, parental status 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](mailto:HarassmentConcerns@sec.gov), telephone (202) 551-6040, fax (202) 772-9316, or in person (SP111, Suite 2900). OEEO will accept and process anonymous allegations to the extent possible. Additional information is also available on [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.

June 23, 2020

DATE

  
JAY CLAYTON

# ATTACHMENT 5. REPRESENTATIVE SAMPLE OF CHAIRMAN CLAYTON'S COMMUNICATIONS TO STAFF ON EEO AND DIVERSITY & INCLUSION

## ATTACHMENT 5: REPRESENTATIVE SAMPLE OF CHAIRMAN CLAYTON'S COMMUNICATIONS TO STAFF ON EEO AND DIVERSITY & INCLUSION

DATE	EEO and D&I CONTENT
12/18/20	Provided an update on the SEC's diversity, inclusion and opportunity efforts. Request that SEC staff continue to be leaders in thought and action and lead by example.
12/11/20	Highlighted the SEC's 10/19/20 First Generation Professionals Panel Discussion on <i>Resilience and Grit in Times of Crisis and Uncertainty</i> featuring SEC Commissioners Allison H. Lee and Elad Roisman, and FDIC Chairman Jelena McWilliams.
12/10/20	Reported that the SEC met or exceeded its highest scores since 2012 in the 2020 FEVS survey's key indices, and saw significant gains in items related to, <i>inter alia</i> , diversity, inclusion and opportunity, and fairness.
12/4/20	Highlighted a December meeting of the Asset Management Advisory Committee, where topics of discussion included how to improve diversity and inclusion within the asset management industry and the financial services sector.
11/20/20	Highlighted the November 23, 2020, " <a href="#">Women of Color Entrepreneurs on Being Powerful Voices for Access to Capital</a> " event, hosted by the SEC's Office of the Advocate for Small Business and the Los Angeles and Atlanta Regional Offices.
11/16/20	Underscored that no ongoing work is more important to Chairman Clayton than the SEC's efforts in diversity, inclusion and opportunity. The Chairman requested that SEC staff "continue to give people, all people, new people, people who have been here for decades, a chance to do their best. It will make each of us better and all of us an even better team."
11/12/20	Highlighted the discussion of the SEC's work on diversity, inclusion and opportunity in the SEC's Annual Financial Report as an integral part of the SEC's value-add commitment to its mission.
8/12/20	Provided updates on the SEC's efforts, internally and externally, on D&I and Opportunity, including the: (1) approval of the SEC's Diversity and Inclusion Strategic Plan; (2) new position of Senior Policy Advisor on Diversity and Inclusion; (3) launch of the Un.Covering Task Force to promote inclusion in the workplace; (4) launch of manager training on conscious equity; (5) focused efforts on bringing more diverse perspectives in the public-facing and mission-oriented work of the Commission by providing platforms to highlight the experiences of African American women in venture capital and minority underrepresentation in the asset management industry; and (6) SEC independent advisory committees to consider diversity and inclusion in their membership, their areas of expertise and their events. Identified near-term and longer-term initiatives the SEC would pursue to improve agency culture and enhance internal and external opportunity.
6/1/20	Acknowledged the pain suffered by colleagues of color, in particular, African Americans, when confronting video recordings and images of institutional racism [as evidenced by the death of Messieurs George Floyd and Ahmaud Arbery]. Highlighted the importance of individually and collectively addressing racism and institutional barriers.
1/20/20	Noted in the celebration of Martin Luther King, Jr., Day, Dr. King's message that social justice was a matter of law AND economics. Encouraged the SEC to be mindful of Dr. King's message and strive to expand access and opportunity to financial markets to underserved communities. Announced the draft of the SEC's inaugural Diversity and Inclusion Plan and encouraged staff to provide feedback on the plan.

# ATTACHMENT 6. REASONABLE ACCOMMODATION AND PERSONAL ASSISTANCE SERVICES PROCEDURES

To review the SEC's reasonable accommodation and personal assistance service procedures, please visit [www.SEC.gov/ohr/sec-disabilityprogram-page.html](http://www.SEC.gov/ohr/sec-disabilityprogram-page.html).

# ATTACHMENT 7. SEC'S ALTERNATIVE DISPUTE RESOLUTION CONFLICT TO RESOLUTION 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

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### 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 8. POLICY MEMORANDUM: STANDARDS FOR EEO, WORKFORCE DIVERSITY, AND WORKPLACE INCLUSION

Relevant policies are attached for reference. The Joint Standards on Diversity Policies and Practices is available on the SEC website: [www.SEC.gov/rules/policy/2015/34-75050.pdf](http://www.SEC.gov/rules/policy/2015/34-75050.pdf).

# ATTACHMENT 9. FY 2020 OMWI SPECIAL OBSERVANCES AND EVENTS

## Attachment 9: FY 2020 Programs for Special Observances and Other Events Celebrating Affinity Groups<sup>1</sup>

Program and Speaker
<p><b>Hispanic Heritage Month (September 15-October 15)<sup>2</sup></b></p> <ul style="list-style-type: none"> <li>➤ <i>“Fighting for Citizenship: A Literary History of Latinos in the U.S. Armed Forces” – presentation by guest speaker, John Alba Cutler, Associate Professor of English, Associate Chair of the Department of English, and faculty member of the Latina &amp; Latino Studies Program; program sponsored by HALO. (CHRO, October 2019)</i></li> <li>➤ <i>“COVID and its Impact on the Hispanic Community and Hispanic-Owned Small Businesses” – panel discussion hosted by HALO to go with the 2020 theme of Hispanic Heritage month: “Hispanic Americans: A History of Serving Our Nation;” moderated by Chairman Jay Clayton and featuring panelists Maxeme “Max” Tuchman, CEO and co-founder of Caribu, and the first Latina to raise \$1 million using Regulation Crowdfunding; Ramiro Cavazos, president and CEO of the U.S. Hispanic Chamber of Commerce; and Guillermo Aviles Mendoza, senior adviser of the Office of the Assistant Secretary for Health at the U.S. Department of Health and Human Services. (HQ, October 2020)</i></li> </ul>
<p><b>Disability Awareness Month (October)</b></p> <ul style="list-style-type: none"> <li>➤ <i>“Disability, Disclosure and Identity in the Workplace” – presentation by University of Maryland professor, Jennifer Wessel, and Ph.D. candidate, Sara Barth, on their research in the area of disability studies, with a focus on the disclosure of psychological and physical disabilities in the workplace; program sponsored by DIAC. (HQ, October 2019)</i></li> </ul>
<p><b>Native American Heritage Month (November)</b></p> <ul style="list-style-type: none"> <li>➤ <i>“More Than a Word” – documentary film screening and discussion from Native American filmmakers, John and Kenn Little, analyzing the National Football League team in Washington and its controversial name, and discussing related issues; program sponsored by the American Indian Heritage Committee. (HQ, November 2019)</i></li> </ul>

<sup>1</sup> Some Employee Affinity Group events occurred outside of Special Observance months in FY 2020 and are noted accordingly.

<sup>2</sup> Hispanic Heritage Month straddles two fiscal years.

## Program and Speaker

### Veterans Day Commemoration (November)

- *“Celebrating your Service: Financial Readiness Conversation and Veterans Expo” – program featuring guest speaker, Colonel James Tuite of the U.S. Army’s “Old Guard” who joined Chairman Jay Clayton, SEC colleagues, Joshua Reese, Gregory Bockin, and Brad Voorhees, who have served in foreign wars and the combat theater, Dr. Reginald McRae, psychologist who treats veterans for combat-related mental impairments and C. Thomas Long, Ph.D., expert on D-Day; program sponsored by Veterans Committee. (HQ, November 2019)*

### African American History Month (February)

- *“After Selma” – documentary film screening and discussion on the history of voter suppression and the need to challenge it in order to preserve democracy and equality for all; program sponsored by the AAC and OMWI. (HQ, February 2020)*
- *“Experiences and Outlook: A Candid Conversation on Diversity and Inclusion” – Panel discussion on the importance of mentoring and the need to have tough conversations about race and opportunities; moderated by Chairman Jay Clayton and featuring Harold Ford, Jr., former U.S. Congressman from Tennessee and Jack “Rusty” O’Kelley, III, Co-Leader at Russell Reynolds Associates; program sponsored by the AAC and OMWI. (HQ, February 2020)*
- *“Fireside Chat with the Honorable Arlander Keys” – presentation by former magistrate judge for the U.S. District Court for the Northern District of Illinois on growing up in segregated Jim Crow Mississippi, fighting for civil and voter rights, and working on the federal bench; program sponsored by the AAC. (CHRO, February 2020)*
- *“History of Voting Rights in America” – presentation by Debo P. Adebile, a partner in the Government and Regulatory Litigation Group of WilmerHale and co-chairman of the firm’s anti-discrimination practice group; program sponsored by the AAC. (NYRO, February 2020)*

### Women’s History Month (March)

- *“Fireside Chat with Jessie Liu” – presentation by former U.S. Attorney for the District of Columbia, and Chairman Jay Clayton on a range of topics, including diversity and inclusion in the workplace, mentoring and sponsoring others, work-life balance, and potential bias in hiring and promoting women; program sponsored by the Women’s Committee. (HQ, March 2020)*
- *“Entrepreneurship Without Borders” – presentation by guest speaker, Christine Souffrant Ntim, an award-winning Haitian American entrepreneur, who shared her experience as a globally recognized expert in startup ecosystems for emerging markets; program sponsored by the Women’s Committee and AAC. (PLRO, May 2020)*

#### Program and Speaker

##### Asian American Pacific Islander Month (May)

- *“Unity as an Empowering Force” – featuring speaker, S.P. Kothari, the SEC’s Chief Economist and Director of the Division of Economic and Risk Analysis and moderated by Commissioner Hester M. Peirce, on his receipt of the Padma Shri Award (one of the highest civilian awards issued by the Indian government), the COVID-19 pandemic compared to the 2008 Great Recession, his favorite economist, and his personal experience and views on diversity and inclusion. Colleagues from the Commodities Future Trading Commission were invited to attend; program sponsored by the AAPI Committee. (HQ, May 2020)*
- *“Poignant Recollections from World War II Internment Camps” – virtual chat with Japanese internment camp survivors, Betty and JR Morita, on memories of their lives before, during, and after their time in the camps; moderated by CHRO Regional Director Joel Levin; program sponsored by the AAPI Committee. (CHRO, May 2020)*

##### Caribbean American Heritage Month (June)

- *Event with keynote speaker Jamaica-born and based Lisandra Rickards, founder and CEO of Soul Career, a coaching company that helps executives, professionals and entrepreneurs discover their life’s work, lead authentically and build powerful legacies, who discussed how she is now using her experience working at firms and companies in the United States to train executives and entrepreneurs in the Caribbean to build their businesses; moderated by John Moses; program sponsored by the CAHC and OMWI. (HQ, June 2020)*

##### Lesbian, Gay, Bisexual and Transgender (LGBT) Pride Month (June)

- *“Fireside chat on Personal Reflections on Allyship at the SEC” – opening remarks by Chairman Jay Clayton and presentations by Robert Marchman, Senior Policy Advisor on Diversity and Inclusion, and Jorge Tenreiro, Senior Trial Counsel NYRO; program sponsored by the Pride Alliance. (HQ, June 2020)*
- *“Becoming an LGBT Ally” – presentation by guest speaker, Brian Bond, executive director of PFLAG, who discussed how non-LGBT colleagues can be allies in the workplace for their LGBT co-workers; opening remarks by Commissioner Elad Roisman and introduction by Lori Schöck, director of the SEC’s Office of Investor Education and Advocacy; program sponsored by the Pride Alliance. (HQ, June 2020)*
- *“[The Danger of Hiding Who You Are](#)” by Morgana Bailey – a TED Talk Tuesday event featuring viewing and discussion of the TED Talk; program sponsored by the Pride Alliance and OMWI, with guest hosts David Cohen, attorney in the Office of Market Intelligence, Division of Enforcement, and Julie Preuitt, senior special advisor in the Office of International Affairs. (HQ, June 2020)*

Source: Office of Minority and Women Inclusion

# ATTACHMENT 10. WORKFORCE DATA TABLES

The SEC's workforce data tables are attached.

The SEC previously submitted the FY 2020 462 Report to the EEOC.

**TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
PAY PERIODS 201922 TO 202021**

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
CLF (2010)	100%	51.86%	48.14%	5.17%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%
<b>TOTAL WORKFORCE</b>																	
Prior FY	#	4,365	2,348	134	112	1,719	1,132	205	475	273	270	0	2	12	5	5	21
	%	100%	53.79%	3.07%	2.57%	39.38%	25.93%	4.70%	10.88%	6.25%	6.19%	0.00%	0.05%	0.27%	0.11%	0.11%	0.48%
Current FY	#	4,493	2,417	144	118	1,764	1,157	207	487	288	287	0	1	10	6	4	20
	%	100%	53.79%	3.20%	2.63%	39.26%	25.75%	4.61%	10.84%	6.41%	6.39%	0.00%	0.02%	0.22%	0.13%	0.09%	0.45%
Difference	#	128	69	10	6	45	25	2	12	15	17	0	-1	-2	1	-1	-1
Ratio Change	%	0.00%	0.00%	0.13%	0.06%	-0.12%	-0.18%	-0.09%	-0.04%	0.16%	0.20%	0.00%	-0.03%	-0.05%	0.02%	-0.02%	-0.03%
Net Change	%	2.93%	2.94%	7.46%	5.36%	2.62%	2.21%	0.98%	2.53%	5.49%	6.30%	0.00%	-50.00%	-16.67%	20.00%	-20.00%	-4.76%
<b>EMPLOYEE GAINS</b>																	
TOTAL NEW HIRES	#	293	162	12	10	115	65	11	29	24	25	0	0	0	1	0	1
	%	100%	55.29%	4.10%	3.41%	39.25%	22.18%	3.75%	9.90%	8.19%	8.53%	0.00%	0.00%	0.00%	0.34%	0.00%	0.34%

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 202021, downloaded on 11/12/2020

TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
 PAY PERIODS 201922 TO 202021 *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
<b>EMPLOYEE LOSSES</b>																	
Involuntary	#	2	0	0	0	0	0	2	0	0	0	0	0	0	0	0	0
	%	100%	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%
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	#	2	0	0	0	0	0	2	0	0	0	0	0	0	0	0	0
	%	100%	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%
Voluntary	#	163	90	73	3	4	68	42	17	10	10	0	0	1	0	1	0
	%	100%	55.21%	44.79%	1.84%	2.45%	41.72%	25.77%	4.29%	6.13%	6.13%	0.00%	0.00%	0.61%	0.00%	0.61%	0.00%
Resignation	#	62	34	28	1	1	26	12	2	4	8	0	0	0	0	1	0
	%	100%	54.84%	45.16%	1.61%	1.61%	41.94%	19.35%	3.23%	6.45%	12.90%	0.00%	0.00%	0.00%	0.00%	1.61%	0.00%
Retirement	#	75	41	34	2	2	35	23	2	1	1	0	0	1	0	0	0
	%	100%	54.67%	45.33%	2.67%	2.67%	46.67%	30.67%	2.67%	1.33%	1.33%	0.00%	0.00%	1.33%	0.00%	0.00%	0.00%
Other	#	26	15	11	0	1	7	7	3	5	1	0	0	0	0	0	0
	%	100%	57.69%	42.31%	0.00%	3.85%	26.92%	26.92%	11.54%	19.23%	3.85%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>TOTAL Separations</b>	#	165	92	73	3	4	68	42	9	10	10	0	0	1	0	1	0
	%	100%	55.76%	44.24%	1.82%	2.42%	41.21%	25.45%	5.45%	6.06%	6.06%	0.00%	0.00%	0.61%	0.00%	0.61%	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 202021, downloaded on 11/12/2020

**TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX**  
**PAY PERIODS 201922 TO 202021** *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
<b>PERMANENT</b>																	
Prior FY	#	4,266	2,294	1,972	133	110	1,674	1,099	204	473	266	264	0	1	12	5	20
	%	100%	53.77%	46.23%	3.12%	2.58%	39.24%	25.76%	4.78%	11.09%	6.24%	6.19%	0.00%	0.02%	0.28%	0.12%	0.47%
Current FY	#	4,389	2,358	2,031	142	116	1,717	1,127	204	482	281	280	0	1	10	6	19
	%	100%	53.73%	46.27%	3.24%	2.64%	39.12%	25.68%	4.65%	10.98%	6.40%	6.38%	0.00%	0.02%	0.23%	0.14%	0.43%
Difference	#	123	64	59	9	6	43	28	0	9	15	16	0	0	-2	1	-1
Ratio Change	%	0.00%	-0.04%	0.05%	0.12%	0.06%	-0.12%	-0.08%	-0.13%	-0.11%	0.17%	0.19%	0.00%	0.00%	-0.05%	0.02%	-0.04%
Net Change	%	2.88%	2.79%	2.99%	6.77%	5.45%	2.57%	2.55%	0.00%	1.90%	5.64%	6.06%	0.00%	0.00%	-16.67%	20.00%	-5.00%
<b>EMPLOYEE GAINS</b>																	
Permanent New Hires	#	256	137	119	11	10	95	59	11	25	20	23	0	0	0	1	1
	%	100%	53.52%	46.48%	4.30%	3.91%	37.11%	23.05%	4.30%	9.77%	7.81%	8.98%	0.00%	0.00%	0.00%	0.39%	0.39%

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 202021, downloaded on 11/12/2020



TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
 PAY PERIODS 201922 TO 202021 *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
<b>EMPLOYEE LOSSES</b>																	
Involuntary	#	2	0	0	0	0	0	2	0	0	0	0	0	0	0	0	0
	%	100%	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%
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	#	2	0	0	0	0	0	2	0	0	0	0	0	0	0	0	0
	%	100%	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%
Voluntary	#	139	75	64	3	4	56	7	17	7	8	0	0	1	0	1	0
	%	100%	53.96%	46.04%	2.16%	2.88%	40.29%	5.04%	12.23%	5.04%	5.76%	0.00%	0.00%	0.72%	0.00%	0.72%	0.00%
Resignation	#	47	25	22	1	1	18	2	7	3	6	0	0	0	0	1	0
	%	100%	53.19%	46.81%	2.13%	2.13%	38.30%	4.26%	14.89%	6.38%	12.77%	0.00%	0.00%	0.00%	0.00%	2.13%	0.00%
Retirement	#	75	41	34	2	2	35	2	8	1	1	0	0	1	0	0	0
	%	100%	54.67%	45.33%	2.67%	2.67%	46.67%	2.67%	10.67%	1.33%	1.33%	0.00%	0.00%	1.33%	0.00%	0.00%	0.00%
Other	#	17	9	8	0	1	3	3	2	3	1	0	0	0	0	0	0
	%	100%	52.94%	47.06%	0.00%	5.88%	17.65%	17.65%	11.76%	17.65%	5.88%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>TOTAL Separations</b>	#	141	77	64	3	4	56	9	17	7	8	0	0	1	0	1	0
	%	100%	54.61%	45.39%	2.13%	2.84%	39.72%	6.38%	12.06%	4.96%	5.67%	0.00%	0.00%	0.71%	0.00%	0.71%	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 202021, downloaded on 11/12/2020

TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
 PAY PERIODS 201922 TO 202021 *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	#	99	54	45	1	2	45	33	1	2	7	6	0	1	0	0	1
	%	100%	54.55%	45.45%	1.01%	2.02%	45.45%	33.33%	1.01%	2.02%	7.07%	6.06%	0.00%	1.01%	0.00%	0.00%	1.01%
Current FY	#	104	59	45	2	2	47	30	3	5	7	7	0	0	0	0	1
	%	100%	56.73%	43.27%	1.92%	1.92%	45.19%	28.85%	2.88%	4.81%	6.73%	6.73%	0.00%	0.00%	0.00%	0.00%	0.96%
Difference	#	5	5	0	1	0	2	-3	2	3	0	1	0	-1	0	0	0
Ratio Change	%	0%	2.18%	-2.19%	0.91%	-0.10%	-0.26%	-4.49%	1.87%	2.79%	-0.34%	0.67%	0.00%	-1.01%	0.00%	0.00%	-0.05%
Net Change	%	5.05%	9.26%	0.00%	100%	0.00%	4.44%	-9.09%	200.00%	150.00%	0.00%	16.67%	0.00%	-100.00%	0.00%	0.00%	0.00%
<b>EMPLOYEE GAINS</b>																	
Temporary New Hires	#	37	25	12	1	0	20	6	0	4	4	2	0	0	0	0	0
	%	100%	67.57%	32.43%	2.70%	0.00%	54.05%	16.22%	0.00%	10.81%	10.81%	5.41%	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 202021, downloaded on 11/12/2020

TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
 PAY PERIODS 201922 TO 202021 *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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>EMPLOYEE LOSSES</b>																		
Involuntary	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%
Reduction in Force	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%
Removal	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%
Voluntary	24	62.50%	15	37.50%	9	29.17%	7	21.88%	0	0.00%	3	9.38%	2	6.25%	0	0.00%	0	0.00%
Resignation	15	37.50%	9	22.50%	8	24.00%	4	12.00%	0	0.00%	1	3.00%	2	6.00%	0	0.00%	0	0.00%
Retirement	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%
Other	9	22.50%	6	15.00%	4	12.00%	3	9.00%	0	0.00%	2	6.00%	0	0.00%	0	0.00%	0	0.00%
<b>TOTAL Separations</b>	24	62.50%	15	37.50%	12	30.00%	7	17.50%	0	0.00%	3	7.50%	2	5.00%	0	0.00%	0	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 202021, downloaded on 11/12/2020

**TABLE A2: REGIONAL OFFICES AND HEADQUARTERS—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
PERMANENT WORKFORCE—PAY PERIOD 202021**

REGIONAL 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	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
CLF (2010)	100%	48.14%	51.86%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%
TOTAL WORKFORCE	4,389	2,358	2,031	116	1,717	1,127	204	482	281	280	0	1	10	6	4	19
	100%	53.73%	46.27%	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%
HQ	2,803	1,471	1,332	63	1,046	705	153	375	188	170	0	1	8	3	2	15
	100%	52.48%	47.52%	2.25%	37.32%	25.15%	5.46%	13.38%	6.71%	6.06%	0.00%	0.04%	0.29%	0.11%	0.07%	0.54%
NYRO	374	201	173	13	156	105	5	26	25	28	0	0	0	0	0	1
	100%	53.74%	46.26%	3.48%	41.71%	28.07%	1.34%	6.95%	6.68%	7.49%	0.00%	0.00%	0.00%	0.00%	0.00%	0.27%
CHRO	228	138	90	5	117	57	6	20	10	8	0	0	0	0	0	0
	100%	60.53%	39.47%	2.19%	51.32%	25.00%	2.63%	8.77%	4.39%	3.51%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
LARO	160	82	78	7	44	37	3	14	25	20	0	0	0	0	1	0
	100%	51.25%	48.75%	4.38%	27.50%	23.13%	1.88%	8.75%	15.63%	12.50%	0.00%	0.00%	0.00%	0.00%	0.63%	0.00%
BRO	152	85	67	2	70	46	5	4	8	12	0	0	0	0	0	0
	100%	55.92%	44.08%	1.32%	46.05%	30.26%	3.29%	2.63%	5.26%	7.89%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
PLRO	127	76	51	3	58	38	8	6	6	4	0	0	0	0	0	0
	100%	59.84%	40.16%	2.36%	45.67%	29.92%	6.30%	4.72%	4.72%	3.15%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
FWRO	108	61	47	2	49	37	7	6	3	1	0	0	0	0	0	1
	100%	56.48%	43.52%	1.85%	45.37%	34.26%	6.48%	5.56%	2.78%	0.93%	0.00%	0.00%	0.00%	0.00%	0.00%	0.93%
SFRO	123	61	62	4	38	25	2	7	15	24	0	0	1	2	1	1
	100%	49.59%	50.41%	3.25%	30.89%	20.33%	1.63%	5.69%	12.20%	19.51%	0.00%	0.00%	0.81%	1.63%	0.81%	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 202021, downloaded on 11/12/2020

TABLE A2: REGIONAL OFFICES AND HEADQUARTERS—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
 PERMANENT WORKFORCE—PAY PERIOD 202021 *continued*

REGIONAL 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				
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female			
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%		
ARO	99	100%	39	39.39%	5	5.05%	43	43.43%	11	11.11%	15	15.15%	1	1.01%	0	0.00%	0	0.00%	1	1.01%
MIRO	100	100%	41	41.00%	22	22.00%	34	34.00%	3	3.00%	9	9.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
DRO	98	100%	42	42.86%	0	0.00%	55	56.12%	0	0.00%	0	0.00%	0	0.00%	1	1.02%	0	0.00%	0	0.00%
SLRO	17	100%	9	52.94%	0	0.00%	7	41.18%	1	5.88%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	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 202021, downloaded on 11/12/2020

**TABLE A3: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
PERMANENT WORKFORCE—PAY PERIOD 202021**

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
<b>1. Management</b>																	
Executives	# 131	73	58	5	0	63	46	3	6	2	4	0	1	0	0	0	1
	% 100%	55.73%	44.27%	3.82%	0.00%	48.09%	35.11%	2.29%	4.58%	1.53%	3.05%	0.00%	0.76%	0.00%	0.00%	0.00%	0.76%
Managers	# 389	241	148	12	3	197	106	8	19	23	20	0	0	1	0	0	0
	% 100%	61.95%	38.05%	3.08%	0.77%	50.64%	27.25%	2.06%	4.88%	5.91%	5.14%	0.00%	0.00%	0.26%	0.00%	0.00%	0.00%
Supervisors	# 357	219	138	19	7	154	82	16	30	30	18	0	0	0	0	0	1
	% 100%	61.34%	38.66%	5.32%	1.96%	43.14%	22.97%	4.48%	8.40%	8.40%	5.04%	0.00%	0.00%	0.00%	0.00%	0.00%	0.28%
<b>TOTAL MANAGEMENT</b>	# 877	533	344	36	10	414	234	27	55	55	42	0	1	1	0	0	2
	% 100%	60.78%	39.22%	4.10%	1.14%	47.21%	26.68%	3.08%	6.27%	6.27%	4.79%	0.00%	0.11%	0.11%	0.00%	0.00%	0.23%
<b>2. Professional Workers</b>	# 3,345	1,784	1,561	104	95	1,285	850	159	363	224	232	0	0	8	5	4	16
	% 100%	53.33%	46.67%	3.11%	2.84%	38.42%	25.41%	4.75%	10.85%	6.70%	6.94%	0.00%	0.00%	0.24%	0.15%	0.12%	0.48%
<b>3. Technical Workers and Technologists</b>	# 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 FPPS and EEO-AT 2.0 Analytic File for pay period 202021, downloaded on 11/12/2020

**TABLE A3: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
PERMANENT WORKFORCE—PAY PERIOD 202021 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	
	#	%		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>4. Sales Workers</b>	#		1	0	1	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>5. Administrative Support Workers</b>	#		30	1	10	10	40	16	63	2	6	0	0	1	1	0	1
	%	100%	19.87%	0.66%	6.62%	6.62%	26.49%	10.60%	41.72%	1.32%	3.97%	0.00%	0.00%	0.66%	0.66%	0.00%	0.66%
<b>6. Skilled Craft and Repair Workers</b>	#		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%
<b>7. Operative and Transportation Operative Workers</b>	#		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%
<b>8. Laborers</b>	#		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%
<b>9. Service Workers</b>	#		7	1	4	4	3	2	1	0	0	0	0	0	0	0	0
	%	100%	63.64%	9.09%	0.00%	36.36%	27.27%	18.18%	9.09%	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 202021, downloaded on 11/12/2020

**TABLE A4P: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021**

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
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
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%
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%
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%
SK-05	2	100%	1	50.00%	0	0.00%	0	0.00%	1	50.00%	0	0.00%	0	0.00%	0	0.00%
SK-06	6	100%	2	33.33%	0	0.00%	1	16.67%	1	16.67%	0	0.00%	0	0.00%	0	0.00%
SK-07	43	100%	7	16.28%	1	2.33%	3	6.98%	3	6.98%	0	0.00%	0	0.00%	2	4.65%
SK-08	19	100%	0	0.00%	0	0.00%	0	0.00%	2	10.53%	0	0.00%	0	0.00%	1	5.26%
SK-09	30	100%	7	23.33%	0	0.00%	2	6.67%	4	13.33%	1	3.33%	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%
SK-11	92	100%	27	29.35%	4	4.35%	15	16.30%	6	6.52%	2	2.17%	4	4.35%	0	0.00%
SK-12	213	100%	53	24.88%	0	0.00%	23	10.80%	24	11.27%	5	2.35%	13	6.10%	1	0.47%

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 202021, downloaded on 11/12/2020



TABLE A4P: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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			
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%		
SK-13	375	100%	170	45.33%	205	54.67%	93	24.80%	30	8.00%	28	7.47%	0	0.00%	3	0.80%	1	0.27%	0	0.00%
	2,168	100%	1,212	55.90%	956	44.10%	883	40.73%	93	4.29%	152	7.01%	0	0.00%	3	0.14%	2	0.09%	3	0.37%
SK-14	363	100%	230	63.36%	133	36.64%	164	45.18%	16	4.41%	30	8.26%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
	550	100%	329	59.82%	221	40.18%	268	48.73%	15	2.73%	37	6.73%	0	0.00%	2	0.36%	2	0.36%	0	0.00%
SK-15	392	100%	244	62.24%	148	37.76%	200	51.02%	8	2.04%	23	5.87%	0	0.00%	1	0.26%	0	0.00%	0	0.00%
	3	100%	2	66.67%	1	33.33%	1	33.33%	0	0.00%	1	33.33%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
All Other (Non-SK, Non-SO)	131	100%	73	55.73%	58	44.27%	63	48.09%	3	2.29%	2	1.53%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
	4,389	100%	2,358	53.73%	2,031	46.27%	1,717	39.12%	204	4.65%	281	6.40%	0	0.00%	10	0.23%	6	0.14%	4	0.43%
Senior Officer	131	100%	73	55.73%	58	44.27%	63	48.09%	3	2.29%	2	1.53%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
	4,389	100%	2,358	53.73%	2,031	46.27%	1,717	39.12%	204	4.65%	281	6.40%	0	0.00%	10	0.23%	6	0.14%	4	0.43%
Permanent Workforce	131	100%	73	55.73%	58	44.27%	63	48.09%	3	2.29%	2	1.53%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
	4,389	100%	2,358	53.73%	2,031	46.27%	1,717	39.12%	204	4.65%	281	6.40%	0	0.00%	10	0.23%	6	0.14%	4	0.43%

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 202021, downloaded on 11/12/2020

TABLE A5P: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021

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	Male	Female	Male	Female							
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%						
Permanent Workforce	4,389	100%	2,358	53.73%	2,031	46.27%	142	3.24%	116	2.64%	204	4.65%	482	10.98%	280	6.38%	281	6.40%	281	6.40%	10	0.23%	6	0.14%	4	0.09%	19	0.43%
\$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%	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%	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%	0	0%	0	0%
\$50,001 – \$60,000	2	100%	1	50.00%	1	50.00%	0	0%	0	0%	0	0%	1	50.00%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$60,001 – \$70,000	9	100%	6	66.67%	3	33.33%	0	0%	0	0%	2	22.22%	2	22.22%	1	11.11%	2	22.22%	1	11.11%	0	0%	0	0%	0	0%	0	0%
\$70,001 – \$80,000	22	100%	6	27.27%	16	72.73%	1	4.55%	2	9.09%	3	13.64%	8	36.36%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$80,001 – \$90,000	52	100%	10	19.23%	42	80.77%	1	1.92%	4	7.69%	4	7.69%	25	48.08%	0	0%	2	3.85%	0	0%	0	0%	0	0%	0	0%	0	0%
\$90,001 – \$100,000	39	100%	8	20.51%	31	79.49%	0	0%	2	5.13%	2	5.13%	20	51.28%	1	2.56%	2	5.13%	2	5.13%	0	0%	0	0%	0	0%	0	0%
\$100,001 – \$110,000	51	100%	12	23.53%	39	76.47%	2	3.92%	4	7.84%	6	11.76%	29	56.86%	1	1.96%	1	1.96%	1	1.96%	0	0%	0	0%	0	0%	0	0%
\$110,001 – \$120,000	79	100%	26	32.91%	53	67.09%	2	2.53%	8	10.13%	4	5.06%	29	36.71%	3	3.80%	4	5.06%	3	3.80%	1	1.27%	1	1.27%	0	0%	1	1.27%
\$120,001 – \$130,000	97	100%	37	38.14%	60	61.86%	3	3.09%	3	3.09%	9	9.28%	29	29.90%	5	5.15%	7	7.22%	0	0%	1	1.03%	0	0%	0	0%	1	1.03%

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 202021, downloaded on 11/12/2020

TABLE A5P: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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	Male	Female
	#	%	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
\$130,001 – \$140,000	147	57	90	6	8	30	35	13	40	7	5	0	0	1	0	0	2
	100%	38.78%	61.22%	4.08%	5.44%	20.41%	23.81%	8.84%	27.21%	4.76%	3.40%	0.00%	0.00%	0.68%	0.00%	0.00%	1.36%
\$140,001 – \$150,000	183	91	92	8	9	64	41	11	26	8	16	0	0	0	0	0	0
	100%	49.73%	50.27%	4.37%	4.92%	34.97%	22.40%	6.01%	14.21%	4.37%	8.74%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$150,001 – \$160,000	201	98	103	6	6	65	40	10	33	16	21	0	0	0	2	1	1
	100%	48.76%	51.24%	2.99%	2.99%	32.34%	19.90%	4.98%	16.42%	7.96%	10.45%	0.00%	0.00%	0.00%	1.00%	0.50%	0.50%
\$160,001 – \$170,000	201	99	102	5	4	63	45	16	34	14	17	0	0	0	1	1	1
	100%	49.25%	50.75%	2.49%	1.99%	31.34%	22.39%	7.96%	16.92%	6.97%	8.46%	0.00%	0.00%	0.00%	0.50%	0.50%	0.50%
\$170,001 – \$180,000	185	92	93	7	5	69	43	10	31	6	13	0	0	0	0	0	1
	100%	49.73%	50.27%	3.78%	2.70%	37.30%	23.24%	5.41%	16.76%	3.24%	7.03%	0.00%	0.00%	0.00%	0.00%	0.00%	0.54%
\$180,001 and Greater	3,121	1,815	1,306	101	61	1,372	866	114	175	219	191	0	1	7	3	2	9
	100%	58.15%	41.85%	3.24%	1.95%	43.96%	27.75%	3.65%	5.61%	7.02%	6.12%	0.00%	0.03%	0.22%	0.10%	0.06%	0.29%

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 202021, downloaded on 11/12/2020

TABLE A5P: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
\$180,001 – \$190,000	216	82	8	3.70%	93	52	9	11	24	15	0	0	0	0	0	1	
	100%	62.04%	37.96%	1.39%	43.06%	24.07%	4.17%	5.09%	11.11%	6.94%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.46%
\$190,001 – \$200,000	246	115	10	3.66%	96	56	7	28	16	21	0	0	1	0	1	1	
	100%	53.25%	46.75%	4.07%	39.02%	22.76%	2.85%	11.38%	6.50%	8.54%	0.00%	0.00%	0.41%	0.00%	0.41%	0.41%	
\$200,001 – \$210,000	287	114	13	4.53%	117	71	22	19	20	14	0	0	1	0	0	0	
	100%	60.28%	39.72%	3.48%	40.77%	24.74%	7.67%	6.62%	6.97%	4.88%	0.00%	0.00%	0.35%	0.00%	0.00%	0.00%	
\$210,001 – \$220,000	850	369	26	3.06%	356	248	38	46	58	56	0	0	2	1	1	3	
	100%	56.59%	43.41%	1.76%	41.88%	29.18%	4.47%	5.41%	6.82%	6.59%	0.00%	0.00%	0.24%	0.12%	0.12%	0.35%	
\$220,001 – \$230,000	333	162	13	3.90%	127	105	10	18	21	23	0	0	0	0	0	1	
	100%	51.35%	48.65%	4.50%	38.14%	31.53%	3.00%	5.41%	6.31%	6.91%	0.00%	0.00%	0.00%	0.00%	0.00%	0.30%	
\$230,001 – \$240,000	325	122	11	3.38%	155	77	9	18	27	22	0	0	1	2	0	1	
	100%	62.46%	37.54%	0.62%	47.69%	23.69%	2.77%	5.54%	8.31%	6.77%	0.00%	0.00%	0.31%	0.62%	0.00%	0.31%	
\$240,001 – \$250,000	173	64	5	2.89%	88	51	3	5	13	6	0	0	0	0	0	1	
	100%	63.01%	36.99%	0.58%	50.87%	29.48%	1.73%	2.89%	7.51%	3.47%	0.00%	0.00%	0.00%	0.00%	0.00%	0.58%	
\$250,001 – \$260,000	585	235	13	2.22%	284	173	13	25	38	31	0	0	2	0	0	0	
	100%	59.83%	40.17%	1.03%	48.55%	29.57%	2.22%	4.27%	6.50%	5.30%	0.00%	0.00%	0.34%	0.00%	0.00%	0.00%	
\$260,001 – \$270,000	105	43	2	1.90%	55	33	3	5	2	3	0	1	0	0	0	1	
	100%	59.05%	40.95%	0.00%	52.38%	31.43%	2.86%	4.76%	1.90%	2.86%	0.00%	0.95%	0.00%	0.00%	0.00%	0.95%	
\$270,001 – \$280,000	1	0	0	0.00%	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%	
\$280,001 – \$290,000	0	0	0	0.00%	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%	
\$290,001-\$300,000	0	0	0	0.00%	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%	
\$300,001 and Greater	0	0	0	0.00%	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%	

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 202021, downloaded on 11/12/2020

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021

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	
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	
<b>0905 General Attorney</b>																	
Occupational CLF	100%	66.70%	33.30%	2.52%	1.85%	59.68%	26.68%	2.13%	2.60%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%	0.22%	0.18%
#	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	5	3	2	0	0	3	1	0	0	0	1	0	0	0	0	0	0
%	100%	60.00%	40.00%	0.00%	0.00%	60.00%	20.00%	0.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	12	7	5	0	1	6	2	1	0	0	2	0	0	0	0	0	0
%	100%	58.33%	41.67%	0.00%	8.33%	50.00%	16.67%	8.33%	0.00%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	62	31	31	2	3	24	20	1	4	4	3	0	0	0	1	0	0
%	100%	50.00%	50.00%	3.23%	4.84%	38.71%	32.26%	1.61%	6.45%	6.45%	4.84%	0.00%	0.00%	0.00%	1.61%	0.00%	0.00%
SK-14	1,000	540	460	29	28	420	317	34	43	56	68	0	0	1	1	0	3
%	100%	54.00%	46.00%	2.90%	2.80%	42.00%	31.70%	3.40%	4.30%	5.60%	6.80%	0.00%	0.00%	0.10%	0.10%	0.00%	0.30%
SK-15	86	45	41	2	1	39	32	2	3	2	4	0	0	0	0	0	1
%	100%	52.33%	47.67%	2.33%	1.16%	45.35%	37.21%	2.33%	3.49%	2.33%	4.65%	0.00%	0.00%	0.00%	0.00%	0.00%	1.16%
SK-16	384	209	175	4	4	181	129	8	16	16	22	0	0	0	2	0	2
%	100%	54.43%	45.57%	1.04%	1.04%	47.14%	33.59%	2.08%	4.17%	4.17%	5.73%	0.00%	0.00%	0.00%	0.52%	0.00%	0.52%
SK-17	239	142	97	8	1	122	73	2	10	10	13	0	0	0	0	0	0
%	100%	59.41%	40.59%	3.35%	0.42%	51.05%	30.54%	0.84%	4.18%	4.18%	5.44%	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	82	44	38	2	0	39	33	2	2	1	3	0	0	0	0	0	0
%	100%	53.66%	46.34%	2.44%	0.00%	47.56%	40.24%	2.44%	2.44%	1.22%	3.66%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	1,870	1,021	849	47	38	834	607	50	78	89	116	0	0	1	4	0	6
%	100%	54.60%	45.40%	2.51%	2.03%	44.60%	32.46%	2.67%	4.17%	4.76%	6.20%	0.00%	0.00%	0.05%	0.21%	0.00%	0.32%

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 202021, downloaded on 11/12/2020

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: General Attorney (0905)</b>																
<b>Relevant Pool<sup>2</sup></b>	%	100%	53.91%	46.09%	2.39%	2.39%	43.45%	32.34%	2.97%	4.26%	5.04%	6.46%	0.00%	0.06%	0.26%	0.39%
<b>TOTAL Postings</b>	#	36														
<b>TOTAL Applications Received</b>	#	311	177	134	7	9	142	101	9	11	17	12	0	2	0	1
	%	100%	56.91%	43.09%	2.25%	2.89%	45.66%	32.48%	2.89%	3.54%	5.47%	3.86%	0.00%	0.64%	0.00%	0.32%
<b>Qualified</b>	#	291	162	129	6	8	130	98	8	10	16	12	0	2	0	1
	%	100%	55.67%	44.33%	2.06%	2.75%	44.67%	33.68%	2.75%	3.44%	5.50%	4.12%	0.00%	0.69%	0.00%	0.34%
<b>Referred</b>	#	44	26	18	1	0	19	14	1	2	5	1	0	0	0	1
	%	100%	59.09%	40.91%	2.27%	0.00%	43.18%	31.82%	2.27%	4.55%	11.36%	2.27%	0.00%	0.00%	0.00%	2.27%
<b>Selected</b>	#	40	24	16	1	0	18	12	1	2	4	1	0	0	0	1
	%	100%	60.00%	40.00%	2.50%	0.00%	45.00%	30.00%	2.50%	5.00%	10.00%	2.50%	0.00%	0.00%	0.00%	2.50%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 202021 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020, 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

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

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>TOTAL Postings</b>	38															
Voluntarily Identified	2,194	1,359	835	38.06%	126	5.74%	878	40.02%	200	9.12%	204	9.30%	116	5.29%	2	0.09%
Qualified of those Identified	1,939	1,217	722	37.24%	117	6.03%	789	40.69%	166	8.56%	166	8.56%	97	5.00%	2	0.10%
Referred of those Qualified	301	182	119	39.53%	17	5.65%	134	44.52%	8	2.66%	21	6.98%	23	7.64%	0	0.00%
Selected of those Referred <sup>3</sup>	27	15	12	44.44%	0	0.00%	12	44.44%	1	3.70%	4	14.81%	2	7.41%	0	0.00%
0905 General Attorney Onboarded <sup>4</sup>	123	60	63	51.22%	2	1.63%	50	40.65%	1	0.81%	7	5.69%	7	8.13%	0	0.00%

General Attorney (0905): In FY 2020 Applicant Flow Data, 27 attorney external applications were marked selected.

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 202021 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020, 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

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

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>0510 Accountant</b>	100%	39.91%	60.09%	2.19%	3.93%	31.79%	44.23%	2.49%	5.66%	3.06%	5.49%	0.02%	0.06%	0.19%	0.43%	0.17%	0.29%
Occupational CLF	#	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-09	%	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-10	#	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	#	5	3	2	0	2	1	0	0	1	1	0	0	0	0	0	0
SK-13	%	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%
SK-14	#	8	3	5	1	0	3	0	1	1	1	0	0	0	0	0	0
SK-15	%	100%	37.50%	62.50%	12.50%	0.00%	37.50%	0.00%	12.50%	12.50%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	595	310	285	21	237	168	24	37	27	57	0	0	1	1	0	1
SK-17	%	100%	52.10%	47.90%	3.53%	39.83%	28.24%	4.03%	6.22%	4.54%	9.58%	0.00%	0.00%	0.17%	0.17%	0.00%	0.17%
All Other (Non-SK, Non-SO)	#	107	80	27	4	63	20	3	4	10	2	0	0	0	0	0	0
Senior Officer	%	100%	74.77%	25.23%	3.74%	58.88%	18.69%	2.80%	3.74%	9.35%	1.87%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	#	57	36	21	0	30	16	3	0	3	3	0	0	0	0	0	1
	%	100%	63.16%	36.84%	0.00%	52.63%	28.07%	5.26%	0.00%	5.26%	5.26%	0.00%	0.00%	0.00%	0.00%	0.00%	1.75%
	#	55	38	17	1	31	14	1	0	4	3	0	0	1	0	0	0
	%	100%	69.09%	30.91%	1.82%	56.36%	25.45%	1.82%	0.00%	7.27%	5.45%	0.00%	0.00%	1.82%	0.00%	0.00%	0.00%
	#	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	4	4	0	4	3	0	1	0	0	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	50.00%	37.50%	0.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>TOTAL Population</b>	#	836	474	362	27	368	225	31	44	46	67	0	0	2	1	0	2
	%	100%	56.70%	43.30%	3.23%	44.02%	26.91%	3.71%	5.26%	5.50%	8.01%	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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020



TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: Accounting (0510)</b>																
<b>Relevant Pool<sup>2</sup></b>	%	55.96%	44.04%	3.37%	2.98%	43.13%	26.94%	3.89%	5.44%	8.29%	0.00%	0.00%	0.13%	0.13%	0.00%	0.26%
<b>TOTAL Postings</b>	#	8														
<b>TOTAL Applications Received</b>	#	323	159	31	19	48	29	47	73	37	36	0	1	1	0	1
	%	100%	49.23%	9.60%	5.88%	14.86%	8.98%	14.55%	22.60%	11.46%	11.15%	0.00%	0.31%	0.31%	0.00%	0.31%
<b>Qualified</b>	#	96	48	7	3	16	10	13	25	11	9	0	1	0	0	1
	%	100%	50.00%	7.29%	3.13%	16.67%	10.42%	13.54%	26.04%	11.46%	9.38%	0.00%	1.04%	0.00%	0.00%	1.04%
<b>Referred</b>	#	86	43	7	3	14	9	12	22	9	8	0	1	0	0	1
	%	100%	50.00%	8.14%	3.49%	16.28%	10.47%	13.95%	25.58%	10.47%	9.30%	0.00%	1.16%	0.00%	0.00%	1.16%
<b>Selected</b>	#	5	2	0	0	2	2	0	1	0	0	0	0	0	0	0
	%	100%	40.00%	0.00%	0.00%	40.00%	40.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 202021 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020, 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

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

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 *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												
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%												
<b>TOTAL Postings</b>	9																											
Voluntarily Identified	361	100%	173	47.92%	188	52.08%	21	5.82%	17	4.71%	47	13.02%	56	15.51%	26	7.20%	39	10.80%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	2	0.55%
Qualified of those Identified	208	100%	108	51.92%	100	48.08%	12	5.77%	6	2.88%	28	13.46%	33	15.87%	15	7.21%	20	9.62%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Referred of those Qualified	41	100%	22	53.66%	19	46.34%	2	4.88%	0	0.00%	13	31.71%	5	12.20%	2	4.88%	4	9.76%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Selected of those Referred <sup>3</sup>	7	100%	3	42.86%	4	57.14%	1	14.29%	0	0.00%	3	42.86%	0	0.00%	0	0.00%	1	14.29%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
0510 Accounting Onboarded <sup>4</sup>	19	100%	10	52.63%	9	47.37%	1	5.26%	1	5.26%	8	42.11%	0	0.00%	1	5.26%	4	21.05%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%

Accounting (0510): In FY 2020 Applicant Flow Data, 7 accountant external applications were marked selected.<sup>2</sup>

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 202021 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020, 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

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

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>1831 Securities Compliance Examining</b>																
Occupational CLF	100%	54.75%	45.25%	3.06%	3.65%	44.11%	28.34%	3.57%	8.71%	3.69%	3.96%	0.00%	0.08%	0.31%	0.24%	0.27%
#	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1
%	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%	100%
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	9	5	4	0	2	4	1	0	0	1	1	0	0	0	0	0
%	100%	55.56%	44.44%	0.00%	22.22%	44.44%	11.11%	0.00%	0.00%	11.11%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	5	2	3	0	1	1	0	0	1	1	1	0	0	0	0	0
%	100%	40.00%	60.00%	0.00%	20.00%	20.00%	0.00%	0.00%	20.00%	20.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	17	5	12	1	1	4	4	0	3	0	4	0	0	0	0	0
%	100%	29.41%	70.59%	5.88%	5.88%	23.53%	23.53%	0.00%	17.65%	0.00%	23.53%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	175	113	62	9	1	81	35	7	10	15	15	0	0	0	1	1
%	100%	64.57%	35.43%	5.14%	0.57%	46.29%	20.00%	4.00%	5.71%	8.57%	8.57%	0.00%	0.00%	0.00%	0.57%	0.57%
SK-14	61	41	20	5	1	28	13	0	3	8	3	0	0	0	0	0
%	100%	67.21%	32.79%	8.20%	1.64%	45.90%	21.31%	0.00%	4.92%	13.11%	4.92%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	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-16	36	23	13	2	1	15	8	2	2	4	2	0	0	0	0	0
%	100%	63.89%	36.11%	5.56%	2.78%	41.67%	22.22%	5.56%	5.56%	11.11%	5.56%	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	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
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	345	220	125	18	7	158	67	10	20	33	29	0	0	0	1	2
%	100%	63.77%	36.23%	5.22%	2.03%	45.80%	19.42%	2.90%	5.80%	9.57%	8.41%	0.00%	0.00%	0.00%	0.29%	0.58%

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 202021, downloaded on 11/12/2020

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: Securities Compliance Examining (1831)</b>																
Relevant Pool <sup>2</sup>	%	100%	39.59%	4.99%	2.05%	42.82%	19.65%	3.52%	9.68%	8.80%	7.92%	0.00%	0.00%	0.00%	0.00%	0.29%
TOTAL Postings	#	6														
TOTAL Applications Received	#	63	19	1	0	32	16	4	1	7	2	0	0	0	0	0
	%	100%	30.16%	1.59%	0.00%	50.79%	25.40%	6.35%	1.59%	11.11%	3.17%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	57	18	1	0	28	16	3	1	7	1	0	0	0	0	0
	%	100%	31.58%	1.75%	0.00%	49.12%	28.07%	5.26%	1.75%	12.28%	1.75%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	10	4	0	0	4	4	0	0	2	0	0	0	0	0	0
	%	100%	40.00%	0.00%	0.00%	40.00%	40.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	10	4	0	0	4	4	0	0	2	0	0	0	0	0	0
	%	100%	40.00%	0.00%	0.00%	40.00%	40.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 202021 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020, 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

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 202021, downloaded on 11/12/2020

**TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 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
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>NEW HIRES</b>	2															
<b>Securities Compliance Examining (1831): In FY 2020 Applicant Flow Data, 2 external securities compliance examiner application was marked selected.</b>																
<b>TOTAL Postings</b>	2															
Voluntarily Identified	41	58.54%	17	41.46%	13	31.71%	6	14.63%	4	9.76%	4	14.63%	0	0.00%	0	0.00%
Qualified of those Identified	20	50.00%	10	50.00%	6	30.00%	3	15.00%	3	15.00%	3	15.00%	0	0.00%	0	0.00%
Referred of those Qualified	20	100%	10	50.00%	6	30.00%	3	15.00%	3	15.00%	3	15.00%	0	0.00%	0	0.00%
Selected of those Referred <sup>3</sup>	2	100%	2	100%	0	0.00%	1	50.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
1831 Securities Compliance Examining Onboarded <sup>4</sup>	22	50.00%	11	50.00%	7	31.82%	3	13.64%	2	9.09%	3	13.64%	0	0.00%	0	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 202021 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020, 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

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 202021, downloaded on 11/12/2020

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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
	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#
<b>2210 Information Technology Management</b>																
Occupational CLF	100%	70.36%	29.64%	0	52.21%	20.89%	6.61%	4.50%	5.14%	1.55%	0.10%	0.05%	0.53%	0.29%	0.38%	0.18%
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	2	1	1	0	1	0	0	1	0	0	0	0	0	0	0	0
	100%	50.00%	50.00%	0.00%	50.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	3	1	2	0	0	0	1	2	0	0	0	0	0	0	0	0
	100%	33.33%	66.67%	0.00%	0.00%	0.00%	33.33%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	88	58	30	5	26	7	10	16	15	6	0	0	1	0	1	0
	100%	65.91%	34.09%	5.68%	29.55%	7.95%	11.36%	18.18%	17.05%	6.82%	0.00%	0.00%	1.14%	0.00%	1.14%	0.00%
SK-14	120	94	26	11	40	9	12	8	30	7	0	0	0	0	1	0
	100%	78.33%	21.67%	9.17%	33.33%	7.50%	10.00%	6.67%	25.00%	5.83%	0.00%	0.00%	0.00%	0.00%	0.83%	0.00%
SK-15	44	31	13	4	14	6	4	4	9	3	0	0	0	0	0	0
	100%	70.45%	29.55%	9.09%	31.82%	13.64%	9.09%	9.09%	20.45%	6.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	23	20	3	0	12	1	1	1	6	1	0	0	1	0	0	0
	100%	86.96%	13.04%	0.00%	52.17%	4.35%	4.35%	4.35%	26.09%	4.35%	0.00%	0.00%	4.35%	0.00%	0.00%	0.00%
SK-17	11	9	2	0	8	1	0	1	1	0	0	0	0	0	0	0
	100%	81.82%	18.18%	0.00%	72.73%	9.09%	0.00%	9.09%	9.09%	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	4	3	1	0	2	1	1	1	0	0	0	0	0	0	0	0
	100%	75.00%	25.00%	0.00%	50.00%	25.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	295	217	78	20	103	25	29	33	61	17	0	0	2	0	2	0
	100%	73.56%	26.44%	6.78%	34.92%	8.47%	9.83%	11.19%	20.68%	5.76%	0.00%	0.00%	0.68%	0.00%	0.68%	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 202021, downloaded on 11/12/2020

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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	
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	
<b>Relevant Pool<sup>1</sup></b>	100%	73.21%	26.79%	7.14%	1.07%	33.21%	8.21%	10.00%	11.43%	21.43%	6.07%	0.00%	0.00%	0.71%	0.00%	0.71%	0.00%
<b>TOTAL Postings</b>	# 11																
<b>TOTAL Applications Received</b>	# 652	507	145	51	18	138	38	109	47	203	40	0	0	4	1	2	1
<b>Qualified</b>	% 100%	77.76%	22.24%	7.82%	2.76%	21.17%	5.83%	16.72%	7.21%	31.13%	6.13%	0.00%	0.00%	0.61%	0.15%	0.31%	0.15%
<b>Referred</b>	# 375	303	72	30	8	80	22	53	19	135	22	0	0	3	1	2	0
	% 100%	80.80%	19.20%	8.00%	2.13%	21.33%	5.87%	14.13%	5.07%	36.00%	5.87%	0.00%	0.00%	0.80%	0.27%	0.53%	0.00%
<b>Selected</b>	# 357	288	69	30	8	74	20	48	19	131	21	0	0	3	1	2	0
	% 100%	80.67%	19.33%	8.40%	2.24%	20.73%	5.60%	13.45%	5.32%	36.69%	5.88%	0.00%	0.00%	0.84%	0.28%	0.56%	0.00%
	# 8	7	1	3	0	0	0	1	1	3	0	0	0	0	0	0	0
	% 100%	87.50%	12.50%	37.50%	0.00%	0.00%	0.00%	12.50%	12.50%	37.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 202021 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020, 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

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

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

**TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
<b>TOTAL Postings</b>	#	9															
Voluntarily Identified	#	1,110	865	245	93	23	240	40	269	123	248	52	1	0	7	1	6
	%	100%	77.93%	22.07%	8.38%	2.07%	21.62%	3.60%	24.23%	11.08%	22.34%	4.68%	0.09%	0.00%	0.63%	0.09%	0.54%
Qualified of those Identified	#	1,094	851	243	91	23	236	40	264	121	245	52	1	0	7	1	6
	%	100%	77.79%	22.21%	8.32%	2.10%	21.57%	3.66%	24.13%	11.06%	22.39%	4.75%	0.09%	0.00%	0.64%	0.09%	0.55%
Referred of those Qualified	#	116	87	29	8	3	20	8	29	14	27	3	1	0	2	0	1
	%	100%	75.00%	25.00%	6.90%	2.59%	17.24%	6.90%	25.00%	12.07%	23.28%	2.59%	0.86%	0.00%	1.72%	0.00%	0.86%
Selected of those Referred <sup>3</sup>	#	4	3	1	0	1	0	0	1	0	2	0	0	0	0	0	0
	%	100%	75.00%	25.00%	0.00%	25.00%	0.00%	0.00%	25.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
2210 Information Technology Management Onboarded <sup>4</sup>	#	25	21	4	4	0	9	1	2	1	6	2	0	0	0	0	0
	%	100%	84.00%	16.00%	16.00%	0.00%	36.00%	4.00%	8.00%	4.00%	24.00%	8.00%	0.00%	0.00%	0.00%	0.00%	0.00%

**Information Technology Management (2210): In FY 2020 Applicant Flow Data, 4 information technology management external applications were marked selected.**

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 202021 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020, 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

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

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020



TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 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
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>0110 Economist</b>	100%	67.07%	32.93%	3.34%	1.85%	55.79%	25.20%	2.84%	2.66%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%	0.18%	0.02%
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	#	1	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0
SK-11	%	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-12	#	3	2	1	0	1	1	1	1	0	0	0	0	0	0	0	0
SK-12	%	100%	66.67%	33.33%	0.00%	33.33%	33.33%	33.33%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	14	9	5	1	4	1	3	0	1	3	0	0	0	0	0	0
SK-13	%	100%	64.29%	35.71%	7.14%	28.57%	7.14%	21.43%	0.00%	7.14%	21.43%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	42	30	12	0	23	6	0	0	6	5	0	0	1	0	0	0
SK-14	%	100%	71.43%	28.57%	0.00%	54.76%	14.29%	0.00%	0.00%	14.29%	11.90%	0.00%	0.00%	2.38%	0.00%	0.00%	0.00%
SK-15	#	1	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0
SK-15	%	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%
SK-16	#	18	13	5	1	8	4	1	0	2	1	0	0	1	0	0	0
SK-16	%	100%	72.22%	27.78%	5.56%	44.44%	22.22%	5.56%	0.00%	11.11%	5.56%	0.00%	0.00%	5.56%	0.00%	0.00%	0.00%
SK-17	#	9	6	3	0	6	2	0	0	0	0	0	0	0	0	0	0
SK-17	%	100%	66.67%	33.33%	0.00%	66.67%	22.22%	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	#	2	1	1	0	0	0	0	0	1	1	0	0	0	0	0	0
Senior Officer	%	100%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>TOTAL Population</b>	#	90	63	27	3	43	14	5	0	10	10	0	0	2	0	0	0
<b>TOTAL Population</b>	%	100%	70.00%	30.00%	3.33%	47.78%	15.56%	5.56%	0.00%	11.11%	11.11%	0.00%	0.00%	2.22%	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 202021, downloaded on 11/12/2020

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: Economist (0110)</b>																
Relevant Pool <sup>2</sup>	%	100%	70.89%	29.11%	3.80%	2.53%	46.84%	15.19%	6.33%	0.00%	11.39%	11.39%	0.00%	2.53%	0.00%	0.00%
TOTAL Postings	#	2														
TOTAL Applications Received	#	7	4	3	0	2	3	1	0	0	1	0	0	0	0	0
	%	100%	57.14%	42.86%	0.00%	28.57%	42.86%	14.29%	0.00%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	5	2	3	0	2	2	1	0	0	0	0	0	0	0	0
	%	100%	40.00%	60.00%	0.00%	40.00%	40.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	2	1	1	0	1	1	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	2	1	1	0	1	1	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 202021 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020, 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

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

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

**TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
<b>NEW HIRES</b>	<b>Economist (0110): In FY 2020 Applicant Flow Data, 2 economist external applications were marked selected.<sup>2</sup></b>																
<b>TOTAL Postings</b>	8																
Voluntarily Identified	397	280	117	30	16	134	35	54	16	59	50	0	0	0	0	3	0
	100%	70.53%	29.47%	7.56%	4.03%	33.75%	8.82%	13.60%	4.03%	14.86%	12.59%	0.00%	0.00%	0.00%	0.00%	0.76%	0.00%
Qualified of those Identified	348	242	106	23	13	119	32	49	14	48	47	0	0	0	0	3	0
	100%	69.54%	30.46%	6.61%	3.74%	34.20%	9.20%	14.08%	4.02%	13.79%	13.51%	0.00%	0.00%	0.00%	0.00%	0.86%	0.00%
Referred of those Qualified	45	25	20	3	4	10	3	4	1	8	12	0	0	0	0	0	0
	100%	55.56%	44.44%	6.67%	8.89%	22.22%	6.67%	8.89%	2.22%	17.78%	26.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred <sup>3</sup>	2	2	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0
	100%	100%	0.00%	50.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0110 Economist Onboarded <sup>4</sup>	6	4	2	1	0	2	1	1	0	0	1	0	0	0	0	0	0
	100%	66.67%	33.33%	16.67%	0.00%	33.33%	16.67%	16.67%	0.00%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 202021 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020, 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

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

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

**TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021**

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
<b>Upward Mobility Benchmark</b>	100%	44.88%	55.12%	2.50%	40.91%	25.95%	4.12%	9.27%	6.55%	6.60%	0.00%	0.03%	0.20%	0.13%	0.10%	0.40%
<b>GS Equivalent Senior Grade Levels</b>																
<b>TOTAL Senior Grades</b>	# 3,979	1,721	2,258	90	1,671	1,055	165	298	272	259	0	1	9	5	4	13
	% 100%	43.25%	56.75%	2.26%	42.00%	26.51%	4.15%	7.49%	6.84%	6.51%	0.00%	0.03%	0.23%	0.13%	0.10%	0.33%
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Total All Senior Grade Levels</b>	# 109															
<b>TOTAL Postings</b>	# 3,880	1,710	2,170	176	852	449	583	843	433	190	2	2	21	16	24	34
<b>TOTAL Applications Received</b>	% 100%	44.07%	55.93%	4.54%	21.96%	11.57%	15.03%	21.73%	11.16%	4.90%	0.05%	0.05%	0.54%	0.41%	0.62%	0.88%
<b>Qualified</b>	# 1,952	844	1,108	75	483	281	255	384	235	82	0	0	11	6	13	16
	% 100%	43.24%	56.76%	3.84%	24.74%	14.40%	13.06%	19.67%	12.04%	4.20%	0.00%	0.00%	0.56%	0.31%	0.67%	0.82%
<b>Referred</b>	# 1,482	639	843	63	305	162	223	331	197	63	0	0	8	6	13	14
	% 100%	43.12%	56.88%	4.25%	20.58%	10.93%	15.05%	22.33%	13.29%	4.25%	0.00%	0.00%	0.54%	0.40%	0.88%	0.94%
<b>Selected</b>	# 106	51	55	4	31	29	3	13	12	4	0	0	0	0	1	1
	% 100%	48.11%	51.89%	3.77%	29.25%	27.36%	2.83%	12.26%	11.32%	3.77%	0.00%	0.00%	0.00%	0.00%	0.94%	0.94%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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	
	#	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
			All	All	All	All	All	All	All	All	All	All	All	All	All	All
<b>New Hires</b>																
<b>TOTAL All Senior Grade Levels</b>																
<b>TOTAL Postings</b>	#	77														
Voluntarily Identified	#	4,587	2,997	1,590	151	1,418	595	656	524	298	3	2	18	7	16	13
	%	100%	65.34%	34.66%	7.04%	30.91%	12.97%	14.30%	11.42%	12.27%	0.07%	0.04%	0.39%	0.15%	0.35%	0.28%
Qualified of those Identified	#	3,868	2,575	1,293	121	1,222	508	545	403	243	3	1	15	7	15	10
	%	100%	66.57%	33.43%	6.95%	31.59%	13.13%	14.09%	10.42%	13.08%	0.08%	0.03%	0.39%	0.18%	0.39%	0.26%
Referred of those Qualified	#	568	357	201	39	192	98	51	44	72	1	0	2	0	0	1
	%	100%	63.98%	36.02%	6.99%	34.41%	17.56%	9.14%	7.89%	12.90%	0.18%	0.00%	0.36%	0.00%	0.00%	0.18%
Selected of those Referred <sup>3</sup>	#	45	26	19	2	15	10	3	5	6	0	0	0	0	0	0
	%	100%	57.78%	42.22%	4.44%	33.33%	22.22%	6.67%	11.11%	13.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>TOTAL ONBOARDED<sup>4</sup></b>	#	207	113	94	10	79	51	9	16	15	0	0	0	1	0	1
	%	100%	54.59%	45.41%	4.83%	38.16%	24.64%	4.35%	7.73%	7.25%	0.00%	0.00%	0.00%	0.48%	0.00%	0.48%
<b>Career Development Programs</b>																
<b>Career Development Programs for All Senior Grade Level Jobs</b>																
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>SES Equivalent Senior Grade Levels</b>																
Exec SES Equivalent	# 131	73	58	0	63	46	3	6	2	4	0	1	0	0	0	1
	% 100%	55.73%	44.27%	0.00%	48.09%	35.11%	2.29%	4.58%	1.53%	3.05%	0.00%	0.76%	0.00%	0.00%	0.00%	0.76%
<b>Internal Competitive Promotions<sup>1</sup></b>																
SES Equivalent	% 100%	58.02%	41.98%	2.19%	43.62%	26.86%	3.80%	5.76%	6.97%	6.71%	0.00%	0.00%	0.17%	0.12%	0.09%	0.35%
<b>Relevant Pool<sup>2</sup></b>	# 11															
<b>TOTAL Postings</b>	# 178	128	50	5	59	27	24	8	30	8	0	1	2	0	0	1
<b>TOTAL Applications Received</b>	% 100%	71.91%	28.09%	2.81%	33.15%	15.17%	13.48%	4.49%	16.85%	4.49%	0.00%	0.56%	1.12%	0.00%	0.00%	0.56%
Qualified	# 86	62	24	1	33	19	8	2	12	2	0	0	1	0	0	0
	% 100%	72.09%	27.91%	1.16%	38.37%	22.09%	9.30%	2.33%	13.95%	2.33%	0.00%	0.00%	1.16%	0.00%	0.00%	0.00%
Referred	# 50	37	13	0	12	11	7	1	11	1	0	0	1	0	0	0
	% 100%	74.00%	26.00%	0.00%	24.00%	22.00%	14.00%	2.00%	22.00%	2.00%	0.00%	0.00%	2.00%	0.00%	0.00%	0.00%
Selected	# 9	4	5	0	1	4	0	1	0	0	0	0	0	0	0	0
	% 100%	44.44%	55.56%	0.00%	11.11%	44.44%	0.00%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2020, 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 202021, downloaded on 11/12/2020

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 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
<b>NEW HIRES</b>																
<b>SES Equivalent Grade Level</b>																
<b>TOTAL Postings</b>	#	8														
Voluntarily Identified	#	122	74	48	6	3	45	23	10	12	13	9	0	0	0	1
	%	100%	60.66%	39.34%	4.92%	2.46%	36.89%	18.85%	8.20%	9.84%	10.66%	7.38%	0.00%	0.00%	0.00%	0.82%
Qualified of those Identified	#	60	33	27	2	2	21	15	2	5	8	5	0	0	0	0
	%	100%	55.00%	45.00%	3.33%	3.33%	35.00%	25.00%	3.33%	8.33%	13.33%	8.33%	0.00%	0.00%	0.00%	0.00%
Referred of those Qualified	#	38	18	20	2	1	13	11	0	3	3	5	0	0	0	0
	%	100%	47.37%	52.63%	5.26%	2.63%	34.21%	28.95%	0.00%	7.89%	7.89%	13.16%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred <sup>3</sup>	#	3	0	3	0	0	0	2	0	1	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	0.00%	0.00%	66.67%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Exec Onboarded<sup>4</sup></b>	#	5	4	1	0	0	4	1	0	0	0	0	0	0	0	0
	%	100%	80.00%	20.00%	0.00%	0.00%	80.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																
<b>Career Development Programs for SES Equivalent Jobs</b>																
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

**TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 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
<b>GS-15 Equivalent Senior Grade Levels</b>																
#	755	474	281	9	364	190	24	45	53	36	0	0	1	0	0	1
%	100%	62.78%	37.22%	1.19%	48.21%	25.17%	3.18%	5.96%	7.02%	4.77%	0.00%	0.00%	0.13%	0.00%	0.00%	0.13%
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>GS-15 Equivalent</b>																
Relevant Pool <sup>2</sup>	%	100%	42.52%	3.41%	42.68%	26.84%	4.02%	5.87%	7.11%	6.91%	0.00%	0.00%	0.16%	0.13%	0.10%	0.39%
TOTAL Postings	#	39														
TOTAL Applications Received	#	826	335	27	227	125	94	139	125	33	0	0	5	3	2	8
	%	100%	40.56%	3.27%	27.48%	15.13%	11.38%	16.83%	15.13%	4.00%	0.00%	0.00%	0.61%	0.36%	0.24%	0.97%
Qualified	#	536	301	235	155	105	48	88	75	24	0	0	2	1	1	5
	%	100%	56.16%	43.84%	28.92%	19.59%	8.96%	16.42%	13.99%	4.48%	0.00%	0.00%	0.37%	0.19%	0.19%	0.93%
Referred	#	310	172	138	61	43	38	69	54	11	0	0	1	1	1	5
	%	100%	55.48%	44.52%	19.68%	13.87%	12.26%	22.26%	17.42%	3.55%	0.00%	0.00%	0.32%	0.32%	0.32%	1.61%
Selected	#	44	25	19	18	13	0	2	4	2	0	0	0	0	0	1
	%	100%	56.82%	43.18%	40.91%	29.55%	0.00%	4.55%	9.09%	4.55%	0.00%	0.00%	0.00%	0.00%	0.00%	2.27%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020



TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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	
<b>NEW HIRES</b>																	
<b>GS-15 Equivalent Grade Level</b>																	
<b>TOTAL Postings</b>	#	11															
Voluntarily Identified	#	495	346	149	9	153	59	81	57	66	24	0	0	4	0	2	0
	%	100%	69.90%	30.10%	8.08%	30.91%	11.92%	16.36%	11.52%	13.33%	4.85%	0.00%	0.00%	0.81%	0.00%	0.40%	0.00%
Qualified of those identified	#	329	240	89	2	112	45	51	25	53	17	0	0	3	0	1	0
	%	100%	72.95%	27.05%	6.08%	34.04%	13.68%	15.50%	7.60%	16.11%	5.17%	0.00%	0.00%	0.91%	0.00%	0.30%	0.00%
Referred of those Qualified	#	59	35	24	3	21	16	4	2	7	6	0	0	0	0	0	0
	%	100%	59.32%	40.68%	5.08%	35.59%	27.12%	6.78%	3.39%	11.86%	10.17%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred <sup>3</sup>	#	3	1	2	1	0	2	0	0	0	0	0	0	0	0	0	0
	%	100%	33.33%	66.67%	33.33%	0.00%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>GS-15 Onboarded<sup>4</sup></b>	#	11	5	6	2	3	4	0	1	0	0	0	0	0	0	0	0
	%	100%	45.45%	54.55%	18.18%	27.27%	36.36%	0.00%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																	
<b>Career Development Programs for SK 15 – 17</b>																	
<b>Relevant Pool<sup>2</sup></b>	%	100%	58.02%	41.98%	3.37%	43.62%	26.86%	3.80%	5.76%	6.97%	6.71%	0.00%	0.00%	0.17%	0.12%	0.09%	0.35%
Slots <sup>5</sup>	#	0															
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

**TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 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
<b>GS-14 Equivalent Senior Grade Levels</b>																
#	2,718	1,541	1,177	85	67	1,151	743	108	155	189	197	0	0	5	4	11
%	100%	56.70%	43.30%	3.13%	2.47%	42.35%	27.34%	3.97%	5.70%	6.95%	7.25%	0.00%	0.00%	0.18%	0.15%	0.40%
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>GS-14 Equivalent</b>																
Relevant Pool <sup>2</sup>	%	100%	55.47%	3.89%	2.79%	39.23%	25.57%	4.78%	8.74%	7.23%	7.02%	0.00%	0.00%	0.21%	0.10%	0.31%
TOTAL Postings	#	47														
TOTAL Applications Received	#	2,164	968	150	107	456	244	349	468	213	119	1	1	13	9	20
	%	100%	44.73%	6.93%	4.94%	21.07%	11.28%	16.13%	21.63%	9.84%	5.50%	0.05%	0.05%	0.60%	0.42%	0.92%
Qualified	#	1,006	600	406	67	41	253	132	179	112	43	0	0	7	3	8
	%	100%	59.64%	40.36%	6.66%	4.08%	25.15%	13.12%	17.79%	11.13%	4.27%	0.00%	0.00%	0.70%	0.30%	0.80%
Referred	#	814	491	323	58	35	190	84	157	97	38	0	0	5	3	6
	%	100%	60.32%	39.68%	7.13%	4.30%	23.34%	16.34%	19.29%	11.92%	4.67%	0.00%	0.00%	0.61%	0.37%	0.74%
Selected	#	44	24	2	2	12	10	3	6	6	2	0	0	0	0	1
	%	100%	54.55%	4.55%	4.55%	27.27%	22.73%	6.82%	13.64%	13.64%	4.55%	0.00%	0.00%	0.00%	0.00%	2.27%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.  
<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>NEW HIRES</b>																
<b>GS-14 Equivalent Grade Levels</b>																
<b>TOTAL Postings</b>	#	51														
Voluntarily Identified	#	3,360	2,154	1,206	224	124	460	440	379	398	226	2	2	12	6	12
	%	100%	64.11%	35.89%	6.67%	3.69%	13.69%	13.10%	11.28%	11.85%	6.73%	0.06%	0.06%	0.36%	0.18%	0.36%
Qualified of those identified	#	2,923	1,917	1,006	202	106	400	379	304	365	182	2	1	10	6	12
	%	100%	65.58%	34.42%	6.91%	3.63%	13.68%	12.97%	10.40%	12.49%	6.23%	0.07%	0.03%	0.34%	0.21%	0.41%
Referred of those Qualified	#	347	231	116	26	6	135	23	20	46	29	0	0	1	0	0
	%	100%	66.57%	33.43%	7.49%	1.73%	38.90%	6.63%	5.76%	13.26%	8.36%	0.00%	0.00%	0.29%	0.00%	0.00%
Selected of those Referred <sup>3</sup>	#	32	21	11	0	1	5	3	2	5	3	0	0	0	0	0
	%	100%	65.63%	34.38%	0.00%	3.13%	15.63%	9.38%	6.25%	15.63%	9.38%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>GS-14 Onboarded<sup>4</sup></b>	#	105	62	43	4	1	40	8	5	10	12	0	0	0	0	1
	%	100%	59.05%	40.95%	3.81%	0.95%	38.10%	7.62%	4.76%	9.52%	11.43%	0.00%	0.00%	0.00%	0.00%	0.95%
<b>Career Development Programs</b>																
<b>Career Development Programs for SK 13 – 14</b>																
<b>Relevant Pool<sup>2</sup></b>	%	100%	56.16%	43.84%	3.47%	2.52%	40.74%	4.48%	7.90%	7.15%	6.80%	0.00%	0.00%	0.23%	0.14%	0.35%
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>GS-13 Equivalent Senior Grade Levels</b>																
#	375	170	205	14	93	76	30	92	28	22	0	0	3	1	1	0
%	100%	45.33%	54.67%	3.73%	24.80%	20.27%	8.00%	24.53%	7.47%	5.87%	0.00%	0.00%	0.80%	0.27%	0.27%	0.00%
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>GS-13 Equivalent</b>																
Relevant Pool <sup>2</sup>	%	100%	24.88%	75.12%	10.80%	18.78%	11.27%	44.13%	2.35%	6.10%	0.00%	0.00%	0.47%	0.47%	0.00%	1.41%
TOTAL Postings	#	12														
TOTAL Applications Received	#	712	357	37	110	53	116	228	65	30	1	0	1	4	8	5
	%	100%	50.14%	5.20%	15.45%	7.44%	16.29%	32.02%	9.13%	4.21%	0.14%	0.00%	0.14%	0.56%	1.12%	0.70%
Qualified	#	324	145	179	42	25	46	115	36	13	0	0	1	2	4	3
	%	100%	44.75%	55.25%	12.96%	7.72%	14.20%	35.49%	11.11%	4.01%	0.00%	0.00%	0.31%	0.62%	1.23%	0.93%
Referred	#	308	143	165	42	24	45	104	35	13	0	0	1	2	4	3
	%	100%	46.43%	53.57%	13.64%	7.79%	14.61%	33.77%	11.36%	4.22%	0.00%	0.00%	0.32%	0.65%	1.30%	0.97%
Selected	#	9	2	7	0	2	0	4	2	0	0	0	0	0	0	0
	%	100%	22.22%	77.78%	0.00%	22.22%	0.00%	44.44%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>NEW HIRES</b>																
<b>GS-13 Equivalent Grade Level</b>																
<b>TOTAL Postings</b>	#	7														
Voluntarily Identified	#	610	423	187	53	154	53	125	76	86	39	1	0	2	1	3
	%	100%	69.34%	30.66%	8.69%	25.25%	8.69%	20.49%	12.46%	14.10%	6.39%	0.16%	0.00%	0.33%	0.16%	0.49%
Qualified of those identified	#	556	385	171	48	142	48	113	69	80	39	1	0	2	1	3
	%	100%	69.24%	30.76%	8.09%	25.54%	8.63%	20.32%	12.41%	14.39%	7.01%	0.18%	0.00%	0.36%	0.18%	0.54%
Referred of those Qualified	#	114	73	41	8	23	10	24	19	16	9	1	0	1	0	1
	%	100%	64.04%	35.96%	7.02%	20.18%	8.77%	21.05%	16.67%	14.04%	7.89%	0.88%	0.00%	0.88%	0.00%	0.88%
Selected of those Referred <sup>3</sup>	#	7	4	3	1	2	1	0	2	1	0	0	0	0	0	0
	%	100%	57.14%	42.86%	14.29%	28.57%	14.29%	0.00%	28.57%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>GS-13 Onboarded<sup>4</sup></b>	#	86	42	44	22	32	22	1	10	5	6	0	0	0	1	0
	%	100%	48.84%	51.16%	4.65%	37.21%	25.58%	1.16%	11.63%	5.81%	6.98%	0.00%	0.00%	0.00%	1.16%	0.00%
<b>Career Development Programs</b>																
<b>Career Development Programs for SK 13 – 14</b>																
<b>Relevant Pool<sup>2</sup></b>	%	100%	36.20%	63.80%	2.68%	18.73%	18.87%	9.01%	33.24%	5.07%	5.63%	0.00%	0.00%	0.56%	0.28%	0.70%
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2020. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

**TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021**

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
<b>Benchmark</b>	100%	56.00%	44.00%	41.97%	26.68%	3.95%	7.82%	6.54%	6.68%	0.00%	0.03%	0.19%	0.14%	0.08%	0.35%	
<b>Leadership Levels</b>																
<b>TOTAL</b>	#	877	533	344	36	10	414	234	27	55	42	1	1	0	0	2
<b>Management</b>	%	100%	60.78%	39.22%	4.10%	1.14%	47.21%	26.68%	3.08%	6.27%	4.79%	0.00%	0.11%	0.00%	0.00%	0.23%
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>TOTAL Leadership Levels</b>																
<b>TOTAL Postings</b>	#	50														
<b>TOTAL Applications Received</b>	#	1,004	619	385	51	32	286	152	118	147	41	0	1	7	3	9
	%	100%	61.65%	38.35%	5.08%	3.19%	28.49%	15.14%	11.75%	14.64%	4.08%	0.00%	0.10%	0.70%	0.30%	0.90%
<b>Qualified</b>	#	622	363	259	28	13	188	124	56	90	26	0	0	3	1	5
	%	100%	58.36%	41.64%	4.50%	2.09%	30.23%	19.94%	9.00%	14.47%	4.18%	0.00%	0.00%	0.48%	0.16%	0.80%
<b>Referred</b>	#	360	209	151	23	9	73	54	45	70	12	0	0	2	1	5
	%	100%	58.06%	41.94%	6.39%	2.50%	20.28%	15.00%	12.50%	19.44%	3.33%	0.00%	0.00%	0.56%	0.28%	1.39%
<b>Selected</b>	#	53	29	24	6	1	19	17	0	3	2	0	0	0	0	1
	%	100%	54.72%	45.28%	11.32%	1.89%	35.85%	32.08%	0.00%	5.66%	3.77%	0.00%	0.00%	0.00%	0.00%	1.89%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 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
<b>NEW HIRES</b>																
<b>TOTAL All Leadership Levels</b>	#	19														
TOTAL Postings	#	617	420	197	12	82	91	69	79	33	0	0	4	0	2	1
Voluntarily Identified	%	100%	68.07%	31.93%	1.94%	13.29%	14.75%	11.18%	12.80%	5.35%	0.00%	0.65%	0.00%	0.00%	0.32%	0.16%
Qualified of those Identified	#	389	273	116	4	60	53	30	61	22	0	3	0	0	1	0
	%	100%	70.18%	29.82%	5.66%	34.19%	13.62%	7.71%	15.68%	5.66%	0.00%	0.77%	0.00%	0.00%	0.26%	0.00%
Referred of those Qualified	#	97	53	44	1	27	4	5	10	11	0	0	0	0	0	0
	%	100%	54.64%	45.36%	1.03%	35.05%	4.12%	5.15%	10.31%	11.34%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred <sup>3</sup>	#	6	1	5	0	4	0	1	0	0	0	0	0	0	0	0
	%	100%	16.67%	83.33%	0.00%	66.67%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>TOTAL LEADERSHIP ONBOARDED<sup>4</sup></b>	#	18	11	7	1	5	1	1	0	0	0	0	0	0	0	0
	%	100%	61.11%	38.89%	11.11%	27.78%	5.56%	5.56%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																
<b>Career Development Programs for All Leadership Jobs</b>																
Slots <sup>5</sup>	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Applied	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2020, 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 202021, downloaded on 11/12/2020

**TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 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
<b>Executive Level</b>																	
<b>Executive</b>	#	131	73	58	0	63	46	3	6	2	4	0	1	0	0	0	1
	%	100%	55.73%	44.27%	0.00%	48.09%	35.11%	2.29%	4.58%	1.53%	3.05%	0.00%	0.76%	0.00%	0.00%	0.00%	0.76%
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	#	131	73	58	0	63	46	3	6	2	4	0	1	0	0	0	1
	%	100%	55.73%	44.27%	0.00%	48.09%	35.11%	2.29%	4.58%	1.53%	3.05%	0.00%	0.76%	0.00%	0.00%	0.00%	0.76%
<b>Internal Competitive Promotions<sup>1</sup></b>																	
<b>Executive</b>																	
<b>Relevant Pool<sup>2</sup></b>	%	100%	61.95%	38.05%	3.08%	50.64%	27.25%	2.06%	4.88%	5.91%	5.14%	0.00%	0.00%	0.26%	0.00%	0.00%	0.00%
<b>TOTAL Postings</b>	#	11															
<b>TOTAL Applications Received</b>	#	178	128	50	13	59	27	24	8	30	8	1	0	2	0	0	1
	%	100%	71.91%	28.09%	7.30%	33.15%	15.17%	13.48%	4.49%	16.85%	4.49%	0.00%	0.56%	1.12%	0.00%	0.00%	0.56%
Qualified	#	86	62	24	8	33	19	8	2	12	2	0	0	1	0	0	0
	%	100%	72.09%	27.91%	9.30%	38.37%	22.09%	9.30%	2.33%	13.95%	2.33%	0.00%	0.00%	1.16%	0.00%	0.00%	0.00%
Referred	#	50	37	13	6	12	11	7	1	11	1	0	0	1	0	0	0
	%	100%	74.00%	26.00%	12.00%	24.00%	22.00%	14.00%	2.00%	22.00%	2.00%	0.00%	0.00%	2.00%	0.00%	0.00%	0.00%
Selected	#	9	4	5	3	1	4	0	1	0	0	0	0	0	0	0	0
	%	100%	44.44%	55.56%	33.33%	11.11%	44.44%	0.00%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020



TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>Executive Vacancy Level</b>																
<b>TOTAL Postings</b>	#	8														
Voluntarily Identified	#	74	48	6	3	45	23	10	12	13	9	0	0	0	0	1
	%	100%	39.34%	4.92%	2.46%	36.89%	18.85%	8.20%	9.84%	10.66%	7.38%	0.00%	0.00%	0.00%	0.00%	0.82%
Qualified of those Identified	#	60	33	2	2	21	15	2	5	8	5	0	0	0	0	0
	%	100%	55.00%	45.00%	3.33%	35.00%	25.00%	3.33%	8.33%	13.33%	8.33%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred of those Qualified	#	38	18	2	1	13	11	0	3	3	5	0	0	0	0	0
	%	100%	47.37%	52.63%	2.63%	34.21%	28.95%	0.00%	7.89%	7.89%	13.16%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred <sup>3</sup>	#	3	0	0	0	0	2	0	1	0	0	0	0	0	0	0
	%	100%	0.00%	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%
<b>Executive Onboarded<sup>4</sup></b>	#	5	4	1	0	4	1	0	0	0	0	0	0	0	0	0
	%	100%	80.00%	20.00%	0.00%	80.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																
<b>Career Development Programs for Executive Levels</b>																
<b>Relevant Pool<sup>2</sup></b>	%	100%	56.78%	43.22%	3.43%	2.34%	41.79%	26.22%	4.21%	7.02%	6.63%	0.00%	0.00%	0.23%	0.13%	0.31%
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 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	
<b>Manager Level</b>	#	389	241	148	12	3	197	106	8	19	23	20	0	0	1	0	0
<b>Manager</b>	%	100%	61.95%	38.05%	3.08%	0.77%	50.64%	27.25%	2.06%	4.88%	5.91%	5.14%	0.00%	0.00%	0.26%	0.00%	0.00%
SK-17	#	389	241	148	12	3	197	106	8	19	23	20	0	0	1	0	0
	%	100%	61.95%	38.05%	3.08%	0.77%	50.64%	27.25%	2.06%	4.88%	5.91%	5.14%	0.00%	0.00%	0.26%	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%
<b>Internal Competitive Promotions<sup>1</sup></b>																	
<b>Manager</b>	#	19															
	%	100%	61.69%	38.31%	5.35%	1.97%	43.38%	23.10%	4.51%	7.89%	8.45%	5.07%	0.00%	0.00%	0.00%	0.00%	0.28%
<b>Relevant Pool<sup>2</sup></b>	#	249	169	80	11	6	98	50	20	10	38	13	0	0	2	1	0
	%	100%	67.87%	32.13%	4.42%	2.41%	39.36%	20.08%	8.03%	4.02%	15.26%	5.22%	0.00%	0.00%	0.80%	0.40%	0.00%
<b>TOTAL Applications Received</b>	#	212	143	69	9	2	84	46	16	9	32	11	0	0	2	1	0
	%	100%	67.45%	32.55%	4.25%	0.94%	39.62%	21.70%	7.55%	4.25%	15.09%	5.19%	0.00%	0.00%	0.94%	0.47%	0.00%
<b>Qualified</b>	#	86	68	18	7	1	26	9	14	4	20	3	0	0	1	1	0
	%	100%	79.07%	20.93%	8.14%	1.16%	30.23%	10.47%	16.28%	4.65%	23.26%	3.49%	0.00%	0.00%	1.16%	1.16%	0.00%
<b>Referred</b>	#	20	14	6	0	1	11	3	0	0	3	2	0	0	0	0	0
	%	100%	70.00%	30.00%	0.00%	5.00%	55.00%	15.00%	0.00%	0.00%	15.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Selected</b>	#	20	14	6	0	1	11	3	0	0	3	2	0	0	0	0	0
	%	100%	70.00%	30.00%	0.00%	5.00%	55.00%	15.00%	0.00%	0.00%	15.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>Manager Vacancy Level</b>																
<b>TOTAL Postings</b>	7															
Voluntarily Identified	279	181	98	31	7	78	35	43	39	27	17	0	0	1	0	0
	100%	64.87%	35.13%	11.11%	2.51%	27.96%	12.54%	15.41%	13.98%	9.68%	6.09%	0.00%	0.00%	0.36%	0.00%	0.00%
Qualified of those Identified	114	75	39	11	0	37	22	13	7	14	10	0	0	0	0	0
	100%	65.79%	34.21%	9.65%	0.00%	32.46%	19.30%	11.40%	6.14%	12.28%	8.77%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred of those Qualified	38	21	17	3	0	11	11	3	2	4	4	0	0	0	0	0
	100%	55.26%	44.74%	7.89%	0.00%	28.95%	28.95%	7.89%	5.26%	10.53%	10.53%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred <sup>3</sup>	3	1	2	1	0	0	2	0	0	0	0	0	0	0	0	0
	100%	33.33%	66.67%	33.33%	0.00%	0.00%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Manager Onboarded<sup>4</sup></b>	2	1	1	0	0	1	1	0	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%	0.00%
<b>Career Development Programs</b>																
<b>Career Development Programs for Managers</b>																
<b>Relevant Pool<sup>2</sup></b>	100%	58.02%	41.98%	3.37%	2.19%	43.62%	26.86%	3.80%	5.76%	6.97%	6.71%	0.00%	0.00%	0.17%	0.12%	0.35%
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>Supervisor Level</b>																	
Supervisor	#	219	138	7	19	154	82	16	30	30	18	0	0	0	0	0	1
	%	61.34%	38.66%	1.96%	5.32%	43.14%	22.97%	4.48%	8.40%	8.40%	5.04%	0.00%	0.00%	0.00%	0.00%	0.00%	0.28%
SK-09	#	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0
	%	0.00%	100%	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%
SK-10	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
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
	%	0.00%	0.00%	0.00%	0.00%	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
	%	25.00%	75.00%	12.50%	0.00%	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	4	6	0	3	3	1	2	0	1	0	0	0	0	0	0
	%	40.00%	60.00%	0.00%	0.00%	30.00%	30.00%	10.00%	20.00%	0.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	#	337	213	124	19	149	77	15	24	30	16	0	0	0	0	0	1
	%	63.20%	36.80%	1.78%	5.64%	44.21%	22.85%	4.45%	7.12%	8.90%	4.75%	0.00%	0.00%	0.00%	0.00%	0.00%	0.30%
SK-16	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

**TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 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		
<b>Internal Competitive Promotions<sup>1</sup></b>																		
Supervisor																		
Relevant Pool <sup>2</sup>	%	100%	52.07%	47.93%	3.37%	3.05%	36.25%	25.36%	5.33%	11.68%	6.71%	7.29%	0.00%	0.00%	0.25%	0.15%	0.40%	
TOTAL Postings	#	20																
TOTAL Applications Received	#	577	322	255	27	21	129	75	74	129	87	20	0	0	3	2	8	
	%	100%	55.81%	44.19%	4.68%	3.64%	22.36%	13.00%	12.82%	22.36%	15.08%	3.47%	0.00%	0.00%	0.52%	0.35%	1.39%	
Qualified	#	324	158	166	11	10	71	59	32	79	43	13	0	0	0	0	1	5
	%	100%	48.77%	51.23%	3.40%	3.09%	21.91%	18.21%	9.88%	24.38%	13.27%	4.01%	0.00%	0.00%	0.00%	0.00%	0.31%	1.54%
Referred	#	224	104	120	10	8	35	34	24	65	34	8	0	0	0	0	1	5
	%	100%	46.43%	53.57%	4.46%	3.57%	15.63%	15.18%	10.71%	29.02%	15.18%	3.57%	0.00%	0.00%	0.00%	0.00%	0.45%	2.23%
Selected	#	24	11	13	3	0	7	10	0	2	1	0	0	0	0	0	0	1
	%	100%	45.83%	54.17%	12.50%	0.00%	29.17%	41.67%	0.00%	8.33%	4.17%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	4.17%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2020, 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 202021, downloaded on 11/12/2020

**TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>New Hires</b>																
<b>Supervisor Vacancy Level</b>																
<b>TOTAL Received</b>	4															
Voluntarily Identified	# 216	51	2	9	24	38	18	7	39	7	0	0	3	0	1	0
	% 100%	23.61%	0.93%	4.17%	11.11%	17.59%	8.33%	3.24%	18.06%	3.24%	0.00%	0.00%	1.39%	0.00%	0.46%	0.00%
Qualified of those Identified	# 215	50	2	9	23	38	18	7	39	7	0	0	3	0	1	0
	% 100%	23.26%	0.93%	4.19%	10.70%	17.67%	8.37%	3.26%	18.14%	3.26%	0.00%	0.00%	1.40%	0.00%	0.47%	0.00%
Referred of those Qualified	# 21	7	0	0	5	1	0	2	3	2	0	0	0	0	0	0
	% 100%	33.33%	0.00%	0.00%	23.81%	4.76%	0.00%	9.52%	14.29%	9.52%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of those Referred <sup>3</sup>	# 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%
<b>Supervisor Onboarded<sup>4</sup></b>	# 11	5	1	2	3	1	1	0	0	0	0	0	0	0	0	0
	% 100%	45.45%	9.09%	18.18%	27.27%	9.09%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAS Staffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2020, 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: USAS Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 202021 *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
<b>Career Development Programs</b>																
<b>Career Development Programs for Supervisors</b>																
Relevant Pool <sup>2</sup>	%	100%	56.16%	43.84%	3.47%	2.52%	40.74%	26.13%	4.46%	7.90%	7.15%	6.80%	0.00%	0.23%	0.14%	0.35%
Slots <sup>5</sup>	#	0														
Applied	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for Permanent vacancies posted with close dates during the fiscal year ending on 9/30/2020 (i.e., between 10/1/2019 and 9/30/2020). 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.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2020 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.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2020, 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: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT Analytic File for pay period 202021, downloaded on 11/12/2020

**TABLE A9-1: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—  
FY 2020 (10/1/2019 THROUGH 9/30/2020)**

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
<b>Time-Off Awards</b>																
<b>Time-Off Awards: 1 – 10 hours</b>																
TOTAL #	1,670	833	837	50	40	608	509	98	196	76	80	0	0	1	3	9
Time-Off Awards Given %	100%	49.88%	50.12%	2.99%	2.40%	36.41%	30.48%	5.87%	11.74%	4.55%	4.79%	0.00%	0.00%	0.06%	0.18%	0.54%
TOTAL Hours	10,923	5,572	5,351	297	237	4,067	3,325	672	1,220	528	492	0	0	8	15	62
Average Hours	7	7	6	6	6	7	7	7	6	7	6	0	0	8	5	7
<b>Time-Off Awards: 11 – 20 hours</b>																
TOTAL #	766	376	390	25	35	274	207	27	88	47	53	0	0	2	1	6
Time-Off Awards Given %	100%	49.09%	50.91%	3.26%	4.57%	35.77%	27.02%	3.52%	11.49%	6.14%	6.92%	0.00%	0.00%	0.26%	0.13%	0.78%
TOTAL Hours	12,074	5,910	6,164	402	548	4,296	3,268	424	1,394	740	846	0	0	32	16	92
Average Hours	16	16	16	16	16	16	16	16	16	16	16	0	0	16	16	15
<b>Time-Off Awards: 21 – 30 hours</b>																
TOTAL #	349	155	194	12	16	113	119	11	31	19	27	0	0	0	1	0
Time-Off Awards Given %	100%	44.41%	55.59%	3.44%	4.58%	32.38%	34.10%	3.15%	8.88%	5.44%	7.74%	0.00%	0.00%	0.00%	0.29%	0.00%
TOTAL Hours	8,425	3,745	4,680	288	384	2,733	2,868	264	750	460	654	0	0	0	24	0
Average Hours	24	24	24	24	24	24	24	24	24	24	24	0	0	0	24	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 202021, downloaded on 11/12/2020



TABLE A9-1: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—  
 FY 2020 (10/1/2019 THROUGH 9/30/2020) 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
<b>Time-Off Awards: 31 – 40 hours</b>																	
TOTAL #	90	44	46	3	2	29	34	3	2	9	7	0	0	0	1	0	0
Time-Off Awards Given %	100%	48.89%	51.11%	3.33%	2.22%	32.22%	37.78%	3.33%	2.22%	10.00%	7.78%	0.00%	0.00%	0.00%	1.11%	0.00%	0.00%
TOTAL Hours	3,112	1,502	1,610	96	71	991	1,193	96	71	319	243	0	0	0	32	0	0
Average Hours	35	34	35	32	36	34	35	32	36	35	35	0	0	0	32	0	0
<b>Time-Off Awards: 41 + hours</b>																	
TOTAL #	0	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%	0.00%
TOTAL Hours	0	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	0
<b>Time-Off Awards: 11 – 40 hours</b>																	
TOTAL #	1,205	575	630	40	53	416	360	41	121	75	87	0	0	2	3	1	6
Time-Off Awards Given %	100%	47.72%	52.28%	3.32%	4.40%	34.52%	29.88%	3.40%	10.04%	6.22%	7.22%	0.00%	0.00%	0.17%	0.25%	0.08%	0.50%
TOTAL Hours	23,611	11,157	12,454	786	1,003	8,020	7,329	784	2,215	1,519	1,743	0	0	32	72	16	92
Average Hours	20	19	20	20	19	19	20	19	18	20	20	0	0	16	24	16	15

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 202021, downloaded on 11/12/2020

TABLE A9-1: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—  
 FY 2020 (10/1/2019 THROUGH 9/30/2020) *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	
<b>Cash Awards</b>																		
<b>Cash Awards: \$500 and Under</b>																		
TOTAL Cash	#	981	528	453	23	33	390	248	68	117	45	50	0	0	2	0	5	
Awards Given	%	100%	53.82%	46.18%	2.34%	3.36%	39.76%	25.28%	6.93%	11.93%	4.59%	5.10%	0.00%	0.20%	0.00%	0.00%	0.51%	
TOTAL Amount		\$400,098	\$214,586	\$185,512	\$9,075	\$13,430	\$159,122	\$101,146	\$27,714	\$46,927	\$18,025	\$21,679	\$0	\$0	\$650	\$0	\$2,330	
Average Amount		\$408	\$406	\$410	\$395	\$407	\$408	\$408	\$408	\$401	\$401	\$434	\$0	\$0	\$325	\$0	\$466	
<b>Cash Awards: \$501 to \$999</b>																		
TOTAL Cash	#	859	448	411	19	21	332	224	45	119	48	44	0	0	4	1	2	
Awards Given	%	100%	52.15%	47.85%	2.21%	2.44%	38.65%	26.08%	5.24%	13.85%	5.59%	5.12%	0.00%	0.00%	0.47%	0.12%	0.23%	
TOTAL Amount		\$638,096	\$334,155	\$303,941	\$14,720	\$15,450	\$246,593	\$165,329	\$33,694	\$87,485	\$36,134	\$33,277	\$0	\$0	\$3,014	\$900	\$1,500	
Average Amount		\$743	\$746	\$740	\$775	\$736	\$743	\$738	\$749	\$735	\$753	\$756	\$0	\$0	\$754	\$900	\$750	
<b>Cash Awards: \$1,000 to \$1,999</b>																		
TOTAL Cash	#	1,751	988	763	52	38	756	482	61	130	113	105	0	0	6	4	4	
Awards Given	%	100%	56.42%	43.58%	2.97%	2.17%	43.18%	27.53%	3.48%	7.42%	6.45%	6.00%	0.00%	0.00%	0.34%	0.23%	0.23%	
TOTAL Amount		\$2,210,772	\$1,246,603	\$964,169	\$67,644	\$46,250	\$960,328	\$616,893	\$71,938	\$156,617	\$139,943	\$135,166	\$0	\$0	\$6,750	\$4,993	\$4,250	
Average Amount		\$1,263	\$1,262	\$1,264	\$1,301	\$1,217	\$1,270	\$1,280	\$1,179	\$1,205	\$1,238	\$1,287	\$0	\$0	\$1,125	\$1,248	\$0	\$1,063

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 202021, downloaded on 11/12/2020

TABLE A9-1: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—  
 FY 2020 (10/1/2019 THROUGH 9/30/2020) 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
<b>Cash Awards: \$2,000 to \$2,999</b>																	
TOTAL #	401	239	162	20	3	183	112	11	23	25	23	0	0	0	0	0	1
Cash Awards Given %	100%	59.60%	40.40%	4.99%	0.75%	45.64%	27.93%	2.74%	5.74%	6.23%	5.74%	0.00%	0.00%	0.00%	0.00%	0.00%	0.25%
TOTAL Amount	\$907,491	\$542,233	\$365,258	\$43,006	\$6,250	\$416,493	\$254,379	\$23,414	\$50,704	\$59,320	\$51,925	\$0	\$0	\$0	\$0	\$0	\$2,000
Average Amount	\$2,263	\$2,269	\$2,255	\$2,150	\$2,083	\$2,276	\$2,271	\$2,129	\$2,205	\$2,373	\$2,258	\$0	\$0	\$0	\$0	\$0	\$2,000
<b>Cash Awards: \$3,000 or More</b>																	
TOTAL #	39	20	19	2	0	16	12	0	5	2	2	0	0	0	0	0	0
Cash Awards Given %	100%	51.28%	48.72%	5.13%	0.00%	41.03%	30.77%	0.00%	12.82%	5.13%	5.13%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Amount	\$143,423	\$71,248	\$72,175	\$8,500	\$0	\$54,748	\$46,196	\$0	\$18,579	\$8,000	\$7,400	\$0	\$0	\$0	\$0	\$0	\$0
Average Amount	\$3,678	\$3,562	\$3,799	\$4,250	\$0	\$3,422	\$3,850	\$0	\$3,716	\$4,000	\$3,700	\$0	\$0	\$0	\$0	\$0	\$0
<b>Other Awards</b>																	
<b>Performance Based Pay Increase</b>																	
TOTAL #	4,150	2,232	1,918	130	105	1,634	1,073	193	459	261	257	0	1	10	5	4	18
Perf Based Award %	100%	53.78%	46.22%	3.13%	2.53%	39.37%	25.86%	4.65%	11.06%	6.29%	6.19%	0.00%	0.02%	0.24%	0.12%	0.10%	0.43%
TOTAL Benefit	\$27,593,539	\$15,224,438	\$12,369,101	\$881,612	\$631,843	\$11,131,442	\$7,227,037	\$1,249,623	\$2,631,574	\$1,869,056	\$1,719,551	\$0	\$7,524	\$65,382	\$35,209	\$27,323	\$116,363
Average Benefit	\$6,649	\$6,821	\$6,449	\$6,782	\$6,018	\$6,812	\$6,735	\$6,475	\$5,733	\$7,161	\$6,691	\$0	\$7,524	\$6,538	\$7,042	\$6,831	\$6,465

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 202021, downloaded on 11/12/2020

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—FY 2020 (10/1/2019 THROUGH 9/30/2020)

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
<b>Time-Off Awards</b>																	
<b>Time-Off Awards: 1 – 10 hours</b>																	
TOTAL Awarded	1,189	598	591	31	27	442	356	61	140	63	61	0	0	1	1	0	6
Inc.	27.09%	25.36%	29.10%	21.83%	23.28%	25.74%	31.59%	29.90%	29.05%	22.42%	21.79%	0.00%	0.00%	10.00%	16.67%	0.00%	31.58%
TOTAL Hours Awarded	10,923	5,572	5,351	297	237	4,067	3,325	672	1,220	528	492	0	0	8	15	0	62
Avg. Hours per Emp.	9	9	9	10	9	9	9	11	9	8	8	0	0	8	15	0	10
<b>Time-Off Awards: 11 – 20 hours</b>																	
TOTAL Awarded	697	346	351	24	32	249	185	26	79	45	48	0	0	1	1	1	6
Inc.	15.88%	14.67%	17.28%	16.90%	27.59%	14.50%	16.42%	12.75%	16.39%	16.01%	17.14%	0.00%	0.00%	10.00%	16.67%	25.00%	31.58%
TOTAL Hours Awarded	12,074	5,910	6,164	402	548	4,296	3,268	424	1,394	740	846	0	0	32	16	16	92
Avg. Hours per Emp.	17	17	18	17	17	17	18	16	18	16	18	0	0	32	16	16	15
<b>Time-Off Awards: 21 – 30 hours</b>																	
TOTAL Awarded	324	140	184	11	16	101	110	11	30	17	27	0	0	0	1	0	0
Inc.	7.38%	5.94%	9.06%	7.75%	13.79%	5.88%	9.76%	5.39%	6.22%	6.05%	9.64%	0.00%	0.00%	0.00%	16.67%	0.00%	0.00%
TOTAL Hours Awarded	8,425	3,745	4,680	288	384	2,733	2,868	264	750	460	654	0	0	0	24	0	0
Avg. Hours per Emp.	26	27	25	26	24	27	26	24	25	27	24	0	0	0	24	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 202021, downloaded on 11/12/2020

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—FY 2020 (10/1/2019 THROUGH 9/30/2020) *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
<b>Time-Off Awards: 31 – 40 hours</b>																	
TOTAL #	85	41	44	3	2	26	32	3	2	9	7	0	0	0	1	0	0
Time-Off Inc.	1.94%	1.74%	2.17%	2.11%	1.72%	1.51%	2.84%	1.47%	0.41%	3.20%	2.50%	0.00%	0.00%	0.00%	16.67%	0.00%	0.00%
TOTAL Hours Awarded	3,112	1,502	1,610	96	71	991	1,193	96	71	319	243	0	0	0	32	0	0
Avg. Hours per Emp.	37	37	37	32	36	38	37	32	36	35	35	0	0	0	32	0	0
<b>Time-Off Awards: 41 + hours</b>																	
TOTAL #	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
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
<b>Time-Off Awards: 11 – 40 hours</b>																	
TOTAL #	1,054	506	548	38	46	363	309	38	107	65	77	0	0	1	3	1	6
Time-Off Inc.	24.01%	21.46%	26.98%	26.76%	39.66%	21.14%	27.42%	18.63%	22.20%	23.13%	27.50%	0.00%	0.00%	10.00%	50.00%	25.00%	31.58%
TOTAL Hours Awarded	23,611	11,157	12,454	786	1,003	8,020	7,329	784	2,215	1,519	1,743	0	0	32	72	16	92
Avg. Hours per Emp.	22	22	23	21	22	22	24	21	21	23	23	0	0	32	24	16	15

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 202021, downloaded on 11/12/2020

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—FY 2020 (10/1/2019 THROUGH 9/30/2020) 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
<b>Cash Awards</b>																	
<b>Cash Awards: \$500 and Under</b>																	
TOTAL #	821	446	375	20	24	331	207	55	95	38	44	0	0	2	0	0	5
Inc.	18.71%	18.91%	18.46%	14.08%	20.69%	19.28%	18.37%	26.96%	19.71%	13.52%	15.71%	0.00%	0.00%	20.00%	0.00%	0.00%	26.32%
TOTAL Cash Awarded	\$400,098	\$214,586	\$185,512	\$9,075	\$13,430	\$159,122	\$101,146	\$27,714	\$46,927	\$18,025	\$21,679	\$0	\$0	\$650	\$0	\$0	\$2,330
Avg. Cash per Emp.	\$487	\$481	\$495	\$454	\$560	\$481	\$489	\$504	\$494	\$474	\$493	\$0	\$0	\$325	\$0	\$0	\$466
<b>Cash Awards: \$501 to \$999</b>																	
TOTAL #	792	413	379	19	19	307	204	41	113	43	40	0	0	3	1	0	2
Inc.	18.05%	17.51%	18.66%	13.38%	16.38%	17.88%	18.10%	20.10%	23.44%	15.30%	14.29%	0.00%	0.00%	30.00%	16.67%	0.00%	10.53%
TOTAL Cash Awarded	\$638,096	\$334,155	\$303,941	\$14,720	\$15,450	\$246,593	\$165,329	\$33,694	\$87,485	\$36,134	\$33,277	\$0	\$0	\$3,014	\$900	\$0	\$1,500
Avg. Cash per Emp.	\$806	\$809	\$802	\$775	\$813	\$803	\$810	\$822	\$774	\$840	\$832	\$0	\$0	\$1,005	\$900	\$0	\$750
<b>Cash Awards: \$1,000 to \$1,999</b>																	
TOTAL #	1,542	870	672	49	34	659	416	54	121	102	93	0	0	6	4	0	4
Inc.	35.13%	36.90%	33.09%	34.51%	29.31%	38.38%	36.91%	26.47%	25.10%	36.30%	33.21%	0.00%	0.00%	60.00%	66.67%	0.00%	21.05%
TOTAL Cash Awarded	\$2,210,772	\$1,246,603	\$964,169	\$67,644	\$46,250	\$960,328	\$616,893	\$71,938	\$156,617	\$139,943	\$135,166	\$0	\$0	\$6,750	\$4,993	\$0	\$4,250
Avg. Cash per Emp.	\$1,434	\$1,433	\$1,435	\$1,380	\$1,360	\$1,457	\$1,483	\$1,332	\$1,294	\$1,372	\$1,453	\$0	\$0	\$1,125	\$1,248	\$0	\$1,063

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 202021, downloaded on 11/12/2020

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—FY 2020 (10/1/2019 THROUGH 9/30/2020) 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
<b>Cash Awards: \$2,000 to \$2,999</b>																	
TOTAL #	378	221	157	19	3	173	108	11	22	18	23	0	0	0	0	0	1
Inc.	8.61%	9.37%	7.73%	13.38%	2.59%	10.08%	9.58%	5.39%	4.56%	6.41%	8.21%	0.00%	0.00%	0.00%	0.00%	0.00%	5.26%
TOTAL Cash Awarded	\$907,491	\$542,233	\$365,258	\$43,006	\$6,250	\$416,493	\$254,379	\$23,414	\$50,704	\$59,320	\$51,925	\$0	\$0	\$0	\$0	\$0	\$2,000
Avg. Cash per Emp.	\$2,401	\$2,454	\$2,326	\$2,263	\$2,083	\$2,407	\$2,355	\$2,129	\$2,305	\$3,296	\$2,258	\$0	\$0	\$0	\$0	\$0	\$2,000
<b>Cash Awards: \$3,000 or More</b>																	
TOTAL #	39	20	19	2	0	16	12	0	5	2	2	0	0	0	0	0	0
Inc.	0.89%	0.85%	0.94%	1.41%	0.00%	0.93%	1.06%	0.00%	1.04%	0.71%	0.71%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Cash Awarded	\$143,423	\$71,248	\$72,175	\$8,500	\$0	\$54,748	\$46,196	\$0	\$18,579	\$8,000	\$7,400	\$0	\$0	\$0	\$0	\$0	\$0
Avg. Cash per Emp.	\$3,678	\$3,562	\$3,799	\$4,250	\$0	\$3,422	\$3,850	\$0	\$3,716	\$4,000	\$3,700	\$0	\$0	\$0	\$0	\$0	\$0
<b>Other Awards</b>																	
<b>Performance Based Pay Increase</b>																	
TOTAL #	4,150	2,232	1,918	130	105	1,634	1,073	193	459	261	257	0	1	10	5	4	18
Inc.	94.55%	94.66%	94.44%	91.55%	90.52%	95.17%	95.21%	94.61%	95.23%	92.88%	91.79%	0.00%	100%	100%	83.33%	100%	94.74%
TOTAL Perf. Based	\$27,593,539	\$15,224,438	\$12,369,101	\$881,612	\$631,843	\$11,131,442	\$7,227,037	\$1,249,623	\$2,631,574	\$1,869,056	\$1,719,551	\$0	\$7,524	\$65,382	\$35,209	\$27,323	\$116,363
Avg. Benefit per Emp.	\$6,649	\$6,821	\$6,449	\$6,782	\$6,018	\$6,812	\$6,735	\$6,475	\$5,733	\$7,161	\$6,691	\$0	\$7,524	\$6,538	\$7,042	\$6,831	\$6,465
Permanent Workforce #	4,389	2,358	2,031	142	116	1,717	1,127	204	482	281	280	0	1	10	6	4	19
%	100%	53.73%	46.27%	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%

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 202021, downloaded on 11/12/2020

**TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]  
PAY PERIODS 201922 TO 202021**

EMPLOYMENT TENURE	TOTAL		No Disability [05]	Not Identified [01]	Disability [02-03, 06-99]	Other PWD <sup>1</sup>	Total PWD	PWTd	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]	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	4,365		3,776	212	336	41	377	85	0	1	38	8	3	3	5	6	3	1	16	1	3
		100%	86.51%	4.86%	7.70%	0.94%	8.64%	1.95%	0.00%	0.02%	0.87%	0.18%	0.07%	0.11%	0.14%	0.07%	0.02%	0.37%	0.02%	0.07%	
Current FY	4,493		3,879	223	343	48	391	86	0	1	38	7	3	3	5	6	3	0	19	1	3
		100%	86.33%	4.96%	7.63%	1.07%	8.70%	1.91%	0.00%	0.02%	0.85%	0.16%	0.07%	0.11%	0.13%	0.07%	0.00%	0.42%	0.02%	0.07%	
Difference	128		103	11	7	7	14	1	0	0	0	-1	0	0	0	0	-1	3	0	0	
Ratio Change		0.00%	-0.18%	0.10%	-0.07%	0.13%	0.06%	-0.04%	0.00%	0.00%	-0.02%	-0.02%	0.00%	0.00%	-0.01%	0.00%	-0.02%	0.05%	0.00%	0.00%	
Net Change		2.93%	2.73%	5.19%	2.08%	17.07%	3.71%	1.18%	0.00%	0.00%	0.00%	-12.50%	0.00%	0.00%	0.00%	0.00%	-100.00%	18.75%	0.00%	0.00%	

<sup>1</sup> "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).

<sup>2</sup> 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 202021, downloaded on 11/12/2020



TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]  
 PAY PERIODS 201922 TO 202021 continued

EMPLOYMENT TENURE	TOTAL													PWT	Total PWD	Other PWD <sup>1</sup>	Disability [02-03, 06-99]	No Disability [05]	Not Identified [01]	Disability [02-03, 06-99]	TOTAL	No Disability [05]	Not Identified [01]	Disability [02-03, 06-99]	Other PWD <sup>1</sup>	Total PWD	PWT	Significant 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	4,266	100%	3,686	86.40%	208	4.88%	331	7.76%	41	0.96%	372	8.72%	84	1.97%	0	0.00%	0	0.02%	1	0.02%	38	0.89%	7	0.16%	3	0.07%	3	0.07%	5	0.12%	6	0.14%	3	0.07%	6	0.14%	1	0.02%	16	0.38%	1	0.02%	1	0.02%	3	0.07%					
Current FY	4,389	100%	3,786	86.26%	219	4.99%	338	7.70%	46	1.05%	384	8.75%	85	1.94%	0	0.00%	1	0.02%	1	0.02%	38	0.87%	7	0.16%	3	0.07%	5	0.11%	6	0.14%	3	0.07%	6	0.14%	0	0.00%	18	0.41%	1	0.02%	1	0.02%	3	0.07%							
Difference	123		100		11		7		5		12		1		0		0		0		0		0		0		0		0		0		0		0		0		0		0		0		0						
Ratio Change	0.00%		-0.14%		0.11%		-0.06%		0.09%		0.03%		-0.03%		0.00%		0.00%		0.00%		-0.02%		0.00%		0.00%		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	2.88%		2.71%		5.29%		2.11%		12.20%		3.23%		1.19%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%				
Federal Goal											<b>12.00%</b>		<b>2.00%</b>																																						

<sup>1</sup> "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).

<sup>2</sup> 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 202021, downloaded on 11/12/2020

**TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]  
PAY PERIODS 201922 TO 202021 continued**

EMPLOYMENT TENURE	TOTAL																				
	#	99	90	Not Identified [01]	Disability [02-03, 06-99]	Other PWD <sup>1</sup>	Total PWD	PWTD	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]	Partial or Complete Paralysis [60]	Epilepsy or Other Seizure Disorders [82]	Intellectual Disability [90]	Significant Psychiatric Disorder [91]	Dwarfism [92]	Significant Disfigurement [93]	
<b>TEMPORARY</b>																					
Prior FY	#	90	4	5	0	5	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0
	%	90.91%	4.04%	5.05%	0.00%	5.05%	1.01%	0.00%	0.00%	0.00%	1.01%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Current FY	#	104	4	5	2	7	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0
	%	100%	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%	0.96%	0.00%	0.00%
Difference	#	5	3	0	2	2	0	0	0	0	-1	0	0	0	0	0	0	0	1	0	0
Ratio Change	%	0.00%	-1.49%	-0.19%	1.92%	1.68%	-0.05%	0.00%	0.00%	0.00%	-1.01%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.96%	0.00%	0.00%
Net Change	%	5.05%	3.33%	0.00%	0.00%	40.00%	0.00%	0.00%	0.00%	0.00%	-100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> "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).

<sup>2</sup> 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 202021, downloaded on 11/12/2020

TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]  
 PAY PERIODS 201922 TO 202021 continued

EMPLOYMENT TENURE	TOTAL		No Disability [05]	Not Identified [01]	Disability [02-03, 06-99]	Other PWD <sup>1</sup>	Total PWD	PSTD	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	100%	0	0	0	3	4	2	0	0	0	2	0	0	0	0	0	0	0	0	0
Current FY	7	100%	0	0	7	0	7	3	0	0	1	0	0	0	0	0	0	0	2	0	0
Difference	3		0	0	4	-1	3	1	0	0	-1	0	0	0	0	0	0	0	2	0	0
Ratio Change		0.00%	0.00%	0.00%	25.00%	-25.00%	0.00%	-7.14%	0.00%	0.00%	-35.71%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	28.57%	0.00%	0.00%	0.00%
Net Change		75.00%	0.00%	0.00%	133.33%	-100.00%	75.00%	50.00%	0.00%	0.00%	-50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> "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).

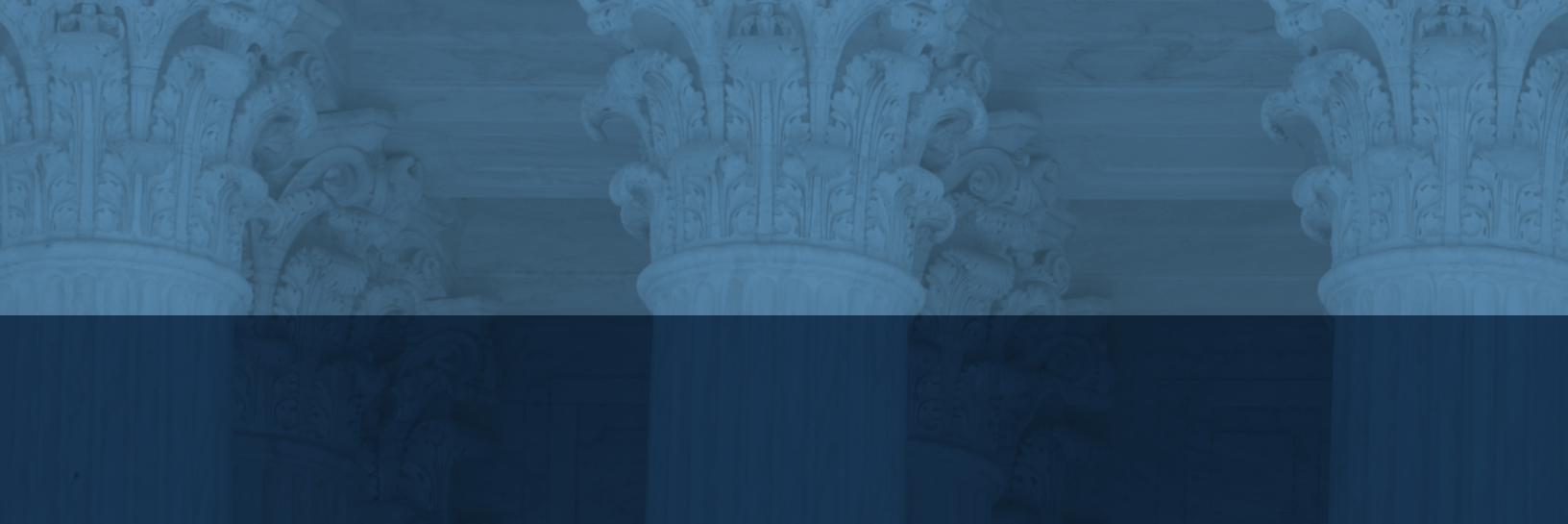
<sup>2</sup> Schedule A Employees in the permanent workforce are those currently serving under an appointment type covered by Schedule A(u). Employees previously converted to the permanent workforce are not counted.

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 202021, downloaded on 11/12/2020

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