

U.S. SECURITIES AND
EXCHANGE COMMISSION

FISCAL YEAR 2014



ANNUAL EQUAL EMPLOYMENT OPPORTUNITY PROGRAM STATUS REPORT

MANAGEMENT DIRECTIVE 715

U.S. SECURITIES AND EXCHANGE COMMISSION

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MANAGEMENT DIRECTIVE 715
FISCAL YEAR 2014

PREPARED BY
THE OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY

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

EEOC FORM 715-01 PART A - D	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT		
For period covering October 1, 2013 to September 30, 2014.			
PART A Department or Agency Identifying Information	1. Agency		1. U.S. Securities and Exchange Commission
	1.a. 2 nd level reporting component		
	1.b. 3 rd level reporting component		
	1.c. 4 th level reporting component		
	2. Address		2. 100 F Street, NE
	3. City, State, Zip Code		3. Washington, DC 20549
	4. CPDF Code	5. FIPS code(s)	4. SE00
PART B Total Employment	1. Enter total number of permanent full-time and part-time employees		1. 4097
	2. Enter total number of temporary employees		2. 138
	3. Enter total number employees paid from non-appropriated funds		3. 0
	4. TOTAL EMPLOYMENT [add lines B 1 through 3]		4. 4235
PART C Agency Official(s) Responsible For Oversight of EEO Program(s)	1. Head of Agency Official Title		1. Mary Jo White Chair
	2. Agency Head Designee		2. Alta G. Rodriguez, Director, Office of Equal Employment Opportunity (OEEO)
	3. Principal EEO Director/Official Title/series/grade		3. Alta G. Rodriguez, Director, OEEO
	4. Title VII Affirmative EEO Program Official		4. Alta G. Rodriguez, Director, OEEO
	5. Section 501 Affirmative Action Program Official		5. Alta G. Rodriguez, Director, OEEO
	6. Complaint Processing Program Manager		6. Alta G. Rodriguez, Director, OEEO
	7. Other Responsible Stakeholders		Lacey Dingman, Chief Human Capital Officer, Office of Human Resources
		Pamela A. Gibbs, Director, Office of Minority and Women Inclusion	

EEOC FORM 715-01 PART A - D	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT
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PART D List of Subordinate Components Covered in This Report	Subordinate Component and Location (City/State)	CPDF and FIPS codes	

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

* The SEC previously submitted the FY 2014 462 Report to the EEOC.

EXECUTIVE SUMMARY (PART E)

EEOC FORM 715-01 PART E	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U.S. Securities and Exchange Commission	For period covering October 1, 2013 to September 30, 2014.	

MISSION OF THE U.S. SECURITIES AND EXCHANGE COMMISSION

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

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

The SEC is an independent federal agency established pursuant to the Securities Exchange Act of 1934 (Exchange Act). The SEC's core values are integrity, commitment to excellence, accountability, effectiveness, teamwork, and fairness. The SEC is headed by a bipartisan five-member Commission, comprised of the Chair and four Commissioners who are appointed by the President and confirmed by the Senate. The Chair is responsible for the executive and administrative functions of the Commission. On April 10, 2013, Mary Jo White was sworn in as the 31st Chair of the SEC.

The SEC is organized into five divisions (Corporation Finance, Enforcement, Economic and Risk Analysis, Investment Management, and Trading and Markets) and 23 offices, including the Office of Compliance Inspections and Examinations (OCIE), which administers the Commission's National Examination Program. The SEC's Headquarters is located in Washington, DC (Home Office). The agency also has 11 Regional Offices located throughout the country. As of September 30, 2014, the SEC had 4,235 full-time employees, including 4,097 permanent employees and 138 temporary employees. *See Table A1*

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

Essential Element A: Demonstrated Commitment from Commission Leadership

The SEC's commitment to equal employment opportunity (EEO) is evident in Chair White's Equal Employment Opportunity Policy, dated March 24, 2014, which reads, in part:

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

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

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

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

As further evidence of senior leadership's commitment to equality of opportunity, the Chair and each Commissioner actively sponsor one or more of the nine Employee Resource Groups (ERGs). The Office of Equal Employment Opportunity (OEEEO) has oversight responsibility for eight of the ERGs as part of the SEC's EEO Special Emphasis Programs. The remaining ERG, the Veteran's Committee, is sponsored by the Office of Human Resources (OHR). The SEC's senior leadership supports the ERGs and encourage employees to participate in ERG events and activities held throughout the year.

In addition, each year, the Chair presents a Diversity and Inclusion Award to a member of the SEC staff or a group of staff members to show the Commission's special appreciation for employees who contribute significantly to the advancement of diversity efforts at the SEC or in their communities. The 2014 Diversity and Inclusion Award recipient was one of the SEC's ERGs, the Lesbian, Gay, Bisexual, and Transgender (LGBT) Committee, which received recognition for, among other things, developing and launching the SEC's first survey regarding sexual orientation and gender identity.

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

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

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

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

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

To accomplish this strategic objective, the SEC plans to focus on: increasing employee engagement and retention; enhancing employee development programs; and continuing the construction and implementation of a comprehensive leadership development program.

In furtherance of the Strategic Plan, the SEC developed and maintains partnerships and alliances with diverse professional organizations and educational institutions. The SEC leverages these relationships to reach a broader and more diverse pool of applicants for employment at the Commission. In FY 2014, these organizations included, among others: Association of Latino Professionals in Finance and Accounting; Pan-Asian Leaders in Finance and Accounting; Hispanic Bar Association of the District of Columbia; Hispanic National Bar Association; National Association of Asian MBAs; National Association of Black Accountants; National Bar Association; National Bar Association Greater Washington DC Chapter; National Black MBA Association; South Asian Bar Association of Washington, DC; Women's Bar Association of the District of Columbia; Diverse Partners Network; and the Thurgood Marshall College Fund.

The SEC is also focused on providing employment opportunities for individuals with disabilities. To further this effort, in 2011, the SEC implemented a five-year Disability Employment Plan. The plan

¹ See Section 342(b)(2)(A)-(C) (12 U.S.C. § 5452(b)(2)(A)-(C)).

was updated on June 10, 2014. The SEC's goals, as reflected in the Disability Employment Plan, continue to attract, engage, hire, and retain individuals with disabilities. The number of SEC permanent employees with targeted disabilities remained the same in FY 2014 as in FY 2013 (39 individuals), although the overall percentage decreased from 0.98% to 0.95%. The percentage of SEC permanent employees with disabilities also decreased slightly from 5.12% in FY 2013 to 4.95% in FY 2014. *See Table B1*

Essential Element C: Management and Program Accountability

The OEEO Director reports directly to the Chair of the Commission. In FY 2014, OEEO staff consisted of six attorneys (including the Director and a Deputy Director), two EEO specialists, two management and program analysts, and a program support specialist. OEEO compliance program functions include counseling, alternative dispute resolution, investigation, and final adjudication processes. Throughout the year, OEEO coordinates with the nine ERGs to deliver Special Emphasis Programs to employees in the SEC's Home and Regional Offices.

Consistent with the Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002 (No FEAR Act), OEEO informs new employees of their rights and remedies under antidiscrimination laws and whistleblower protection laws within 90 days of their appointment. OEEO provides employees with training on EEO-related topics through interactive sessions, lectures, and seminars. Training is delivered either in-person or broadcast via video teleconferences, depending on budget availability.

OEEO leverages the talents of SEC employees in the Home Office and Regional Offices who, in addition to performing their primary duties and responsibilities, volunteer to serve as EEO Counselors in a collateral duty capacity. In FY 2014, collateral duty EEO Counselors attended quarterly training sessions hosted by OEEO in addition to their mandatory eight-hour refresher course training delivered by experts from the U.S. Equal Employment Opportunity Commission (EEOC). In FY 2014, OEEO recruited and trained a total of ten additional collateral duty EEO Counselors from the SEC's Home Office and Regional Offices.

The SEC engaged in numerous actions to promote accountability of its EEO program during FY 2014. As required by the No FEAR Act, the SEC posted EEO complaint processing data on its internal and public websites. In FY 2014, for the fourth consecutive year, the SEC posted its FY 2013 Annual EEO Program Report on its internal and public websites in a 508-compliant format. SEC managers and supervisors were also evaluated on various competencies, including EEO and diversity and inclusion elements.

Essential Element D: Proactive Prevention of Unlawful Discrimination

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

of their EEO rights and to highlight the 45-day time limit for contacting an EEO Counselor or OEEO. In addition, OEEO develops and distributes a newsletter, *EEO Perspectives*, to: 1) message information on EEO-related topics; 2) showcase the many contributions of SEC employees from various backgrounds; and 3) encourage all SEC employees to participate in EEO programs and initiatives.

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

Essential Element E: Efficiency

In FY 2014, 35 counseling matters were initiated, 16 formal EEO complaints were filed, and two Final Agency Decisions of no discrimination were issued. Most of the formal filed EEO complaints were based on claims of reprisal, age, sex and/or race discrimination. Common issues raised in the formal filed EEO complaints were harassment (non-sexual) and terms/conditions of employment.

In March 2014, OEEO established and launched its alternative dispute resolution (ADR) program, the Conflict2Resolution Program (C2R). C2R was established in accordance with the EEOC's regulation at 29 C.F.R. § 1614.102(b)(2), which requires all federal executive agencies to establish an ADR program for individuals who participate in the EEO complaint process. While there are various forms of ADR, C2R primarily offers mediation and facilitation to resolve workplace disputes that include allegations of employment discrimination. This program had much success in its first year. In FY 2014, there were a total of 41 informal complaints processed. Among these 41 complaints, ADR was offered 33 times (reflecting approximately an 80% offer rate) and 16 individuals (approximately 48%) elected ADR. Through the use of C2R, the offer and acceptance rates increased significantly from FY 2013 to FY 2014. Since the launch of C2R, the number of individuals electing ADR within the SEC has more than doubled. In FY 2014, through C2R, nine mediations and two facilitations (a total of 11 or 68.75%) were conducted. Notably, half of the 11 matters settled or resulted in the counselee not filing a formal complaint.

Essential Element F: Responsiveness and Legal Compliance

The SEC has conducted an annual self-assessment of Section 717 and Section 501 programs against the essential elements, as prescribed by EEOC's Management Directive 715 (MD-715). Where the Commission found non-compliance with the MD-715 requirements, the SEC developed a plan for addressing the gaps as further discussed in Part H of this report. *See EEO Plan for Attaining the Essential Elements of a Model EEO Program.*

ANALYSIS OF WORKFORCE PROFILES

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

SEC Workforce

In FY 2014, the SEC had 4,235 employees, 4,097 permanent and 138 temporary. Of the 4,097 permanent employees, there were 2,198 (53.65%) males and 1,899 (46.35%) females. The SEC hired 305 new permanent employees and there were 215 voluntary separations. *See Tables A1, A8, and A14.*

SEC Permanent Workforce % Compared to Civilian Labor Force (CLF) %				
Race/Ethnicity	CLF %	Total SEC %	Male SEC %	Female SEC %
Hispanic or Latino	9.96	4.52	2.25	2.27
White	72.36	67.58	40.88	26.70
Black or African American	12.02	16.69	5.10	11.59
Asian	3.90	10.52	5.10	5.42
Native Hawaiian/Other Pacific Islander	0.14	0.07	0.02	0.05
American Indian/Alaska Native	1.08	0.36	0.24	0.12
Two or More Races	0.54	0.25	0.05	0.20

Applicant Flow

In FY 2014, the SEC, for the first time, was able to obtain and analyze applicant flow data. Applicant flow data was analyzed for the four major occupations at the SEC: economist; attorney; accountant; and compliance examiner. *See Table A7.* Below are the highlights of the analysis.

Economist (0110): 899 Applicants

In FY 2014, the SEC received 899 applications for 24 economist positions. Of the 899 applicants, 414 or less than half, voluntarily self-identified their diversity demographics. Of the 414 applicants, 73.19% were male, and 26.81% female. The following are the demographics of the individuals who applied and self-identified for the economist position, those who qualified for the position, and the eight applicants that were ultimately selected:

EEO Group	Number of Individuals Who Self-Identified	Number of Individuals Who Self-Identified and Were Deemed Qualified	Number and Percentage of Individuals Who Self-Identified and Were Selected
Hispanic	60	40	0
White	168	110	4 (50%) males
African American	101	50	1 (12.50%) male
Asian	74	39	3 (37.50%), 1 male and 2 females
American Indian/ Alaska Native	4	1	0

Note: The SEC hired 24 economists in FY 2014, but only eight of those 24 self-identified.

With the exception of the two Asian females hired as economists, the rest of the hires who self-identified were male. Two-thirds of the Hispanic applicants who self-identified were qualified, but none was selected. Virtually the same number of Hispanic and Asian applicants were deemed qualified (40 Hispanics, and 39 Asians), and three Asians were selected. Of the 101 African American applicants who self-identified, 50 were qualified and one was selected. Among applicant groups who self-identified, White males (50%) and Asians (37.50%) had the highest hire percentages. *See Table A7*

General Attorney—Securities Industry (0905): 7,283 Applicants

The SEC received 7,283 applications to fill 97 attorney positions. Only 32 of the ninety-seven (97) successful applicants self-identified. Of the 7,283 applicants, 2,907 self-identified. Of those who self-identified, 1,825 (62.78%) were male and 1,082 (37.22%) were female. Twenty-one males and 11 females were selected. Twenty-three (71.88%) of those selected and self-identified were White.

EEO Group	Number of Individuals Who Self-Identified	Number of Individuals Who Self-Identified and Were Deemed Qualified	Number and Percentage of Individuals Who Self-Identified and Were Selected
Hispanic	421	299	1 (3.13%) male
White	1528	1186	23 (71.88%), 17 males and 6 females
African American	539	387	3 (9.38%), 1 male and 2 females
Asian	356	260	5 (15.63%), 2 males and 3 females
Native Hawaiian/ Other Pacific Islander	5	4	0
American Indian/ Alaska Native	34	24	0

Accountant (0510): 2,345 Applicants

Of the 2,345 applicants for 43 accountant positions, only 13 successful applicants self-identified. One thousand thirty-one self-identified their demographics (613 males and 418 females). The demographics of the 474 applicants who self-identified and were deemed qualified are as follows:

EEO Group	Number of Individuals Who Self-Identified	Number of Individuals Who Self-Identified and Were Deemed Qualified	Number and Percentage of Individuals Who Self-Identified and Were Selected
Hispanic	224	93	0
White	394	184	8 (61.54%), 5 males and 3 females
African American	225	107	3 (23.07%), 2 males and 1 female
Asian	161	81	2 (15.38%) males
Native Hawaiian/ Other Pacific Islander	2	0	0
American Indian/ Alaska Native	9	3	0

Securities and Compliance Examiners (1831): 3,141 Applicants

Of the 3,141 applicants for 25 examiner positions, 1,544 voluntarily self-identified their demographics. Of the 1,544 that self-identified, 1,016 (65.80%) were male and 528 (34.20%) female. The following are the demographics of those who self-identified, were deemed qualified, and ultimately selected for the examiner position.

EEO Group	Number of Individuals Who Self-Identified	Number of Individuals Who Self-Identified and Were Deemed Qualified	Number and Percentage of Individuals Who Self-Identified and Were Selected
Hispanic	244	168	2 (18.18%) males
White	676	548	7 (63.63%) 4 males and 3 females
African American	367	306	1 (9.09%) female
Asian	232	198	1 (9.09%) male
Native Hawaiian/ Other Pacific Islander	4	2	0
American Indian/ Alaska Native	3	1	0

Note: The SEC hired 25 compliance examiners in FY 2014, but only 11 self-identified.

The data reflects that, although African Americans represented almost 24.8% of those who qualified for the examiner position, they received only one position, representing 9.09% of positions filled. In contrast, White applicants represented 44.41% of those who were deemed qualified, but represented 63.63% of those who were selected. *See Table A7.*

As regards to applicant flow for individuals with disabilities, the SEC received applicant flow data for a three month period only, beginning in July 2014 and ending in September 2014. Notwithstanding the incompleteness of the data, the SEC reports that in FY 2014, the Commission hired four individuals with disabilities under Schedule A, two of whom had targeted disabilities. *See Table B7*

New Hires

In FY 2014, the SEC hired 305 new permanent employees, 182 (59.7%) males and 123 (40.3%) females. The following table reflects demographic information for the FY 2014 new hires.

New Hires and Total Workforce		All	Hispanic		White		African American		Asian		American Indian/Alaska Native	
			M	F	M	F	M	F	M	F	M	F
Permanent Hires	#	305	9	5	127	64	21	34	22	18	2	0
	%	100	2.95	1.64	41.64	20.98	6.89	11.15	7.21	5.90	2.66	0
Total Permanent Workforce	#	4097	92	93	1675	1094	209	475	209	222	10	5
	%	100	2.25	2.27	40.88	26.70	5.10	11.59	5.10	5.42	.24	.12
2010 CLF	%	100	5.17	4.79	38.33	34.03	5.49	6.53	1.97	1.93	.55	.53

See Tables A1 and A8.

The CLF does not provide benchmark data on disability statistics. Instead, the benchmark for employment of individuals with disabilities is based on the Office of Personnel Management's (OPM) guidance issued pursuant to Executive Order 13548. That guidance requires federal agencies to establish Disability Employment Plans consistent with the federal government goal of hiring 100,000 additional individuals with disabilities, including those with targeted disabilities. There are nine targeted disabilities: total deafness; total vision loss; partial paralysis; complete paralysis; missing limbs/ extremities; epilepsy; severe intellectual disability; psychiatric disability; and dwarfism.

The SEC's Disability Employment Plan established the following hiring goals: 6% of all new hires to be individuals with disabilities, and at least 1.5% of all new hires to be individuals with targeted disabilities. In FY 2014, the SEC hired 305 permanent employees, 13 of whom (4.26%) reported having a disability. Four of the new hires (1.3%) were hired under Schedule A, two of whom (0.66% of the FY 14 hires) identified as having a targeted disability. *See Tables B7 and B8*

Participation Rates for SEC Major Occupations

The SEC has four major occupation groups: attorneys, accountants, securities and compliance examiners, and economists. In FY 2014, there were 4,097 permanent employees at the SEC. Of these permanent employees, there were 1,762 attorneys, 941 accountants, 176 compliance examiners, and 61 economists. Accountants and attorneys comprised 65.98% of the SEC's FY 2014 permanent employees. *See Table A6.* SEC accountants and attorneys participated at levels within approximately 1% or above the occupational CLF rates, except for the demographic groups highlighted below:

Job Title	Total	Male	Female	White	
				Male	Female
Accountants	941	535	406	421	259
	100%	56.85%	43.15%	44.74%	27.52%
Occupational CLF	100%	39.91%	60.09%	31.79%	44.23%
Attorneys	1762	1015	747	857	556
	100%	57.60%	42.40%	48.64%	31.56%
Occupational CLF	100%	66.70%	33.30%	59.68%	26.68%

See Table A6, Permanent Workforce.

White female accountant participation at the SEC (27.52%) is below the occupational CLF for White female accountants (44.23%). This follows the same pattern as the overall participation rate of female accountants at the SEC (43.15%) compared to the occupational CLF for female accountants (60.09%). This difference of over 16 percentage points is large and merits further analysis.

White male attorney participation at the SEC follows a similar pattern. The participation rate for White male attorneys at the SEC (48.64%) is well below the occupational CLF for White male attorneys (59.68%). Again, this follows the same pattern as the overall participation rate for male attorneys at the SEC (57.60%) compared to the occupational CLF for male attorneys (66.70%). The participation rates of both White male attorneys and White female accountants are well below the occupational CLF. As such, these numbers denote triggers and require further analysis to determine if Commission policies, procedures, or practices may be negatively affecting these EEO groups.

Supervisory and Management Demographics

Typically, the internal feeder pools for supervisory and management positions at the SEC are as follows: SK-14 to SK-15; SK-15 to SK-17; and SK-17 to Senior Officer (SO). Highlighted in the table below is the demographic composition of the SEC's supervisory and management workforce. Notably, there are a total of 1,861 permanent SK-14 employees, of whom females represent 44.87% (or 835 employees) and males represent 55.13% (or 1,026 employees). However, at the SK-15 level there are 334 total employees with males making up 67.66% (or 226 employees) and females comprising 32.34% (or 108 employees). There are twice as many male SK-15s than female SK-15s. White males comprise the highest percentage in SK-15 (52.40%), SK-17 (50.27%), and SO levels (59.12%). Of the male SOs, 91.01% are White; of the male SK-17s, 87.56% are White; and of the male SK-15s, 77.43% are White. Similarly, of the female SOs, 83.33% are White; of the female SK-17s, 74.19% are White; and of the female SK-15s, 62.04% are White. *See Table A4-1*

SEC Level	All			Hispanic or Latino		White		African American		Asian	
	TOTAL	M	F	M	F	M	F	M	F	M	F
SO #	137	89	48	2	1	81	40	3	5	3	2
SO %	100	64.96	35.04	1.46	0.73	59.12	29.20	2.19	3.65	2.19	1.46
SK 17 #	364	209	155	9	6	183	115	10	16	7	16
SK 17 %	100	57.42	42.58	2.47	1.65	50.27	31.59	2.75	4.40	1.92	4.40
SK 15 #	334	226	108	10	4	175	67	14	26	24	10
SK 15 %	100	67.66	32.34	2.99	1.20	52.40	20.06	4.19	7.78	7.19	2.99
SK 14 #	1861	1026	835	50	48	780	543	84	110	107	128
SK 14 %	100	55.13	44.87	2.69	2.58	41.91	29.18	4.51	5.91	5.75	6.88

In FY 2014, the number of female SOs increased from 44 to 48, and male SOs increased from 82 to 89, as compared to FY 2013. The growth in the number of female SOs was reflected in White females (37 to 40) and African American females (from four to five). Growth in the number of male SOs occurred in the White male demographic. In FY 2014, females experienced some gains at the SK-17 level (males increased by three, and females by 14), as compared to FY 2013. *See Tables A3-1 and A4-1.*

Internal Competitive Promotions

Attorneys

In FY 2014, the SEC received 310 applications for 39 attorney competitive promotions. Of the 310 individuals, 293 were qualified for the promotions—181 males and 112 females. Of those selected for the promotions, 24 were male and 15 female. Although two individuals with targeted disabilities were qualified for promotion, neither individual was promoted. Whites comprised 243 (78.39%) of the applicants and received 32 (82.05%) of the 39 competitive promotions, with White males receiving approximately 58.97% of the promotions and White females receiving 23.08% of the promotions. A further demographic breakdown is as follows:

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanics	8	8	1 (2.56%) male
White	243	231	32 (82.05%) 23 males and 9 females
African American	29	25	2 (5.13%) females
Asian	26	25	4 (10.26%) females
American Indian/ Alaska Native	4	4	0
Individuals with Disabilities	15	14	0
Individuals with Targeted Disabilities	3	2	0

Accountants

The SEC received 122 applications for 28 accountant competitive promotions. Of the 122 applicants, 110 were deemed qualified to compete for the promotion (70 males and 40 females). Of the individuals who received the competitive promotion, 17 were male and 11 females. One of the two qualified individuals with disabilities received a competitive promotion. Further demographics follow:

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanics	4	3	0
White	99	90	23 (82.14%) 14 males and 9 females
African American	6	5	1 (3.57%) male
Asian	13	12	4 (14.28%) 2 males and 2 females
Individuals with Disabilities	4	2	1 (3.57%) male
Individuals with Targeted Disabilities	0	0	0

Securities and Compliance Examiners

Finally, the SEC received 78 applications (54 from males and 24 from females) for 14 examiner promotions. Of the 78 applicants, 54 were deemed qualified (39 males and 15 females). Of the 14 selected, 13 were male (92.86%) and one was a female (7.14%). Only one individual with a disability was qualified, and that individual was not promoted. The following chart reflects the demographic breakdown.

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanics	5	3	1 (7.14%) male
White	60	41	13 (92.85%) 12 males and 1 female
African American	8	6	0
Asian	5	4	0
Individuals with Disabilities	1	1	0
Individuals with Targeted Disabilities	0	0	0

Economists

During FY 2014, there were four applications for two competitive economist promotions. The four applications were all from White males, none of whom self-identified as having a disability.

Career Ladder Promotions

A review of the SEC's non-competitive promotions reflects that of the 309 individuals eligible for career ladder promotions, 178 (57.61%) were male and 131 (42.39%) female. Eight individuals exceeded their time-in-grade by more than 25 months (one Hispanic male and two White males; four White females and one African American female). Two individuals with targeted disabilities exceeded their time-in-grade without a career ladder promotion: one individual exceeded it by 1-12 months, and the other exceeded it by 13-24 months. *See Tables A10 and B10.*

Employee Recognition and Awards

A review of Table 13 reflects that females were given more time-off awards than males. Females received approximately 52% of all time-off awards as compared to 48% of all time-off awards to males. In contrast, males received higher percentages of cash awards than females. For cash awards in the amount of \$100-\$500, males received 51.44% of these awards, and with one exception (Asian females), males on average received higher cash awards than females (\$409 versus \$379). A review of Table B13 also reveals a lower than average cash award for individuals with disabilities (\$365) and individuals with targeted disabilities (\$290).

For cash awards of \$501 and more, males received 55.42% of these awards, with an average of \$1,580, while females received an average award of \$1,422. Cash awards of \$501 or more for individuals with disabilities averaged \$1,120 and \$1,393 for individuals with targeted disabilities. *See Tables A13 and B13.*

Separations

According to the SEC Strategic Plan, the SEC aims to keep its turnover rate relatively low, i.e., below 8% per year. In FY 2014, the SEC had a separation rate of less than 6% of its total workforce. Of the 215 voluntary separations, seven were Hispanic, 149 were White, 38 were African American, 20 were Asian, and one was American Indian.

In FY 2014, 20 individuals who self-identified as having disabilities separated from the SEC, including four individuals with targeted disabilities: one deaf and two blind individuals, and one individual with a psychiatric disability. *See Tables A14 and B14.*

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

In FY 2014, the EEOC recommended specific areas of focus for the SEC concerning a number of EEO groups. In letters received from the EEOC, the EEOC specified particular areas of analysis to serve as starting points to conduct the following barrier analyses:

- Barriers to Females with emphasis on Hispanic and Asian Females seeking Executive Level (Senior Officer) Positions;
- Barriers to Persons with Targeted Disabilities (PWTD) in the SEC Workforce; and
- Barriers to Hispanic Females in the SEC Workforce. (As discussed below, OEEEO plans to include Hispanic Males in this analysis.)

In addition, the SEC reviewed the FY 2014 workforce demographic data and identified triggers related to the hiring, promotion, and awards/recognition of particular EEO groups. *See Part I, infra.* Further quantitative and qualitative analysis is required to determine the existence of any barriers to equality of opportunity in these employment benefits. The objectives and methodology used for each barrier analysis will conform to EEOC guidelines and recommendations.

Barriers to Executive (Senior Officer) Level Positions

As recommended by the EEOC, the SEC will evaluate whether females, Hispanic females, and Asian females are encountering a blocked pipeline for executive level positions. OEEEO has begun this barrier analysis with the data currently available, and will collaborate with other SEC stakeholders to obtain additional data. Stakeholders include OMWI, OHR, and managers from Home Office Divisions and Offices and Regional Offices, as appropriate.

This analysis includes the following:

- identifying the typical background and experience of individuals selected to the senior grade levels;
- examining the recruitment and selection processes for the senior grade levels;
- meeting with OHR and management officials about their recruitment efforts and the pool of qualified applicants;
- comparing the applications of female candidates to those of the selected candidates;
- collecting and reviewing the available hiring officials' ratings;
- interviewing female applicants about their perception of the selection process;

- reviewing employee exit survey results; and
- conducting focus group interviews with females in the senior grade levels regarding their career advancement experiences.

Persons with Targeted Disabilities (PWTD) in SEC's Total Workforce

In FY 2014, the EEOC recommended that the SEC analyze why PWTD represent less than 1% of its workforce compared with the EEOC's goal of 2.00%. The EEOC stated it expects the SEC to pinpoint policies, procedures, or practices that are negatively impacting the recruitment, selection, advancement, and retention of PWTD.

OEEEO has started this barrier analysis with the data available to us. The MD-715 data tables reflect, in the aggregate, SEC employees who have identified themselves as having a specific disability. The preliminary analysis indicates that, in FY 2014, the SEC hired four individuals under the Schedule A hiring authority, two of whom have a targeted disability.² OEEEO will collaborate with OMWI, OHR and other managers from Home Office Divisions and Offices and Regional Offices, as appropriate, to obtain required information for this barrier analysis.

The SEC has the following planned activities:

- train managers and supervisors to insure they are aware of how the Schedule A hiring authority is used by the SEC to hire persons with severe disabilities and their role in the recruitment and hiring process;
- conduct focus groups with employees with disabilities to discuss their recruitment, hiring, and career growth experiences with the SEC;
- evaluate the career advancement opportunities for PWTD to and through the mission-critical occupations;
- survey disability organizations at universities near the SEC Home Office and Regional Offices to obtain information that may improve recruitment of applicants with disabilities; and
- improve the efficiency and effectiveness of the disability accommodation program by fully utilizing the recently implemented Disability Accommodation Request Tracking System (DARTS) data system for tracking requests for accommodations and maintaining information about accommodations provided.

Barrier Analysis Plan for Hispanics in the SEC Workforce

In FY 2014, OEEEO identified a disparity in the percentage of Hispanic males and Hispanic females in the SEC workforce compared to the CLF. Hispanic females represented 2.27% of the SEC workforce in FY 2014 and Hispanic males represented 2.20%, both below the corresponding availability in the CLF of 4.79% for females and 5.17% for males. In FY 2014, the SEC hired 14 Hispanics (nine males and five females) and separated seven (five males and two females). *See Tables A8 and A14.* Notably, in FY 2014, Hispanic females were not represented in the new hires or in internal promotions for major occupations at the SEC.

² Schedule A, 5 CFR § 213.3102(u), provides for the hiring of people with severe physical disabilities, psychiatric disabilities, and intellectual disabilities.

In FY 2015, OEEO will examine the SEC's policies, practices, and procedures to determine the existence of any barriers to equality of opportunity for Hispanic applicants and employees. OEEO is developing a comprehensive plan to conduct this barrier analysis. As part of this plan, OEEO will examine the recruitment and/or selection processes for mission-critical occupations and the percentage of qualified applicants compared to their availability in the feeder pool and the occupational CLF for new hires.

SUMMARY OF EEO PLAN ACTION ITEMS IMPLEMENTED OR ACCOMPLISHED

In the SEC's FY 2013 report, the Commission identified a number of primary objectives to improve its EEO Program. These included: obtaining applicant flow data; conducting barrier analyses; assessing Headquarters' Divisions and Offices compliance with EEO requirements; and providing supervisors and hiring officials periodic training related to the hiring, promotion, and reasonable accommodation of individuals with disabilities. Progress was made on most of these action items in FY 2014.

Applicant Flow Data

The SEC received applicant data from USA Staffing beginning in FY 2014. This data cannot be separated into permanent and temporary employees. Therefore, Tables A7 and B7 contain both permanent and temporary employees. The applicant disability data received covers only part of FY 2014, July through September 2014. This data is in Table B7.

Barrier Analyses

The SEC contracted with a vendor to perform a barrier analysis on internal promotions at the SEC. The final report is expected from the vendor in FY 2015.

Headquarters' Divisions and Offices Compliance with EEO Requirements

Due to resource restrictions and a number of high priority projects, the SEC did not accomplish this action item in FY 2014. The SEC intends to conduct these assessments starting in FY 2015.

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

The SEC currently provides training on the disability program to new managers during new employee orientation and lunch and learn sessions offered to tenured managers throughout the course of the year. The SEC will continue to build on our training offerings 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, FMLA/Disability overlap situations and confidentiality requirements. More in-depth training will be provided as needed to officials who supervise employees with disabilities.

Informing New Employees

The SEC will continue to provide information about the SEC's Disability Family Medical Program to new employees at 26 bi-weekly orientation sessions.

American Sign Language Classes

In FY 2014, the SEC University (SECU) offered classes in beginning and intermediate American Sign Language in the workplace to employees and managers at Headquarters. The classes are continuing in FY 2015.

Protecting Confidential Medical Information

In FY 2014, OHR established a single point of contact for employees to provide confidential medical information if requested by the Disability Program Manager (DPM) in connection with requests for disability accommodation. Medical information is restricted to OHR staff in the Disability and Family Medical Programs in the Work Life Branch. Managers are not informed of their employee's medical conditions. They are only informed of the limitations when appropriate to enable the managers to provide accommodations.

Telework Enhancements Improving Accommodations

In FY 2014, the SEC's improved information technology support telework program increased the number of employees with disabilities who were accommodated with telework. In FY 2015, the Disability Accommodation Program will ensure that effective accommodations are provided to employees with disabilities who telework.

In addition to these objectives, the SEC intends to:

- Make concerted efforts to increase the number and percentages of employees hired with severe/targeted disabilities and fully accommodate them to ensure that they have opportunities for career development and promotions.
- More frequently remind all employees of the SEC's EEO Policy, and the SEC's Disability Accommodation Program.
- Promote Schedule A hiring by developing an awareness campaign for hiring managers.
- Leverage members of the SEC Veterans Committee and the SEC Disability Issues Advisory Committee as resources for advice on improving services to employees with disabilities.
- Increase the number of positions posted to disability job boards/sites.

Accomplishments

Diversity Council

In addition to the nine SEC-sponsored Employee Resource Groups (ERGs) discussed immediately below, in FY 2014, the SEC also established a Commissioner-led Diversity Council, which includes representatives from the ERGs and the National Treasury Employees Union (NTEU), to advise the agency on all matters relating to diversity, including employment issues.

Employee Engagement: Employee Resource Groups

All employees are encouraged to participate in ERGs sponsored by the SEC. These groups provide networking, mentoring and outreach opportunities to all interested employees; sponsor cultural and educational programs; support the SEC's EEO Programs and Diversity and Inclusion efforts; and make programmatic recommendations to the EEO Director. Each group has a SEC Commissioner as a sponsor and receives program support from OEEEO and/or OHR.

Nine ERGs were active in FY 2014:

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

In FY 2014, the SEC sponsored a Unity Month celebration in July and observed numerous heritage, history and awareness months with events held in Regional Offices and at the Home Office. When possible, these programs were video-cast throughout the Commission.

In FY 2014, the SEC held a number of annual Heritage Month Events that included:

- [Disability Awareness Month](#)—Kim Pudans-Smith, Gallaudet University
- [Native American Heritage Month](#)—Dante Desiderio, Executive Director, Native American Finance Officers Association
- [African American History Month](#)—Jacqueline Berrien, EEOC Chair
- [Women's History Month](#)—Dr. Rangita de Silva de Alwis, Director, Global Women's Leadership Initiative
- [Asian Pacific American Month](#)—Jenny R. Yang, EEOC Chair
- [Pride Month](#)—U.S. Representative Sean Patrick Maloney
- [Caribbean American Heritage Month](#)—Dr. Wayne A.I. Frederick, President, Howard University
- [Hispanic Heritage Month](#)—U.S. Senator Robert Menendez, Chairman, Senate Foreign Relations Committee

In addition, several ERGs hosted career development programs open to all SEC employees:

- [Women's Committee](#): Career Conversations—SEC Women Leaders providing career development advice
- [LGBT Committee](#): Out Leadership: Cultivating Out Leaders and Global LGBT Business Opportunity
- [LGBT Committee](#): PFLAG—Straight for Equality Training
- [African American Council](#): Brand U Seminar

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

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 range of learning opportunities in subject matter areas, e.g., courses on Hedge Funds, Mutual Funds, and Credit Derivatives, etc. SECU also continued to provide LD 307, Fundamentals of Human Resource Management, a leadership development program for new supervisors which also includes modules on EEO and diversity and inclusion at the SEC. The 2-day in-depth training includes training on EEO laws, and a detailed overview of human resource management policies and procedures and related SEC policies.

For Senior Officers, SECU developed and delivered a series of leadership seminars designed to provide them leadership best practices. Courses included: Managing and Leading During Times of Uncertainty; Leading Transitions; Leading Culture Change; and Sustaining Employee Morale. Further information on building leadership skills and opportunities to learn about a number of leadership topics was made available to all employees through the Leading Author series. Under this program, authors from a variety of disciplines gave lectures and shared their career paths and strategies for career success.

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

- **Civil Treatment for Managers and Employees:** Participants examined disruptive behaviors that can negatively impact the work environment and interfere with morale and productivity. Lively instructor-led discussions helped to foster positive communication and respect in the workplace, and better enable participants to check their own behavior, as well as that of others. The SEC's Preventing EEO-Based Harassment Policy (PEHP) was thoroughly discussed, along with the integral relationship between the policy and a civil environment. Additionally, managers and supervisors learned to recognize and stop potentially disruptive behavior at the earliest possible stage. Non-supervisory employees learned how to respectfully raise behavioral concerns with their supervisors before the behavior in question escalates. In FY 2014, there were 12 classes in which approximately 225 employees were trained.
- **Strength Deployment Inventory (SDI):** The SDI course was launched in FY 2014 to: (a) identify motivational values and overdone strengths for each of the members in a particular office or on a particular team; and (b) reduce workplace conflict. By providing a window into what drives individual team members, both when things are going well and when there is conflict, this course gave participants valuable information to help teams work together more effectively to achieve desired results with minimal conflict. In FY 2014, OEEO delivered 16 classes in which approximately 260 employees were trained.
- **Training for Hiring Committees:** This training sought to help those involved in the hiring process engage a more diverse workforce. OEEO and OMWI collaborated to develop a module to meet this need and training was offered to address specific concerns raised by managers involved in the hiring process. In FY 2014, there were nine classes held in which approximately 110 employees were trained.
- **Preventing EEO-Based Harassment:** This class provided a close examination of the SEC's PEHP, and discussed how to recognize EEO-based offenses at the earliest possible stage, before rising to the level of illegal harassment. In FY 2014, there were 2 classes held in which a total of approximately 25 employees were trained.

- **Open Dialogue:** This class relied upon a facilitated discussion designed to elicit actual examples of behaviors participants found offensive on an EEO basis, and helped to foster a greater understanding of members from diverse backgrounds. In FY 2014, there was one class held in which approximately 17 employees were trained.

In addition, OHR launched Unconscious Bias and Performance Management Training for Supervisors in September of 2014. A total of 15 training sessions were held in September 2014, with more planned for the first quarter of FY 2015. This program was launched to help managers and supervisors understand how unconscious bias develops and examine its impact on people and diversity efforts, and how to create inclusive work environments. Armed with this understanding, the program provided managers with strategies to minimize their unconscious biases when reviewing the performance of their team members.

Update to EEO Anti-Harassment and Reasonable Accommodation Policies

The SEC updated its Anti-Harassment Policy to include genetic information in FY 2014. See *Preventing EEO-Based Harassment Policy (PEHP) dated March 24, 2014.*

The SEC's Disability Accommodation procedures describe disability generally and do not include a standard for evaluating whether an employee with an impairment has a disability. The SEC follows current EEOC guidance with regard to the definition. Therefore, there was no need to amend the procedures to be consistent with the standards of the Americans with Disabilities Act Amendments Act of 2008 (ADAAA).

Regarding the Genetic Information Nondiscrimination Act of 2008 (GINA), the SEC Disability Accommodation procedures states that the SEC will follow the requirements of EEOC Guidance on Disability-Related Inquiries and Medical Examinations of Employees. In accordance with information provided by the EEOC, the SEC includes a notice concerning GINA in all requests for medical information related to accommodations and specifically requests that health care providers not provide any genetic information when responding to the request for medical information.

The SEC's Disability Program Manager (DPM) has worked to customize a commercially-available software program to be used by the SEC's Disability Program staff to track and report on requests for disability accommodation. Once implemented, tracking will be possible from the time of request through providing approved accommodations or denying requests and notifying requestors of the reason for denial. It will also inform them of their rights to seek reconsideration, contact an EEO Counselor or initiate the union grievance procedure. The SEC previously estimated that it would transition to a new accommodation request tracking system in August 2014; however, the SEC recently transitioned to the DARTS in January 2015.

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

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

I, Alta G. Rodriguez, EEO Director/0905/SO am the
 (Insert name above) (Insert official title/series/grade above)


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

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

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

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


 Signature of Principal EEO Director/Official 2/1/15
Date

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

 Signature of Agency Head or Agency Head Designee 2/2/15
Date

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

EEOC FORM 715-01 PART H	<i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U. S. Securities and Exchange Commission		FY 2014
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	Applicant flow data was not included in the workforce analyses. [Note: This deficiency was closed as of September 30, 2014.]	
OBJECTIVE:	Develop and implement a pilot program to capture and report applicant flow data to assist with conducting workforce analyses.	
RESPONSIBLE OFFICIAL:	Alta G. Rodriguez, Director, Office of EEO Pamela Gibbs, Director, Office of Minority and Women Inclusion Lacey Dingman, Chief Human Capital Officer, Office of Human Resources	
DATE OBJECTIVE INITIATED:	March 30, 2013	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	Closed as of September 30, 2014	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:		TARGET DATE (Must be specific)
Benchmark the practices at other small agencies for obtaining applicant flow data		N/A
Develop a pilot program in selected divisions and offices using alternative sources of data for vacancies not available through USA Staffing.		N/A
Evaluate data from pilot program and identify resources and vehicles to implement a comprehensive applicant flow data process and mechanism used by the SEC.		N/A
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
USA Staffing has provided applicant data to the SEC for FY 2014 and disability data for July through September 2014. This data is included in the FY 2014 MD-715 Report. The SEC has begun to analyze the data and incorporate the analysis of the data in our recruitment and outreach efforts. As such, this deficiency has been addressed and this Part H is closed. The planned activities were not undertaken because of the SEC's resolution of this previously-noted deficiency.		

EEOC FORM 715-01 PART H	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U. S. Securities and Exchange Commission	FY 2014	
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	OEEO program officials are not present during agency deliberations prior to decisions regarding recruitment strategies and vacancies. Also, the EEO Director did not have regularly scheduled meetings with the CHCO to assess whether the SEC's personnel programs, policies, and procedures conform to EEOC management directives and establish timetables for the SEC to review its merit promotion, employee development/training, and employee recognition and award programs and procedures for systemic barriers.	
OBJECTIVE:	<p>OEEO program officials will be appropriately involved during Commission deliberations in FY 2015. OHR has established timetables to review the SEC's merit promotion, employee development/training, and employee recognition and award programs and procedures for systemic barriers, and will provide the timetables to OEEO.</p> <p>As required by Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2012, the SEC's OMWI is responsible for all matters related to diversity in management, employment, and business activities at the SEC. OMWI currently collaborates with OHR to develop recruitment strategies and engages SEC Senior Officials to develop targeted outreach and recruitment strategies for upcoming vacancies. OEEO and OMWI collaborate with OHR on identifying learning opportunities that address employees' training and development needs.</p>	
RESPONSIBLE OFFICIAL:	<p>Alta G. Rodriguez, Director, Office of EEO</p> <p>Pamela Gibbs, Director, Office of Minority and Women Inclusion</p> <p>Lacey Dingman, Chief Human Capital Officer, Office of Human Resources</p>	
DATE OBJECTIVE INITIATED:	December 1, 2014	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	July 2015	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)	
OEEO/OMWI program officials will be present during Commission workforce deliberations in FY 2015. OEEO Director will meet on a monthly basis with CHCO to address EEO concerns.	December 31, 2014	
OEEO to analyze the established timetables to review the Commission's merit promotion, employee development/training, and employee recognition and award programs and procedures for systemic barriers.	February 28, 2015	
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
<p>OEEO, OMWI, and OHR formed a MD-715 cross-functional group to collaborate on a number of personnel areas, including SEC deliberations on recruitment strategies and to ensure consistent and accurate agency workforce reports. Further, the Directors of OEEO, OMWI, and OHR meet bi-monthly to address workforce matters.</p> <p>OEEO and OHR leadership have begun to meet on a monthly basis to address this essential element.</p>		

PLAN TO ELIMINATE IDENTIFIED BARRIER (PART I)

EEOC FORM 715-01 PART I	<i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U. S. Securities and Exchange Commission	FY 2014	
<p>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</p> <p>Provide a brief narrative describing the condition at issue.</p> <p>How was the condition recognized as a potential barrier?</p>	<p>In an August 7, 2014, letter to the SEC, the EEOC noted that the SEC should evaluate whether "women overall, Hispanic females, and Asian females may be encountering a glass ceiling as they seek promotion to SO positions" or "are bottlenecking at certain grade levels in their occupations."</p>	
<p>BARRIER ANALYSIS:</p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>Significant steps taken and quantitative and qualitative data analyzed, included, but was not limited to: SEC MD-715 Reports, FY 2011 - FY 2014; promotion data to determine if women, Hispanic females and Asian females were promoted at rates lower than the percentage at which they are represented within the SEC workforce; a review of available SEC written promotion policies and procedures; and samplings of exit surveys for the FY 2014 period.</p>	
<p>STATEMENT OF IDENTIFIED BARRIER:</p> <p>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>The ongoing analysis has not yet identified any possible barriers.</p>	
<p>OBJECTIVE:</p> <p>State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>The ongoing analysis has not yet identified any possible barriers or any revised agency policies, procedures or practices that need to be implemented.</p>	
<p>RESPONSIBLE OFFICIAL:</p>	<p>Alta G. Rodriguez, Director, Office of EEO</p> <p>Lacey Dingman, Chief Human Capital Officer, Office of Human Resources</p> <p>Pamela Gibbs, Director, Office of Minority and Women Inclusion</p>	
<p>DATE OBJECTIVE INITIATED:</p>	<p>August 14, 2014</p>	
<p>TARGET DATE FOR COMPLETION OF OBJECTIVE:</p>	<p>December 31, 2015</p>	

EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)	
Building on the EEOC's recommendations, the SEC will: <ul style="list-style-type: none"> • Identify the typical background and experience of individuals selected to the senior grade levels; • Examine the recruitment and selection processes for the senior grade levels; • Meet with OHR and management officials about their recruitment efforts and the pool of qualified applicants; • Compare the applications of female candidates to those of the selected candidates; • Collect and review the available hiring officials' ratings; • Interview the hiring officials about their perception of female applicants; • Interview female applicants about their perception of the selection process; • Review employee exit survey results; and • Interview females in the senior grade levels regarding their career advancement experiences. 	June 30, 2015	
Develop recommendations to address any identified barriers.	October 31, 2015	
Oversee implementation of recommendations derived from this barrier analysis to eliminate any identified barriers.	December 31, 2015	
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
OEEEO conducted a quantitative analysis which revealed that from FY 2011 - FY 2014 there were 77 female senior officers selected by the SEC. Of those 77 female senior officers, two Asian female senior officers were selected in FY 2013 and no Hispanic or Latina female senior officers were selected. In addition, OEEEO has gathered information regarding the professional background and experience of individuals selected to the senior grade levels and is continuing to analyze this data.		

EEOC FORM 715-01 PART I	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U. S. Securities and Exchange Commission	FY 2014	
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?	In FY 2014, Hispanic females represented 2.27% of the total SEC workforce, below their representation in the CLF of 4.79%. In FY 2014, Hispanic males represented 2.20% of the total SEC workforce, below their representation in the CLF of 5.17%.	
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.	OEEO is developing a plan to conduct a barrier analysis of Hispanic representation at the SEC which will include, among other things, a quantitative and qualitative analysis of the following: SEC MD 715 Reports for FY 2011 - FY 2014; review SEC written promotion policies, practices, procedures; and samplings of exit surveys available during this time frame.	
STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	The plan to conduct this barrier analysis is being developed. As a result, barriers have not yet been identified.	
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	The plan to conduct this barrier analysis is being developed. As a result, the agency has not determined if any policies, procedures or practices need to be revised.	
RESPONSIBLE OFFICIAL:	Alta G. Rodriguez, Director, Office of EEO Pamela Gibbs, Director, Office of Minority and Women Inclusion	
DATE OBJECTIVE INITIATED:	August 14, 2014	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	December 30, 2015	
EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)	
Analyze, among other things, Hispanic employees: 1) low entry rate (new hires); 2) high exit rate (separations); and 3) representation in mission critical occupations.	July 30, 2015	
Examine: whether 1) barriers exist in the recruitment and/or selection processes of mission-critical occupations; 2) the percentage of qualified applicants as compared to their availability in either the feeder pool (promotions) or the occupational CLF (new hires); and 3) the selection rate as compared to the qualified applicant pool.	August 30, 2015	

EEOC FORM 715-01 PART I	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U. S. Securities and Exchange Commission	FY 2014	
<p>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</p> <p>Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?</p>	<p>Lower than expected participation rate of Persons with Targeted Disabilities (PWTD) in the total workforce and in promotions to higher level positions. The participation rate of PWTD in the SEC's workforce was less than 1% in FY 2014.</p>	
<p>BARRIER ANALYSIS:</p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>Significant steps taken and quantitative and qualitative data analyzed, included but were not limited, to a review of the SEC's MD-715 Reports for FY 2011 – FY 2014. OEEO is reviewing SEC written promotion policies, practices, and procedures affecting PWTD.</p>	
<p>STATEMENT OF IDENTIFIED BARRIER:</p> <p>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>Ongoing barrier analysis has not yet identified any possible barriers.</p>	
<p>OBJECTIVE:</p> <p>State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>The ongoing analysis has not yet identified any possible barriers.</p>	
<p>RESPONSIBLE OFFICIAL:</p>	<p>Alta G. Rodriguez, Director, Office of EEO</p> <p>Lacey Dingman, Chief Human Capital Officer, Office of Human Resources</p>	
<p>DATE OBJECTIVE INITIATED:</p>	<p>August 14, 2014</p>	
<p>TARGET DATE FOR COMPLETION OF OBJECTIVE:</p>	<p>January 31, 2016</p>	

EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)	
Explore recruiting strategies through state vocational rehabilitation centers, the Departments of Defense and Labor's Workforce Recruitment Program, and the Department of the Army's Wounded Warriors Program.	March 31, 2015	
Continue quantitative analysis of MD-715 reports and SEC workforce demographics relating to PWTD.	April 30, 2015	
Resurvey SEC workforce to determine if there was a change in the disability status of employees.	June 30, 2015	
<p>Building on the EEOC's recommendations, the SEC will:</p> <ul style="list-style-type: none"> • Train managers and supervisors to insure they are aware of how the Schedule A hiring authority is used by the SEC to hire persons with severe disabilities and their role in the recruitment and hiring process; • Evaluate the career advancement opportunities for PWTD to and through the mission-critical occupations; • Discuss the lower than expected participation rate of PWTD with the SEC's Disability Issues Advisory Committee (DIAC) and request input on additional efforts to be made; • Survey disability organizations at universities near the SEC Home Office and Regional Offices to obtain information that will improve recruitment of applicants with disabilities; and • Improve the efficiency and effectiveness of the disability accommodation program by fully utilizing the recently implemented Disability Accommodation Request Tracking System (DARTS) data system for tracking requests and maintaining information about accommodations provided. 	September 30, 2015	
Oversee implementation of recommendations, if appropriate, to eliminate any possible identified barriers, including holding managers and supervisors accountable for meeting the SEC's hiring goals highlighted in the Disability Employment Plan.	January 31, 2016	
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
Reviewed data from MD-715 reports and SEC workforce demographics relating to PWTD.		

EEOC FORM 715-01 PART I	<i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U. S. Securities and Exchange Commission	FY 2014	
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?	Female applicants for employment with the SEC, and in particular, for major occupations (economist, accountant, and securities compliance examiner) were hired at a lower rate than their representation in the Civilian Labor Force.	
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.	Reviewed applicant flow data for each of the major occupations (Table A7), and new hire data (Table A8).	
STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	This is the first year the SEC has been able to obtain and analyze applicant flow data. As such, no barrier was identified, pending further data analysis to identify additional triggers.	
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	The plan to conduct this barrier analysis is being developed. As a result, the agency has not determined if any policies, procedures or practices need to be revised.	
RESPONSIBLE OFFICIAL:	Lacey Dingman, Chief Human Capital Officer, Office of Human Resources Pamela Gibbs, Director, Office of Minority and Women Inclusion Alta G. Rodriguez, Director, Office of Equal Employment Opportunity	
DATE OBJECTIVE INITIATED:	December 8, 2014	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	January 31, 2017	
EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)	
Obtain and analyze applicant flow data on a quarterly basis.	March 31, 2015	
Review policies, practices and procedures that may be creating a barrier for the employment of women, and in particular, for the employment of women in major occupations.	September 30, 2016	
To the extent the SEC identifies barriers for female applicants, develop and implement an action plan to eliminate the identified barriers.	January 31, 2017	
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
USA Staffing has provided applicant data to the SEC for FY 2014 and disability data for July through September 2014. The SEC has begun to analyze the data and incorporate the analysis of the data in our recruitment and outreach efforts. The SEC will continue to analyze applicant flow data on a quarterly basis.		

EEOC FORM 715-01 PART I	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U. S. Securities and Exchange Commission	FY 2014	
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?	Female attorneys, accountants, examiners, and economists received fewer competitive promotions than their male counterparts in FY 2014. Notably, only 36% of applications were from women. Of 83 competitive promotions in the major occupations, females received 27, while males received 56. Of all competitive promotions, 1 individual with a disability received 1 of the 83 promotions.	
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.	Reviewed internal promotions data, Tables A9 and B9.	
STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	This is the first year that the SEC has been able to obtain and analyze applicant flow data for promotions. As such, no barrier was identified, pending the results of a barrier analysis on promotions for FY 2011 - FY 2013 and further data analysis as necessary.	
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	The plan to conduct additional barrier analysis on promotions has not been developed. As a result, the agency has not determined if any policies, procedures or practices need to be revised.	
RESPONSIBLE OFFICIAL:	Lacey Dingman, Chief Human Capital Officer, Office of Human Resources Pamela Gibbs, Director, Office of Minority and Women Inclusion Alta G. Rodriguez, Director, Office of Equal Employment Opportunity	
DATE OBJECTIVE INITIATED:	December 8, 2014	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	April 30, 2016	
EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)	
Vendor finalizes the barrier analysis on promotions.	February 28, 2015	
SEC develops plan to implement recommendations resulting from the barrier analysis on promotions.	April 30, 2015	
Continue to monitor promotions activity for additional triggers and to determine the need to implement additional strategies.	October 31, 2015	
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
The SEC contracted with a vendor to conduct a barrier analysis of promotions at the SEC. The vendor has completed the quantitative and qualitative data analysis.		

EEOC FORM 715-01 PART I	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U. S. Securities and Exchange Commission	FY 2014	
<p>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</p> <p>Provide a brief narrative describing the condition at issue.</p> <p>How was the condition recognized as a potential barrier?</p>	<p>Females are given more time-off awards than males (approximately 52% to females and 48% to males), and males receive more cash awards (between 51% and 55%) than females. For cash awards of \$501+, males received an average of \$1,580 while females received an average award of \$1,422. Members of some minority groups received lower cash awards compared to other demographic groups.</p> <p>Cash awards for individuals with disabilities are, on average, \$1,120.</p>	
<p>BARRIER ANALYSIS:</p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>Reviewed Employee Recognition and Awards data, Tables A13 and B13.</p> <p>Reviewed data from Federal Personnel Payroll System.</p>	
<p>STATEMENT OF IDENTIFIED BARRIER:</p> <p>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>Although no barrier has been identified for this trigger, the SEC does note the differences in average amounts awarded to female employees, some minority groups, and to individuals with disabilities. The SEC will conduct further analysis to determine whether a SEC policy, practice, or procedure is creating any barriers in recognition and awards.</p>	
<p>OBJECTIVE:</p> <p>State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>The plan to conduct this barrier analysis is being developed. As a result, the agency has not determined if any policies, procedures or practices need to be revised.</p>	
<p>RESPONSIBLE OFFICIAL:</p>	<p>Lacey Dingman, Chief Human Capital Officer, Office of Human Resources</p> <p>Alta G. Rodriguez, Director, Office of Equal Employment Opportunity</p>	
<p>DATE OBJECTIVE INITIATED:</p>	<p>December 8, 2014</p>	
<p>TARGET DATE FOR COMPLETION OF OBJECTIVE:</p>	<p>September 30, 2016</p>	
EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
<p>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</p>	<p>TARGET DATE (Must be specific)</p>	
<p>Identify existing policies and procedures regarding awards and develop an action plan to identify any barriers.</p>	<p>May 31, 2015</p>	
<p>Start conducting in-depth analysis of employee recognition and awards.</p>	<p>August 31, 2015</p>	
<p>Implement recommendations resulting from the barrier analysis on employee recognition and awards.</p>	<p>March 31, 2016</p>	
<p>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</p> <p>In FY 2014, the SEC implemented guidance on the scale and parameters to be used by management when developing both monetary and time-off award recommendations. The guidance was created to provide a more consistent approach to motivating and recognizing employees' contributions and correcting potential barriers in the recognition program.</p>		

EEOC FORM 715-01 PART I	<i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U. S. Securities and Exchange Commission	FY 2014	
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?	Female accountants at the SEC, and in particular White female accountants, have participation rates lower than the occupational CLF (over 16 percentage points). The White female accountant CLF is 44.23%, whereas White females comprise 27.52% of the SEC's accountants.	
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.	Reviewed participation rate data for each of the major occupations (Table A6), and permanent employee data (Table A1).	
STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	No barrier has been identified, pending further data analysis.	
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	This barrier analysis is ongoing. As a result, the agency has not determined if any policies, procedures or practices need to be revised.	
RESPONSIBLE OFFICIAL:	Lacey Dingman, Chief Human Capital Officer, Office of Human Resources Pamela Gibbs, Director, Office of Minority and Women Inclusion Alta G. Rodriguez, Director, Office of Equal Employment Opportunity	
DATE OBJECTIVE INITIATED:	September 30, 2010	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	September 30, 2017	
EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)	
Obtain and analyze accountant applicant flow data on a quarterly basis.	March 31, 2015	
Review policies, practices and procedures that may be creating a barrier for the employment of females, and in particular, for the employment of females in accountant positions.	September 30, 2016	
To the extent the SEC identifies barriers for female accountants, develop and implement an action plan to eliminate the identified barriers.	September 30, 2017	
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
USA Staffing has provided applicant data to the SEC for FY 2014 and disability data for July through September 2014. The SEC has begun to analyze the data and incorporate the analysis of the data in our recruitment and outreach efforts. The SEC will continue to analyze applicant flow data on a quarterly basis.		

EEOC FORM 715-01 PART I	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
U. S. Securities and Exchange Commission		FY 2014
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?		Male attorneys at the SEC have participation rates lower than the occupational CLF (9.10 percentage points). Male attorneys comprise 66.70% of the occupational CLF and 57.60% of the SEC's major occupation category.
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.		Reviewed participation rate data for each of the major occupations (Table A6), and permanent employee data (Table A1).
STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.		No barrier has been identified, pending further data analysis.
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.		This barrier analysis is ongoing. As a result, the agency has not determined if any policies, procedures or practices need to be revised.
RESPONSIBLE OFFICIAL:		Lacey Dingman, Chief Human Capital Officer, Office of Human Resources Alta G. Rodriguez, Director Office of Equal Employment Opportunity
DATE OBJECTIVE INITIATED:		September 30, 2010
TARGET DATE FOR COMPLETION OF OBJECTIVE:		September 30, 2017
EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:		TARGET DATE (Must be specific)
Obtain and analyze attorney applicant flow data on a quarterly basis.		March 31, 2015
Review policies, practices and procedures that may be creating a barrier for the employment of male attorneys.		September 30, 2016
To the extent the SEC identifies barriers for male attorneys, develop and implement an action plan to eliminate the identified barriers.		September 30, 2017
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
USA Staffing has provided applicant data to the SEC for FY 2014 and disability data for July through September 2014. The SEC has begun to analyze the data and incorporate the analysis of the data in our recruitment and outreach efforts. The SEC will continue to analyze applicant flow data on a quarterly basis.		

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

EEOC FORM 715-01 PART J	<i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities									
PART I Department or Agency Information	1. Agency		1. Securities and Exchange Commission							
	1.a. 2nd Level Component		1.a.							
	1.b. 3rd Level or lower		1.b.							
PART II Employment Trend and Special Recruitment for Individuals With Targeted Disabilities	Enter Actual Number at the beginning of FY.		... end of FY.		Net Change				
		Number	%	Number	%	Number	Rate of Change			
	Total Workforce	4138	100.00%	4235	100.00%	97	2.34%			
	Reportable Disability	211	5.10%	206	4.86%	-5	-2.37%			
	Targeted Disability*	41	0.99%	40	0.94%	-1	-2.44%			
	* If the rate of change for persons with targeted disabilities is not equal to or greater than the rate of change for the total workforce, a barrier analysis should be conducted (see below).									
	1. Total Number of Applications Received From Persons With Targeted Disabilities during the reporting period.						Complete data is not available for FY 2014.			
2. Total Number of Selections of Individuals with Targeted Disabilities during the reporting period.						2				
PART III Participation Rates In Agency Employment Programs										
Other Employment/Personnel Programs	TOTAL	Reportable Disability		Targeted Disability		Not Identified		No Disability		
		#	%	#	%	#	%	#	%	
3. Competitive Promotions for major occupations	83	1	1.20	0	0	3	3.61	79	95.18	
4. Non-Competitive Promotions	309	11	3.56	5	1.62	17	5.50	281	90.94	
5. Employee Career Development Programs										
5.a. Grades 5 - 12	0	0	0	0	0	0	0	0	0	
5.b. Grades 13 - 14	14	0	0	0	0	0	0	14	100	
5.c. Grade 15-17/SO	19	0	0	0	0	0	0	19	100	
6. Employee Recognition and Awards										
6.a. Time-Off Awards (Total hrs. awarded for 9+ hours category)	1724	76	4.41	16	0.93	75	4.35	1573	91.24	

6.b. Cash Awards (total \$\$\$ awarded for \$501+ category)	5754	184	3.2	27	0.47	250	4.34	5320	92.46
6.c. Quality-Step Increase	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
EEOC FORM 715-01 Part J	Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities								
Part IV Identification and Elimination of Barriers	Agencies with 1,000 or more permanent employees MUST conduct a barrier analysis to address any barriers to increasing employment opportunities for employees and applicants with targeted disabilities using FORM 715-01 PART I. Agencies should review their recruitment, hiring, career development, promotion, and retention of individuals with targeted disabilities in order to determine whether there are any barriers.								
Part V Goals for Targeted Disabilities	<p>Agencies with 1,000 or more permanent employees are to use the space provided below to describe the strategies and activities that will be undertaken during the coming fiscal year to maintain a special recruitment program for individuals with targeted disabilities and to establish specific goals for the employment and advancement of such individuals. For these purposes, targeted disabilities may be considered as a group. Agency goals should be set and accomplished in such a manner as will affect measurable progress from the preceding fiscal year. Agencies are encouraged to set a goal for the hiring of individuals with targeted disabilities that is at least as high as the anticipated losses from this group during the next reporting period, with the objective of avoiding a decrease in the total participation rate of employees with disabilities.</p> <p>Goals, objectives and strategies described below should focus on internal as well as external sources of candidates and include discussions of activities undertaken to identify individuals with targeted disabilities who can be (1) hired; (2) placed in such a way as to improve possibilities for career development; and (3) advanced to a position at a higher level or with greater potential than the position currently occupied.</p>								

PART V—GOALS, OBJECTIVES AND STRATEGIES

A. SELF-IDENTIFICATION, QUANTITATIVE ANALYSIS, AND GOALS AND BENCHMARKS		
Action Items	Key Deliverables/Output	Narrative Description
1. Conduct annual review of current workforce.	MD-715 Report	Report is completed with input from OEEO, OMWI and OHR for submission to the Equal Employment Opportunity Commission.
B. OUTREACH AND RECRUITMENT		
Action Items	Key Deliverables/Output	Narrative Description
1. Maintain list of disability affinity organizations for outreach.	Updated contact information for disability affinity organizations.	The Selective Placement Program Coordinator (SPPC) updates the SEC's list of affinity organizations to maintain contact and foster relationships for recruitment events and candidate sourcing.
2. Use Veterans recruiting sources.	Connections with Veterans recruiting sources.	In FY 2014, the SEC attended two recruitment events targeted toward veterans and veterans with disabilities: Military Officers Association of America http://www.moaa.org Corporate Gray Job Fairs for Job Seekers with Military Experience http://www.corporategray.com/welcome
3. Attend/Sponsor recruitment events.	Market SEC to applicants with disabilities.	In FY 2014, the SEC attended the U.S. Business Leadership Network Annual Conference + Expo. The U.S. Business Leadership Network® (USBLN®) is a national non-profit that helps businesses drive performance by leveraging disability inclusion in the workplace, supply chain, and marketplace. http://www.usbln.org
4. Participate in Workforce Recruitment Program (WRP).	Identify eligible candidates from WRP database for vacant positions.	SPPC identified potential candidates from the WRP database for Schedule A hiring.
5. Recruit from OPM's Shared List of People with Disabilities.	Identify candidates from OPM database on MAX.	SPPC sourced potential candidates for open positions from the OPM's Shared List of People with Disabilities.

6. Talk to hiring managers about hiring flexibilities, including Schedule A before vacancy announcements are posted.	Managers encouraged to hire applicants with targeted disabilities.	Added special hiring authorities, including Schedule A, to checklist used for conversations with hiring managers. This checklist is used by Staffing specialists when vacant positions are identified to ensure hiring managers understand all options for backfilling positions, including how to use Schedule A and 30% veteran authorities to fill positions quickly.
7. Maintain relationships with Disability Employment focused organizations sponsored by the federal government.	Current information to aide in Selective Placement Program recruiting and disability hiring.	SPPC is registered to receive notifications and newsletters from the following groups and transmits information to OHR staff engaged in recruiting: EARN – Employer Assistance Resource Network: http://askearn.org . JAN – Job Accommodation Network http://askjan.org ODEP – Office of Disability Employment Policy, DOL: http://www.dol.gov/odep/

C. And D. HIRING, CAREER DEVELOPMENT AND ADVANCEMENT, AND RETENTION

Action Items	Key Deliverables/Output	Narrative Description
1. Review and revise SEC policy for disabled veteran hiring.	Updated SEC policy	The policy for disabled veteran hiring was revised in FY 2014.
2. Monitor use of special hiring authorities in relation to hiring goals.	Hiring metrics	Every month and at the end of the fiscal year, the SEC's OCOO publishes metrics for disability hiring.
3. Survey SEC Disability Issues Advisory Committee (DIAC) for inclusive professional development training needs of participants.	Efficient and effective use of training resources by addressing needs identified by stakeholders.	In a discussion with deaf and hard-of-hearing DIAC members, the members suggested training for managers to learn to be more inclusive and supportive of deaf and hard-of-hearing staff and colleagues. As a result, SECU established a partnership with Gallaudet University to provide training in American Sign Language and Deaf culture to interested SEC managers and employees. Attendees included a number of SEC managers who supervise deaf and hard-of-hearing employees. All employees, regardless of ability, can access professional development opportunities through SEC University.
4. Attend meetings of SEC affinity groups with interests related to hiring and promoting persons with disabilities.	Information is communicated and shared among SEC employees and affinity groups related to employment initiatives focusing on individuals with disabilities.	The SPPC maintains an ongoing relationship with the SEC's DIAC and the Veterans Committee.

E. REASONABLE ACCOMMODATION POLICIES AND PROCEDURES

Action Items	Key Deliverables/Output	Narrative Description
1. Provide mandatory training to all managers and supervisors on their responsibilities for providing reasonable accommodations to employees with disabilities.	Managers and supervisors meeting their responsibilities and appropriately referring employees to OHR Disability Program for information and accommodations.	In FY 2015, all SEC managers will be required to complete training focused on Rehabilitation Act basics, the SEC's Disability Employment Plan, and policies and practices with respect to hiring and accommodating persons with disabilities.

F. EXTERNAL AND INTERNAL COMMUNICATION OF AGENCY POLICIES AND PROCEDURES

Action Items	Key Deliverables/Output	Narrative Description
1. Develop improved communications strategy.	Accessible information for SEC employees related to employment at the SEC.	OHR has a new portal on the SEC's intranet, and all employees receive a daily communication, SEC Today, which highlights important information including events and opportunities for details, training, and SEC staff accomplishments. In FY 2014, OEEO's newsletter to all employees featured profiles of SEC employees with disabilities. In FY 2015, OHR will add the Veterans' Corner to its intranet portal to create a single place where Veterans can access information about resources including resources related to employment.

2. Make more information about the disability employment program, available on SEC's public website and USA Jobs postings.	Accessible information for members of the public and job applicants related to the SEC's Disability Employment Program.	Information about the SEC Disability Employment Program is posted on SEC.gov (http://www.sec.gov/disability/sec_access.htm). This also includes an online method for requesting accommodations for the job application process. Every SEC vacancy announcement posted to USAJOBS includes information about obtaining accommodations. The name of SEC's SPPC is on OPM's website at http://www.opm.gov/policy-data-oversight/disability-employment/selective-placement-program-coordinator-directory/ . In FY 2015, contact information for the SPPC will be posted on SEC.gov.
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G. TRAINING AND EDUCATION

Action Items	Key Deliverables/Output	Narrative Description
1. Establish a full-time SPPC position.	Services of subject matter expert to fulfill duties of SPPC related to recruiting and hiring employees with disabilities.	The SPPC position was collateral-duty in FY 2013 and FY 2014. A new full-time employee was appointed the SPPC as collateral-duty in FY 2015. Given the SEC's size and hiring rate, the SPPC functions do not justify a dedicated full-time SPPC without other compatible responsibilities for recruiting and hiring. In FY 2015, the SEC will consider whether the position should become a full-time responsibility.
2. Train all managers about special hiring authorities for persons with severe disabilities under Schedule A. Integrate disability employment information into in-depth training for new supervisors.	Knowledgeable managers supporting efforts to increase hiring rate of employees with targeted disabilities.	Managers were offered training that incorporated information about disability employment in FY 2014. In FY 2015, SECU will coordinate with the Disability Program Manager to deliver mandatory training on the managers' responsibilities under the Rehabilitation Act and SEC's Disability Employment Plan, with the idea that managers who understand the goals and benefits of hiring employees with targeted disabilities are more likely to use Schedule A hiring authorities and will understand how to handle disability accommodation requests in accordance with SEC policy.
3. Provide onsite instruction for ASL and cultural awareness for interested SEC employees and managers.	Improved social and workplace communications between Deaf and hearing employees.	SECU coordinated with Gallaudet University to provide onsite instruction for ASL and cultural awareness for interested SEC employees and managers in FY 2014. The program is being offered again in FY 2015, running from November 2014 through March 2015.
4. Train new employees about disability accommodations and related Work Life programs and benefits.	New employees aware of Work Life program resources and how to access them.	The SEC's New Employee Orientation includes a 15 minute presentation by the SEC Disability Program Manager and Disability Program Assistant covering Disability Accommodations, Medical Leave, and Medical Telework. The information is also included under Resources in the New Employee Handbook.

EQUAL EMPLOYMENT OPPORTUNITY POLICY

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

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

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

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

For more information on your EEO rights and responsibilities, please contact the Office of EEO at 202-551-6040; SP111, Suite 2900; or visit the EEO Office's webpage on The INSIDER at http://insider/divisions_offices/hqo/eeo/Index.html. If you believe you have been subjected to discrimination, harassment or retaliation in violation of our EEO laws or this policy, contact the EEO Office or an EEO Counselor within 45 calendar days of the employment action you deem to be discriminatory.

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



MARY JO WHITE

March 24, 2014
DATE

PREVENTING EEO-BASED HARASSMENT POLICY (PEHP)

As Chair of the SEC, I am committed to providing you with a work environment that is respectful, inclusive, and allows you to deliver maximum performance in support of the SEC's mission. Harassment, as described below, would obviously negatively impact our collegial work environment and undermine our mission and is absolutely prohibited.

The SEC prohibits harassment (offensive or unwelcome conduct) on any of the following equal employment opportunity (EEO) bases: race, color, sex (including, but not limited to, conduct that may be sexual in nature), age, religion, national origin, disability, genetic information, sexual orientation, or in retaliation for engaging in protected EEO activity. Harassing conduct against or by any employee (including, but not limited to, a manager/supervisor), 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 of which it is aware—whether verbal, written, or physical—that is offensive (*i.e.*, degrading, derogatory, or demeaning) or unwelcome on any EEO basis, before it rises to the level of illegal harassment. EEO-based harassment may be illegal where: (1) enduring the conduct is a condition of continued employment or is the basis of a decision affecting the terms, conditions or privileges of employment; or (2) the conduct is sufficiently severe or pervasive to create a hostile work environment. Lack of intent to offend or harass does not excuse the conduct.

Among other things, this policy prohibits the use of SEC equipment or networks to access or distribute offensive material, including, but not limited to, sexually explicit, pornographic, sexist, racist, or homophobic material. As a cautionary note, please be advised that some personal relationships (romantic or otherwise) involving SEC employees—particularly between managers/supervisors and their subordinates—may raise EEO-based harassment concerns. For example: (1) such relationships may create perceptions of favoritism by other employees that lead to allegations of an EEO-based hostile work environment; (2) romantic overtures may be considered offensive or unwelcome; and (3) even consensual relationships, once they end, may give rise to claims the relationship was not consensual or that continued overtures have become offensive and unwelcome.

This policy, the "PEHP", applies in places where SEC employees, interns, and on-site contractors work, and at SEC-sanctioned activities and events, including those outside of the workplace.

Responsibilities of Employees

Individuals who believe they are victims of, or have witnessed conduct that is offensive or unwelcome on an EEO basis, are encouraged to immediately report the conduct, preferably within three business days from the date of the alleged incident, to the Office of EEO and/or any SEC manager/supervisor. The sooner the SEC is made aware of the incident, the sooner the issue can be addressed.

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

Responsibilities of Managers/Supervisors

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

Responsibilities of the Office of EEO

The Office of EEO, in coordination with management and/or the Office of Human Resources, as appropriate, will conduct a prompt, thorough, and impartial inquiry into conduct that may violate the PEHP. SEC employees (including supervisors and managers) must cooperate with any such inquiry. As part of its inquiry, the Office of EEO will make sure that: (1) the obligations under the PEHP are explained to the involved parties; (2) the behavior considered objectionable is explained to the alleged harasser; and (3) the alleged harasser immediately ceases the objectionable conduct. Immediate and appropriate corrective and disciplinary action, up to and including removal, will be recommended when it is determined that harassment has occurred.

Confidentiality

Information provided to SEC officials in connection with a harassment inquiry conducted pursuant to the PEHP 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.

Reporting Harassment

All reports of harassment, including reports from individuals who prefer to remain anonymous, should be made to the Office of EEO at (202) 551-6040, SP III, Suite 2900 or faxed to (202) 772-9316.

Retaliation

The SEC will not tolerate retaliation against anyone who, in good-faith, reports harassing conduct or cooperates with, or participates in, any investigation of alleged harassing conduct.

Additional Information

For more information on the SEC's PEHP, EEO Policy, or other EEO-related matters, please contact the Office of EEO at (202) 551-6040, SP III, Suite 2900; or visit the Office of EEO's webpage on The INSIDER at http://insider/divisions_offices/hqo/eoo/index.html. TTY users should call the Federal Relay Service at (800) 877-8339 to be connected with the Office of EEO.

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

March 24, 2014

DATE


MARY JO WHITE

FISCAL YEAR 2014 462 REPORT

The SEC previously submitted the FY 2014 462 Report to the EEOC.



SEC'S ORGANIZATIONAL STRUCTURE

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

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

Five Divisions

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

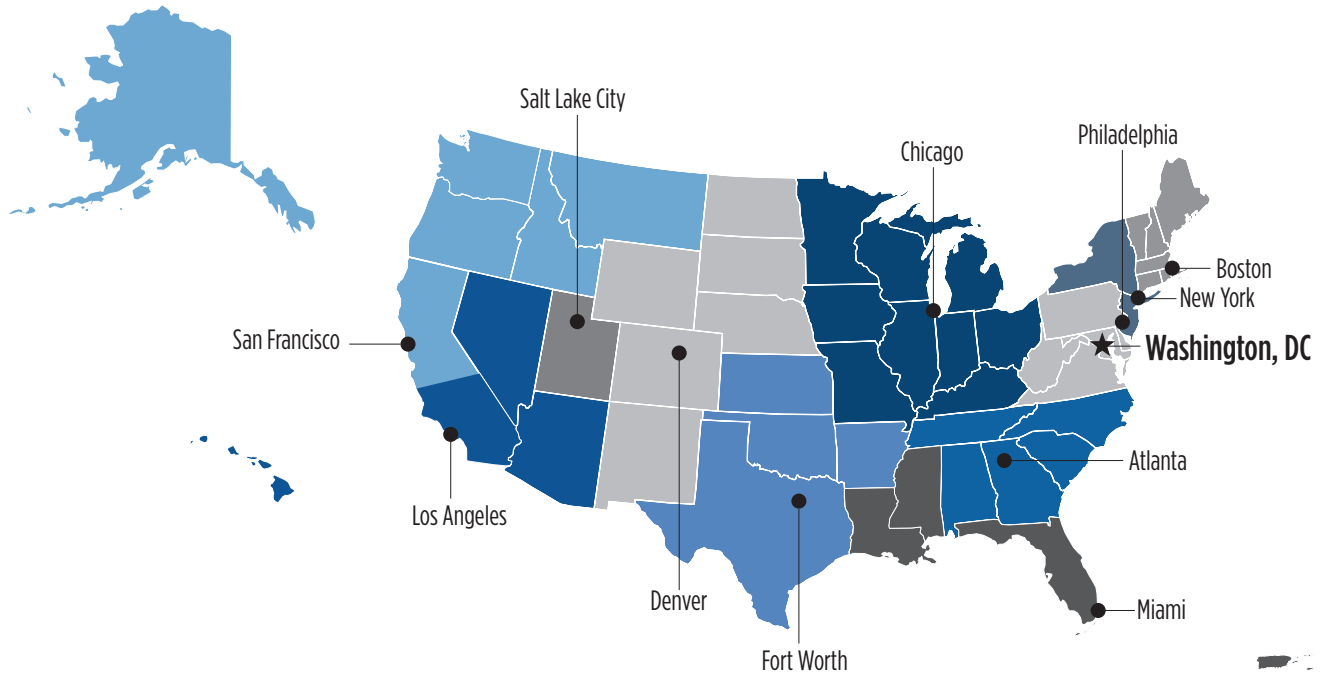
Twenty-three Offices

- Acquisitions
- Administrative Law Judges
- Chair
- Chief Accountant
- Chief Operating Officer
- Compliance Inspections and Examinations
- Credit Ratings
- Equal Employment Opportunity
- Ethics Counsel
- Financial Management
- General Counsel
- Human Resources
- Information Technology
- Inspector General
- International Affairs
- Investor Advocate

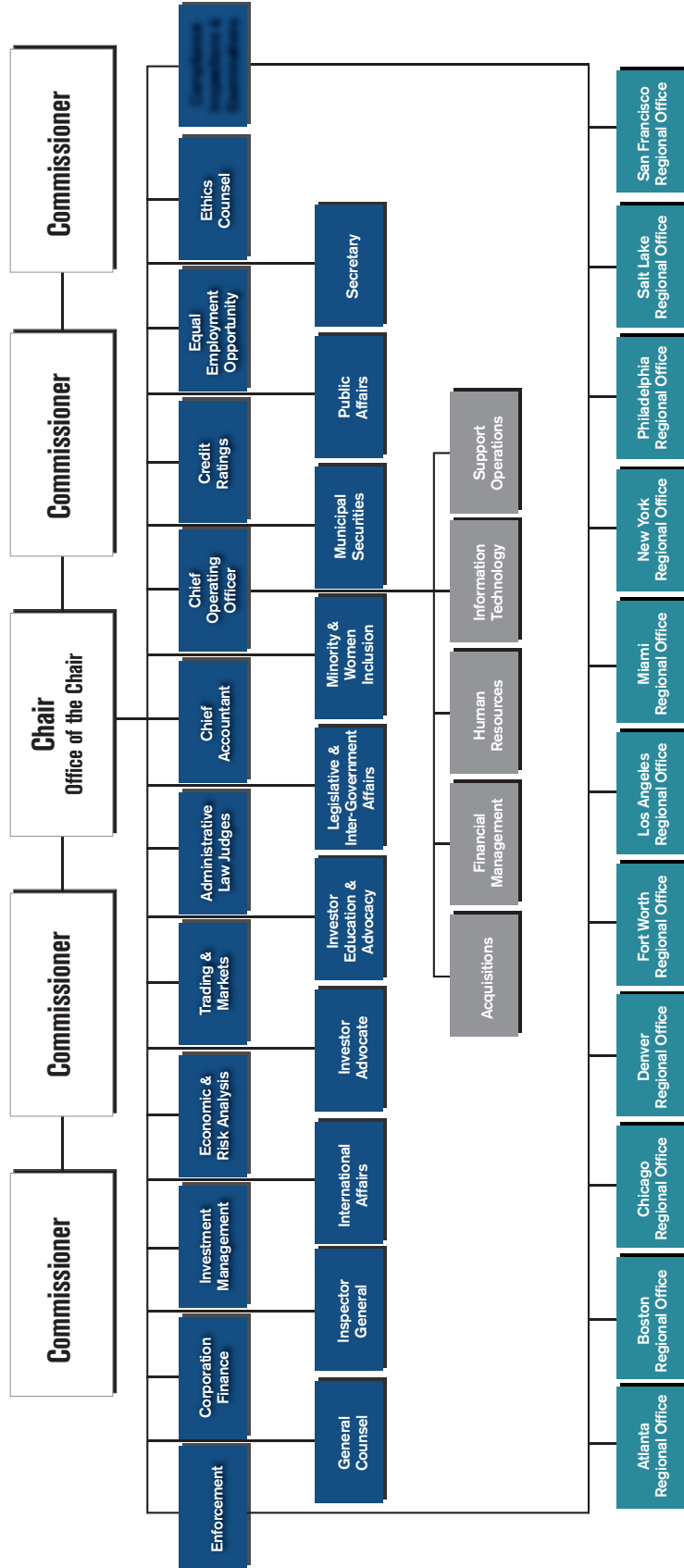
- Investor Education and Advocacy
- Legislative and Intergovernmental Affairs
- Minority and Women Inclusion
- Municipal Securities
- Public Affairs
- Secretary
- Support Operations

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.

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



SEC ORGANIZATION CHART





WORKFORCE DATA TABLES

Table A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX FOR PAY PERIOD 201321 TO 201421

Employment Tenure	RACE/ETHNICITY																
	TOTAL WORKFORCE						Non-Hispanic or Latino								Two or more races		
	All		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			
TOTAL																	
Prior FY	#	4138	2215	1923	89	1692	1117	215	480	206	223	1	4	9	5	1	5
	%	100%	53.53%	46.47%	2.15%	40.89%	26.99%	5.20%	11.60%	4.98%	5.39%	0.02%	0.10%	0.22%	0.12%	0.02%	0.12%
Current FY	#	4235	2284	1951	96	1733	1119	219	486	226	232	1	4	10	5	2	9
	%	100%	53.93%	46.07%	2.27%	40.92%	26.42%	5.17%	11.48%	5.34%	5.48%	0.02%	0.09%	0.24%	0.12%	0.05%	0.21%
CLF (2010)	%		51.86%	48.14%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.26%	0.28%	
Difference	#	97	69	28	7	41	2	4	6	20	9	0	0	1	0	1	4
Ratio Change	%	0.00%	0.40%	-0.40%	0.00%	0.03%	-0.57%	-0.02%	-0.12%	0.36%	0.09%	0.00%	0.00%	0.02%	0.00%	0.02%	0.09%
Net Change	%	2.34%	3.12%	1.46%	2.20%	2.42%	0.18%	1.86%	1.25%	9.71%	4.04%	0.00%	0.00%	11.11%	0.00%	100%	80.00%
PERMANENT																	
Prior FY	#	3982	2117	1865	85	1620	1090	205	465	193	213	1	2	8	5	1	5
	%	100%	53.16%	46.84%	2.13%	40.68%	27.37%	5.15%	11.68%	4.85%	5.35%	0.03%	0.05%	0.20%	0.13%	0.03%	0.13%
Current FY	#	4097	2198	1899	92	1675	1094	209	475	209	222	1	2	10	5	2	8
	%	100%	53.65%	46.35%	2.27%	40.88%	26.70%	5.10%	11.59%	5.10%	5.42%	0.02%	0.05%	0.24%	0.12%	0.05%	0.20%
Difference	#	115	81	34	8	55	4	4	10	16	9	0	0	2	0	1	3
Ratio Change	%	0.00%	0.48%	-0.48%	0.14%	0.20%	-0.67%	-0.05%	-0.08%	0.25%	0.07%	0.00%	0.00%	0.04%	0.00%	0.02%	0.07%
Net Change	%	2.89%	3.83%	1.82%	3.37%	3.40%	0.37%	1.95%	2.15%	8.29%	4.23%	0.00%	0.00%	25.00%	0.00%	100%	60.00%
TEMPORARY																	
Prior FY	#	156	98	58	4	72	27	10	15	13	10	0	2	1	0	0	0
	%	100%	62.82%	37.18%	2.56%	46.15%	17.31%	6.41%	9.62%	8.33%	6.41%	0.00%	1.28%	0.64%	0.00%	0.00%	0.00%
Current FY	#	138	86	52	3	58	25	10	11	17	10	0	2	0	0	0	1
	%	100%	62.32%	37.68%	2.17%	42.03%	18.12%	7.25%	7.97%	12.32%	7.25%	0.00%	1.45%	0.00%	0.00%	0.00%	0.72%
Difference	#	-18	-12	-6	-1	-14	-2	0	-4	4	0	0	0	-1	0	0	1
Ratio Change	%	0.00%	-0.50%	0.50%	-0.39%	-4.12%	0.81%	0.84%	-1.64%	3.99%	0.84%	0.00%	0.17%	-0.64%	0.00%	0.00%	0.72%
Net Change	%	-11.54%	-12.24%	-10.34%	-50.00%	-19.44%	-7.41%	0.00%	-26.67%	30.77%	0.00%	0.00%	0.00%	-100%	0.00%	0.00%	0.00%

Table A3-1: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE PAY PERIOD 2014Z1

Occupational Categories	RACE/ETHNICITY																			
	TOTAL EMPLOYEES						Non-Hispanic or Latino												Two or more races	
	All		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races					
	#	%	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
Officials and Managers																				
Executive/Senior Level	#	137	89	48	2	1	81	40	3	5	2	0	0	0	0	0	0	0		
	%	100%	64.96%	35.04%	1.46%	0.73%	59.12%	29.20%	2.19%	3.65%	2.19%	1.46%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
Mid-level	#	364	209	155	9	6	183	115	10	16	7	16	0	1	0	1	0	0		
	%	100%	57.42%	42.58%	2.47%	1.65%	50.27%	31.59%	2.75%	4.40%	1.92%	4.40%	0.00%	0.27%	0.00%	0.27%	0.00%	0.00%		
First-Level	#	334	226	108	10	4	175	67	14	26	24	10	1	0	2	0	0	1		
	%	100%	67.66%	32.34%	2.99%	1.20%	52.40%	20.06%	4.19%	7.78%	7.19%	2.99%	0.30%	0.00%	0.60%	0.00%	0.00%	0.30%		
Other	#	5	3	2	0	0	2	2	0	0	1	0	0	0	0	0	0	0		
	%	100%	60.00%	40.00%	0.00%	0.00%	40.00%	40.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
Officials and Managers—TOTAL	#	840	527	313	21	11	441	224	27	47	35	28	1	1	2	1	0	1		
	%	100%	62.74%	37.26%	2.50%	1.31%	52.50%	26.67%	3.21%	5.60%	4.17%	3.33%	0.12%	0.12%	0.24%	0.12%	0.00%	0.12%		
Professionals—Program Work	#	2261	1287	974	48	47	1036	669	79	103	119	149	0	1	5	2	0	3		
	%	100%	56.92%	43.08%	2.12%	2.08%	45.82%	29.59%	3.49%	4.56%	5.26%	6.59%	0.00%	0.04%	0.22%	0.09%	0.00%	0.13%		
Professionals—Business/ Financial Administration	#	845	354	491	21	29	189	183	85	236	54	37	0	0	3	2	2	4		
	%	100%	41.89%	58.11%	2.49%	3.43%	22.37%	21.66%	10.06%	27.93%	6.39%	4.38%	0.00%	0.00%	0.36%	0.24%	0.24%	0.47%		
Administrative Support Workers	#	151	30	121	2	6	9	18	18	89	1	8	0	0	0	0	0	0		
	%	100%	19.87%	80.13%	1.32%	3.97%	5.96%	11.92%	11.92%	58.94%	0.66%	5.30%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		

Table A3-2: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE PAY PERIOD 201421

Occupational Categories	RACE/ETHNICITY																			
	TOTAL EMPLOYEES										Non-Hispanic or Latino									
	All		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races					
	#	%	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
Officials and Managers																				
Executive/Senior Level	#	137	89	48	2	1	81	40	3	5	3	2	0	0	0	0	0	0	0	
	%	3.34%	4.05%	2.53%	2.17%	1.08%	4.84%	3.66%	1.44%	1.05%	1.44%	0.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Mid-level	#	364	209	155	9	6	183	115	10	16	7	16	0	1	0	1	0	0	0	
	%	8.88%	9.51%	8.16%	9.78%	6.45%	10.93%	10.51%	4.78%	3.37%	3.35%	7.21%	0.00%	50.00%	0.00%	20.00%	0.00%	0.00%	0.00%	
First-Level	#	334	226	108	10	4	175	67	14	26	24	10	1	0	2	0	0	0	1	
	%	8.15%	10.28%	5.69%	10.87%	4.30%	10.45%	6.12%	6.70%	5.47%	11.48%	4.50%	100.00%	0.00%	20.00%	0.00%	0.00%	0.00%	12.50%	
Other	#	5	3	2	0	0	2	2	0	0	1	0	0	0	0	0	0	0	0	
	%	0.12%	0.14%	0.11%	0.00%	0.00%	0.12%	0.18%	0.00%	0.00%	0.48%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Officials and Managers	#	840	527	313	21	11	441	224	27	47	35	28	1	1	2	1	0	0	1	
TOTAL	%	20.50%	23.98%	16.48%	22.83%	11.83%	26.33%	20.48%	12.92%	9.89%	16.75%	12.61%	100.00%	50.00%	20.00%	20.00%	0.00%	0.00%	12.50%	
Professionals - Program Work	#	2261	1287	974	48	47	1036	669	79	103	119	149	0	1	5	2	0	0	3	
	%	55.19%	58.55%	51.29%	52.17%	50.54%	61.85%	61.15%	37.80%	21.68%	56.94%	67.12%	0.00%	50.00%	50.00%	40.00%	0.00%	0.00%	37.50%	
Professionals - Business / Financial Administration	#	845	354	491	21	29	189	183	85	236	54	37	0	0	3	2	2	2	4	
	%	20.62%	16.11%	25.86%	22.83%	31.18%	11.28%	16.73%	40.67%	49.68%	25.84%	16.67%	0.00%	0.00%	30.00%	40.00%	100.00%	100.00%	50.00%	
Administrative Support Workers	#	151	30	121	2	6	9	18	18	89	1	8	0	0	0	0	0	0	0	
	%	3.69%	1.36%	6.37%	2.17%	6.45%	0.54%	1.65%	8.61%	18.74%	0.48%	3.60%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Total Workforce	#	4097	2198	1899	92	93	1675	1094	209	475	209	222	1	2	10	5	2	8	8	
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	

NOTE: Percentages computed down columns and NOT across rows.

Table A4-1: PARTICIPATION RATES FOR SK GRADES BY RACE/ETHNICITY AND SEX—
PERMANENT EMPLOYEES PAY PERIOD 201421

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																															
	TOTAL EMPLOYEES				Hispanic or Latino				White				Black or African American				Asian				Non-Hispanic or Latino Native Hawaiian or Other Pacific Islander				American Indian or Alaska Native				Two or more races			
	#	%	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female				
SK-03	#	0	0.00%	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-04	#	5	100%	2	3	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-05	#	5	100%	1	4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-06	#	15	100%	4	11	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-07	#	91	100%	18	73	2	5	11	10	53	4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-08	#	28	100%	3	25	0	0	1	4	2	19	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-09	#	60	100%	15	45	1	4	8	9	31	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1				
SK-10	#	2	100%	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-11	#	134	100%	35	99	1	8	21	33	10	53	3	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-12	#	222	100%	72	150	1	7	47	58	17	67	5	16	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-13	#	407	100%	234	173	11	7	154	78	36	67	31	19	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-14	#	1861	100%	1026	835	50	48	780	543	84	110	107	128	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-15	#	334	100%	226	108	10	4	175	67	14	26	24	10	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-16	#	427	100%	261	166	5	2	219	132	10	14	26	17	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
SK-17	#	364	100%	209	155	9	6	183	115	10	16	7	16	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
All other (Non-SK)	#	5	100%	3	2	0	0	2	2	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				
Senior Officer	#	137	100%	89	48	2	1	81	40	3	5	3	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				

Table A4-1: PARTICIPATION RATES FOR SK GRADES BY RACE/ETHNICITY AND SEX—
TEMPORARY EMPLOYEES PAY PERIOD 201421

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																					
	TOTAL EMPLOYEES				Hispanic or Latino				White				Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
	All	male	female	%	male	female	%	male	female	%	male	female	%	male	female	%	male	female	%	male	female	%
SK-03	6	3	3	50.00%	0	1	2	33.33%	16.67%	2	1	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	11	5	6	54.55%	1	4	2	18.18%	9.09%	1	1	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-05	4	2	2	50.00%	0	1	0	25.00%	50.00%	1	2	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-06	0	0	0	0.00%	0	0	0	0.00%	0.00%	0	0	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-07	2	1	1	50.00%	0	0	0	0.00%	0.00%	1	1	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-08	1	0	1	100.00%	0	1	0	0.00%	0.00%	0	0	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-09	5	3	2	60.00%	0	3	0	60.00%	40.00%	0	0	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	2	0	2	100.00%	0	0	0	0.00%	0.00%	0	0	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	11	6	5	54.55%	0	3	4	36.36%	18.18%	2	1	1	9.09%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	2	1	1	50.00%	0	1	1	50.00%	0.00%	0	0	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	7	3	4	42.86%	0	1	1	14.29%	14.29%	0	0	0	0.00%	0.00%	0.00%	28.57%	42.86%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	49	36	13	73.47%	1	24	5	48.98%	10.20%	1	11	6	2.04%	2.04%	12.24%	22.45%	12.24%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	0	0	0	0.00%	0	0	0	0.00%	0.00%	0	0	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	28	19	9	67.86%	1	13	7	46.43%	25.00%	2	3	0	7.14%	3.57%	10.71%	10.71%	0.00%	0.00%	0.00%	3.57%	0.00%	0.00%
SK-17	0	0	0	0.00%	0	0	0	0.00%	0.00%	0	0	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All other (Non-SK)	3	2	1	66.67%	0	2	1	66.67%	33.33%	0	0	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer, EX	7	5	2	71.43%	0	5	1	71.43%	14.29%	0	0	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	14.29%	0.00%	0.00%

Table A4-2: PARTICIPATION RATES FOR SK GRADES BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE PAY PERIOD 201421

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																															
	TOTAL EMPLOYEES				Hispanic or Latino				White				Black or African American				Asian				Native Hawaiian or Other Pacific Islander				American Indian or Alaska Native				Two or more races			
	All	male	female	%	male	female	%	male	female	%	male	female	%	male	female	%	male	female	%	male	female	%	male	female	%	male	female	%	male	female	%	
SK-03	#	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
SK-04	#	5	2	0.12%	0	1	0.16%	0	1	0.06%	0	0	0.00%	1	2	0.42%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
SK-05	#	5	1	0.12%	0	0	0.00%	0	0	0.00%	1	1	0.20%	2	2	0.40%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
SK-06	#	15	4	0.37%	0	11	0.73%	0	2	0.13%	1	2	0.13%	2	9	0.60%	1	9	0.60%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
SK-07	#	91	18	0.37%	2	5	0.12%	0	5	0.12%	11	10	0.11%	53	4	0.04%	1	4	0.04%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
SK-08	#	28	3	0.22%	0	25	0.89%	0	0	0.00%	4	2	0.07%	19	2	0.07%	0	2	0.07%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
SK-09	#	60	15	0.68%	1	4	0.07%	0	4	0.07%	8	9	0.15%	31	1	0.02%	1	1	0.02%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
SK-10	#	2	0	1.46%	0	2	2.37%	0	0	0.00%	1	0	0.50%	1	0	0.50%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
SK-11	#	134	35	0.05%	1	8	0.06%	0	8	0.06%	33	10	0.07%	53	3	0.04%	3	5	0.04%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
SK-12	#	222	72	3.27%	1	150	6.75%	1	7	0.03%	58	17	0.08%	67	5	0.02%	5	16	0.07%	0	0	0.00%	0	0	0.00%	2	1	0.00%	0	0	0.00%	
SK-13	#	407	234	5.42%	7	173	7.90%	11	7	0.03%	78	36	0.14%	67	31	0.13%	19	19	0.08%	0	0	0.00%	0	0	0.00%	1	1	0.00%	0	0	0.00%	
SK-14	#	1861	1026	9.93%	50	48	0.26%	50	48	0.26%	543	84	0.45%	110	107	0.06%	128	128	0.07%	0	0	0.00%	0	0	0.00%	4	2	0.02%	4	2	0.02%	
SK-15	#	334	226	45.42%	10	4	2.27%	10	4	2.27%	67	14	0.20%	26	24	0.07%	10	10	0.03%	1	1	0.00%	0	0	0.00%	2	0	0.00%	0	0	0.00%	
SK-16	#	427	261	8.15%	5	166	10.87%	5	2	0.12%	132	10	0.07%	14	26	0.19%	17	17	0.13%	0	0	0.00%	0	0	0.00%	1	1	0.00%	0	0	0.00%	
SK-17	#	364	209	10.42%	9	6	5.43%	9	6	2.15%	115	10	0.07%	16	7	0.05%	16	16	0.11%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
All other (Non-Sk)	#	5	3	8.88%	0	2	6.45%	0	2	10.93%	2	0	0.00%	0	1	3.35%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
Senior Officer	#	137	89	0.12%	2	1	0.00%	2	1	0.12%	40	3	0.04%	5	3	0.04%	2	2	0.01%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	
TOTAL	#	4097	2198	3.34%	92	93	1.08%	93	1675	4.84%	1094	209	0.27%	475	209	0.27%	222	222	0.27%	1	2	0.00%	10	5	0.00%	2	10	0.00%	5	2	0.00%	
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	

NOTE: Percentages computed down columns and NOT across rows.

Table A4-2: PARTICIPATION RATES FOR SK GRADES BY RACE/ETHNICITY AND SEX—
TEMPORARY WORKFORCE PAY PERIOD 2014Z1

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																	
	TOTAL EMPLOYEES				Hispanic or Latino		White		Black or African American		Asian		Non-Hispanic or Latino Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
	#	%	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
SK-03	#	6	3	3	0	0	1	2	2	1	0	0	0	0	0	0	0	0
	%	4.35%	5.77%	3.49%	0.00%	0.00%	1.72%	8.00%	20.00%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	#	11	5	6	0	1	4	2	1	1	0	1	0	0	0	0	0	1
	%	7.97%	11.54%	5.81%	0.00%	33.33%	6.90%	8.00%	10.00%	9.09%	0.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%
SK-05	#	4	2	2	0	0	1	0	1	2	0	0	0	0	0	0	0	0
	%	2.90%	3.85%	2.33%	0.00%	0.00%	1.72%	0.00%	10.00%	18.18%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-06	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-07	#	2	1	1	0	0	0	0	1	1	0	0	0	0	0	0	0	0
	%	1.45%	1.16%	1.16%	0.00%	0.00%	0.00%	0.00%	10.00%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-08	#	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.72%	0.00%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-09	#	5	3	2	0	0	3	0	0	2	0	0	0	0	0	0	0	0
	%	3.62%	3.49%	3.85%	0.00%	0.00%	5.17%	0.00%	0.00%	18.18%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	2	0	2	0	0	0	0	1	0	0	0	0	0	0	0	0	0
	%	1.45%	0.00%	0.00%	0.00%	0.00%	0.00%	4.00%	0.00%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	11	6	5	0	0	3	4	2	1	0	1	0	0	0	0	0	0
	%	7.97%	6.98%	6.98%	0.00%	0.00%	5.17%	16.00%	20.00%	9.09%	5.88%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	2	1	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0
	%	1.45%	1.16%	1.16%	0.00%	0.00%	1.72%	4.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	7	3	4	0	0	1	1	0	0	2	3	0	0	0	0	0	0
	%	5.07%	3.49%	7.69%	0.00%	0.00%	1.72%	4.00%	0.00%	0.00%	11.76%	30.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	49	36	13	0	1	24	5	1	11	6	0	0	0	0	0	0	0
	%	35.51%	41.86%	15.12%	0.00%	1.16%	27.91%	5.81%	1.16%	1.16%	12.79%	6.98%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	28	19	9	1	0	13	7	2	1	3	0	0	0	0	0	0	0
	%	20.29%	22.09%	17.31%	100.00%	0.00%	22.41%	28.00%	20.00%	9.09%	17.65%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%
SK-17	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All other (Non-SK)	#	3	2	1	0	0	2	1	0	0	0	0	0	0	0	0	0	0
	%	2.17%	2.33%	1.92%	0.00%	0.00%	3.45%	4.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer, EX	#	7	5	2	0	0	5	1	0	0	0	0	0	0	0	0	0	0
	%	5.07%	5.81%	3.85%	0.00%	0.00%	8.62%	4.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL	#	138	86	52	1	3	58	25	10	11	17	10	0	2	0	0	0	1
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

NOTE: Percentages computed down columns and NOT across rows.

Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS—DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE PAY PERIOD 201421

Job Title/Series		RACE/ETHNICITY																											
		TOTAL EMPLOYEES				Hispanic or Latino				White				Black or African American				Asian				Native Hawaiian or Other Pacific Islander				American Indian or Alaska Native		Two or more races	
		All	male	female	%	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
0110 Economist	#	61	45	16	1	0	32	11	2	0	9	5	0	0	1	0	0	0	1	0	0	0	0	0	0	0			
	%	100%	73.77%	26.23%	1.64%	0.00%	52.46%	18.03%	3.28%	0.00%	14.75%	8.20%	0.00%	0.00%	1.64%	0.00%	0.00%	0.00%	1.64%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
Occupational CLF	#	941	535	406	29	26	421	259	33	50	69	69	0	0	2	1	0	0	2	1	0	0	1	0	1	1			
	%	100%	56.85%	43.15%	3.08%	2.76%	44.74%	27.52%	3.51%	5.31%	7.33%	0.00%	0.00%	0.00%	0.21%	0.11%	0.00%	0.00%	0.21%	0.11%	0.00%	0.00%	0.00%	0.11%	0.11%	0.11%			
Occupational CLF	#	1762	1015	747	30	27	857	556	54	67	93	93	0	1	3	2	0	1	3	2	0	0	0	0	1	1			
	%	100%	57.60%	42.40%	1.70%	1.53%	48.64%	31.56%	3.06%	3.80%	5.28%	0.00%	0.00%	0.00%	0.17%	0.11%	0.00%	0.00%	0.17%	0.11%	0.00%	0.00%	0.00%	0.00%	0.06%	0.06%			
Occupational CLF	#	176	127	49	6	2	103	31	3	8	15	7	0	0	0	0	0	0	0	0	0	0	0	0	1	1			
	%	100%	72.16%	27.84%	3.41%	1.14%	58.52%	17.61%	1.70%	4.55%	8.52%	3.98%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.57%	0.57%			
Occupational CLF	#	100%	54.75%	45.25%	3.06%	3.65%	44.11%	28.34%	3.57%	8.71%	3.69%	3.96%	0.00%	0.00%	0.08%	0.31%	0.00%	0.00%	0.08%	0.31%	0.00%	0.00%	0.24%	0.24%	0.27%	0.27%			
	%	100%	54.75%	45.25%	3.06%	3.65%	44.11%	28.34%	3.57%	8.71%	3.69%	3.96%	0.00%	0.00%	0.08%	0.31%	0.00%	0.00%	0.08%	0.31%	0.00%	0.00%	0.24%	0.24%	0.27%	0.27%			

Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS—DISTRIBUTION BY RACE/ETHNICITY AND SEX—TEMPORARY WORKFORCE PAY PERIOD 201421

Job Title/Series		RACE/ETHNICITY																							
		TOTAL EMPLOYEES						Hispanic or Latino						Non-Hispanic or Latino						Two or more races					
		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Hispanic or Latino		White		Black or African American		Asian				Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native	
		male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female			male	female	male	female
All	%	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
0110 Economist	#	24	14	10	1	0	1	8	3	0	1	6	5	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	58.33%	41.67%	4.17%	0.00%	4.17%	33.33%	12.50%	0.00%	4.17%	25.00%	20.83%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Occupational CLF	#	16	11	5	0	0	5	9	5	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	67.07%	32.93%	1.85%	3.34%	55.79%	25.20%	2.66%	2.84%	2.66%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%	0.00%	0.00%	0.00%	0.00%	0.18%	0.02%		
0510 Accountant	#	19	11	8	0	0	5	9	5	1	1	1	1	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	57.89%	42.11%	0.00%	0.00%	26.32%	47.37%	26.32%	5.26%	5.26%	5.26%	5.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Occupational CLF	#	2	2	0	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
1831 Securities Compliance Examining	#	100%	54.75%	45.25%	3.06%	3.65%	44.11%	28.34%	8.71%	3.57%	3.69%	3.96%	0.00%	0.00%	0.00%	0.08%	0.31%	0.00%	0.00%	0.00%	0.00%	0.24%	0.27%		
	%	100%	54.75%	45.25%	3.06%	3.65%	44.11%	28.34%	8.71%	3.57%	3.69%	3.96%	0.00%	0.00%	0.00%	0.08%	0.31%	0.00%	0.00%	0.00%	0.00%	0.24%	0.27%		

Table A7: APPLICANTS AND HIRES FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX
(CLOSING DATES IN FY 2014)

		RACE/ETHNICITY																								
		TOTAL		Hispanic or Latino				White				Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races						
				male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female			
				#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
Job Title/Series: Economist (0110) *In FY 2014, 24 economists were hired.																										
Total Received	#	899																								
Voluntarily Identified	#	414	111	37	23	125	43	80	21	52	22	0	0	3	1	6	1									
	%	100%	26.81%	8.94%	5.56%	30.19%	10.39%	19.32%	5.07%	12.56%	5.31%	0.00%	0.00%	0.72%	0.24%	1.45%	0.24%									
Qualified of those Identified	#	246	169	77	23	17	27	36	14	22	17	0	0	0	1	5	1									
	%	100%	68.70%	31.30%	9.35%	6.91%	10.98%	14.63%	5.69%	8.94%	6.91%	0.00%	0.00%	0.00%	0.41%	2.03%	0.41%									
Selected of those Identified	#	8	6	2	0	4	0	1	0	1	2	0	0	0	0	0	0									
	%	100%	75.00%	25.00%	0.00%	50.00%	0.00%	12.50%	0.00%	12.50%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
CLF	%	100%	67.07%	32.93%	3.34%	55.79%	25.20%	2.84%	2.66%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%	0.18%	0.02%									
Job Title/Series: General Attorney (0905) *In FY 2014, 97 attorneys were hired.																										
Total Received	#	7283																								
Voluntarily Identified	#	2907	1825	1082	276	145	1058	249	290	205	151	2	3	24	10	11	13									
	%	100%	62.78%	37.22%	9.49%	36.39%	16.17%	8.57%	9.98%	7.05%	5.19%	0.07%	0.10%	0.83%	0.34%	0.38%	0.45%									
Qualified of those Identified	#	2173	1335	838	185	114	826	165	222	136	124	2	2	15	9	6	7									
	%	100%	61.44%	38.56%	8.51%	5.25%	38.01%	7.59%	10.22%	6.26%	5.71%	0.09%	0.09%	0.69%	0.41%	0.28%	0.32%									
Selected of those Identified	#	32	21	11	1	0	17	6	2	2	3	0	0	0	0	0	0									
	%	100%	65.63%	34.38%	3.13%	53.13%	18.75%	3.13%	6.25%	6.25%	9.38%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
CLF	%	100%	66.70%	33.30%	2.52%	59.68%	26.68%	2.13%	2.60%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%	0.22%	0.18%									

Table A7: APPLICANTS AND HIRES FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX
(CLOSING DATES IN FY 2014) *Continued*

		RACE/ETHNICITY																			
		TOTAL						Hispanic or Latino				Non-Hispanic or Latino				Two or more races					
		All		male		female		male		female		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native			
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	male	female
Job Title/Series: Accounting (0510) *In FY 2014, 43 accountants were hired.																					
Total Received	#	2345																			
Voluntarily Identified	#	1031	613	418	148	76	260	134	92	133	95	66	2	0	7	2	9	7			
	%	100%	59.46%	40.54%	14.35%	7.37%	25.22%	13.00%	8.92%	12.90%	9.21%	6.40%	0.19%	0.00%	0.68%	0.19%	0.87%	0.68%			
Qualified of those Identified	#	474	288	186	65	28	132	52	39	68	47	34	0	0	3	0	2	4			
	%	100%	60.76%	39.24%	13.71%	5.91%	27.85%	10.97%	8.23%	14.35%	9.92%	7.17%	0.00%	0.00%	0.63%	0.00%	0.42%	0.84%			
Selected of those Identified	#	13	9	4	0	0	5	3	2	1	2	0	0	0	0	0	0	0			
	%	100%	69.23%	30.77%	0.00%	0.00%	38.46%	23.08%	15.38%	7.69%	15.38%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
CLF	%	100%	39.91%	60.09%	2.19%	3.93%	31.79%	44.23%	2.49%	5.66%	3.06%	5.49%	0.02%	0.06%	0.19%	0.43%	0.17%	0.29%			
Job Title/Series: Securities Compliance Examining (1831) *In FY 2014, 25 examiners were hired.																					
Total Received	#	3141																			
Voluntarily Identified	#	1544	1016	528	151	93	497	179	201	166	150	82	0	4	2	1	15	3			
	%	100%	65.80%	34.20%	9.78%	6.02%	32.19%	11.59%	13.02%	10.75%	9.72%	5.31%	0.00%	0.26%	0.13%	0.06%	0.97%	0.19%			
Qualified of those Identified	#	1234	839	395	109	59	413	135	171	135	138	60	0	2	0	1	8	3			
	%	100%	67.99%	32.01%	8.83%	4.78%	33.47%	10.94%	13.86%	10.94%	11.18%	4.86%	0.00%	0.16%	0.00%	0.08%	0.65%	0.24%			
Selected of those Identified	#	11	7	4	2	0	4	3	0	1	1	0	0	0	0	0	0	0			
	%	100%	63.64%	36.36%	18.18%	0.00%	36.36%	27.27%	0.00%	9.09%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
CLF	%	100%	54.75%	45.25%	3.06%	3.65%	44.11%	28.34%	3.57%	8.71%	3.69%	3.96%	0.00%	0.00%	0.08%	0.31%	0.24%	0.27%			

Note: This table contains data for both permanent and temporary positions.

Table A8: NEW HIRES BY TYPE OF APPOINTMENT—DISTRIBUTION BY RACE/ETHNICITY AND SEX
(FOR PERIOD 2013-10-01 TO 2014-09-30)

		RACE/ETHNICITY																	
		Hispanic or Latino						Non-Hispanic or Latino											
		TOTAL		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races					
Employment Tenure		All	male		female		male		female		male		female		male		female		
		#	305	182	123	5	127	64	21	34	22	18	0	0	2	0	1	2	
%	100%	59.67%	40.33%	2.95%	41.64%	20.98%	6.89%	11.15%	7.21%	5.90%	0.00%	0.00%	0.66%	0.00%	0.33%	0.66%			
#	76	48	28	0	34	17	5	6	9	4	0	0	0	0	0	0	0		
%	100%	63.16%	36.84%	0.00%	44.74%	22.37%	6.58%	7.89%	11.84%	5.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
#	381	230	151	9	161	81	26	40	31	22	0	0	2	0	1	2			
%	100%	60.37%	39.63%	2.36%	42.26%	21.26%	6.82%	10.50%	8.14%	5.77%	0.00%	0.00%	0.52%	0.00%	0.26%	0.52%			
%	100%	51.86%	48.14%	5.17%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%			

Table A9: SELECTIONS FOR INTERNAL COMPETITIVE PROMOTIONS FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX

		RACE/ETHNICITY																	
		TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races			
				male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
				#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Job Series of Vacancy: General Attorney (0905)		All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	
Total Applications Received	#	310	189	121	4	4	162	81	12	17	7	19	0	0	4	0	0	0	
	%	100%	61.77%	38.23%	1.37%	1.37%	52.90%	25.94%	3.75%	4.78%	2.39%	6.14%	0.00%	0.00%	1.37%	0.00%	0.00%	0.00%	
Qualified	#	293	181	112	4	4	155	76	11	14	7	18	0	0	4	0	0	0	
	%	100%	61.77%	38.23%	1.37%	1.37%	52.90%	25.94%	3.75%	4.78%	2.39%	6.14%	0.00%	0.00%	1.37%	0.00%	0.00%	0.00%	
Selected	#	39	24	15	1	0	23	9	0	2	0	4	0	0	0	0	0	0	
	%	100%	61.54%	38.46%	2.56%	0.00%	58.97%	23.08%	0.00%	5.13%	0.00%	10.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Relevant Applicant Pool	%	100%	57.34%	42.66%	1.52%	1.59%	47.62%	31.36%	3.45%	3.86%	4.55%	5.65%	0.00%	0.07%	0.21%	0.07%	0.00%	0.07%	
Job Series of Vacancy: Accounting (0510)		All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	
Total Applications Received	#	122	81	41	3	1	68	31	2	4	8	5	0	0	0	0	0	0	
	%	100%	63.64%	36.36%	1.82%	0.91%	54.55%	27.27%	0.91%	3.64%	6.36%	4.55%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Qualified	#	110	70	40	2	1	60	30	1	4	7	5	0	0	0	0	0	0	
	%	100%	63.64%	36.36%	1.82%	0.91%	54.55%	27.27%	0.91%	3.64%	6.36%	4.55%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Selected	#	28	17	11	0	0	14	9	1	0	2	2	0	0	0	0	0	0	
	%	100%	60.71%	39.29%	0.00%	0.00%	50.00%	32.14%	3.57%	0.00%	7.14%	7.14%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Relevant Applicant Pool	%	100%	59.18%	40.82%	3.30%	2.53%	46.26%	25.85%	3.21%	5.25%	6.22%	7.00%	0.00%	0.00%	0.19%	0.00%	0.00%	0.10%	

Table A9: SELECTIONS FOR INTERNAL COMPETITIVE PROMOTIONS FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX *Continued*

		RACE/ETHNICITY															
		TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
				male	female	male	female	male	female	male	female	male	female	male	female	male	female
				#	%	#	%	#	%	#	%	#	%	#	%	#	%
Job Series of Vacancy: Securities Compliance Examining (1831)																	
Total Applications Received	#	78		4	1	42	18	4	4	4	1	0	0	0	0	0	0
Qualified	#	54		2	1	31	10	3	3	3	1	0	0	0	0	0	0
	%	100%		3.70%	1.85%	57.41%	18.52%	5.56%	5.56%	5.56%	1.85%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	14		1	0	12	1	0	0	0	0	0	0	0	0	0	0
	%	100%		7.14%	0.00%	85.71%	7.14%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	%	100%		4.44%	1.11%	64.44%	15.56%	2.22%	3.33%	6.67%	2.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Job Series of Vacancy: Economist (0110)																	
Total Applications Received	#	4		0	0	4	0	0	0	0	0	0	0	0	0	0	0
Qualified	#	2		0	0	2	0	0	0	0	0	0	0	0	0	0	0
	%	100%		0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	2		0	0	2	0	0	0	0	0	0	0	0	0	0	0
	%	100%		0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	%	100%		0.00%	2.04%	46.94%	14.29%	0.00%	2.04%	20.41%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
"Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced.																	

Table A10: NON-COMPETITIVE PROMOTIONS—TIME IN GRADE—DISTRIBUTION BY RACE/ETHNICITY AND SEX PAY PERIOD 201421

Employment Tenure	RACE/ETHNICITY																			
	TOTAL						Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
	All	male	female	male	female	%	male	female	male	female	male	female	male	female	male	female	male	female	male	female
Total Employees Eligible for Career Ladder Promotions	#	178	131	6	7	100%	137	60	16	43	17	20	0	0	2	0	0	0	0	1
	%	57.61%	42.39%	1.94%	2.27%		44.34%	19.42%	5.18%	13.92%	5.50%	6.47%	0.00%	0.00%	0.65%	0.00%	0.00%	0.00%	0.00%	0.32%
Time in grade in excess of minimum																				
1 - 12 months	#	16	10	6	0		7	2	1	4	2	0	0	0	0	0	0	0	0	0
	%	100%	62.50%	37.50%	0.00%		43.75%	12.50%	6.25%	25.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
13 - 24 months	#	12	6	6	0		3	2	3	2	0	1	0	0	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%		25.00%	16.67%	25.00%	16.67%	0.00%	8.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
25+ months	#	8	3	5	1		2	4	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	37.50%	62.50%	12.50%		25.00%	50.00%	0.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Table A11: INTERNAL SELECTIONS FOR SENIOR LEVEL POSITIONS (SK-13 – SK-17) BY RACE/ETHNICITY AND SEX*

		RACE/ETHNICITY																	
		Hispanic or Latino						Non-Hispanic or Latino						Two or more races					
		TOTAL			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
Grade(s) of Vacancy: SK-13		#	10	23	2	0	4	2	3	19	0	2	0	0	0	1	0	0	0
Total Applications Received		%	30.30%	69.70%	6.06%	0.00%	12.12%	6.06%	9.09%	57.58%	0.00%	6.06%	0.00%	0.00%	0.00%	3.03%	0.00%	0.00%	0.00%
Qualified		#	7	14	1	0	2	1	3	11	0	2	0	0	1	0	0	0	0
		%	33.33%	66.67%	4.76%	0.00%	9.52%	4.76%	14.29%	52.38%	0.00%	9.52%	0.00%	0.00%	4.76%	0.00%	0.00%	0.00%	0.00%
Selected		#	3	5	0	0	1	1	2	4	0	0	0	0	0	0	0	0	0
		%	37.50%	62.50%	0.00%	0.00%	12.50%	12.50%	25.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool		%	32.59%	67.47%	0.45%	3.13%	21.43%	26.34%	7.59%	29.91%	2.23%	7.14%	0.00%	0.00%	0.89%	0.45%	0.00%	0.00%	0.45%
Grade(s) of Vacancy: SK-14		#	56	35	2	0	43	26	5	6	6	3	0	0	0	0	0	0	0
Total Applications Received		%	61.54%	38.46%	2.20%	0.00%	47.25%	28.57%	5.49%	6.59%	6.59%	3.30%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified		#	74	45	1	0	36	21	4	5	4	3	0	0	0	0	0	0	0
		%	60.81%	39.19%	1.35%	0.00%	48.65%	28.38%	5.41%	6.76%	5.41%	4.05%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected		#	35	24	1	0	20	9	2	1	1	1	0	0	0	0	0	0	0
		%	68.57%	31.43%	2.86%	0.00%	57.14%	25.71%	5.71%	2.86%	2.86%	2.86%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool		%	57.25%	42.75%	2.66%	1.69%	37.44%	19.08%	8.70%	16.18%	7.97%	5.31%	0.00%	0.00%	0.24%	0.24%	0.00%	0.00%	0.24%
Grade(s) of Vacancy: SK-16		#	215	90	4	5	91	55	11	13	16	17	0	0	3	0	0	0	0
Total Applications Received		%	58.14%	41.86%	1.86%	2.33%	42.33%	25.58%	5.12%	6.05%	7.44%	7.91%	0.00%	0.00%	1.40%	0.00%	0.00%	0.00%	0.00%
Qualified		#	199	116	4	4	84	51	10	12	15	16	0	0	3	0	0	0	0
		%	58.29%	41.71%	2.01%	2.01%	42.21%	25.63%	5.03%	6.03%	7.54%	8.04%	0.00%	0.00%	1.51%	0.00%	0.00%	0.00%	0.00%
Selected		#	30	18	1	0	16	6	1	2	0	4	0	0	0	0	0	0	0
		%	60.00%	40.00%	3.33%	0.00%	53.33%	20.00%	3.33%	6.67%	0.00%	13.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool		%	57.40%	42.60%	2.67%	2.36%	43.63%	27.41%	4.41%	6.11%	6.33%	6.42%	0.04%	0.00%	0.27%	0.09%	0.04%	0.04%	0.22%
Grade(s) of Vacancy: SK-15 & SK-17		#	316	215	101	8	165	62	14	24	27	11	1	0	0	0	0	0	0
Total Applications Received		%	68.04%	31.96%	2.53%	1.27%	52.22%	19.62%	4.43%	7.59%	8.54%	3.48%	0.32%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified		#	275	191	84	7	147	53	12	17	24	11	1	0	0	0	0	0	0
		%	69.45%	30.55%	2.55%	1.09%	53.45%	19.27%	4.36%	6.18%	8.73%	4.00%	0.36%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected		#	35	22	13	0	19	8	2	3	1	2	0	0	0	0	0	0	0
		%	62.86%	37.14%	0.00%	0.00%	54.29%	22.86%	5.71%	8.57%	2.86%	5.71%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool		%	58.10%	41.90%	2.45%	2.04%	44.87%	27.94%	4.11%	5.63%	6.34%	5.97%	0.04%	0.07%	0.26%	0.07%	0.04%	0.04%	0.19%

*"Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced. *There were no internal vacancy announcements for Senior Officer Positions in FY 2014.

Table A12: PARTICIPATION IN CAREER DEVELOPMENT—DISTRIBUTION BY RACE/ETHNICITY AND SEX

		RACE/ETHNICITY													
		TOTAL						Hispanic or Latino		Non-Hispanic or Latino				Two or more races	
		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		male		female	
		male	female	male	female	male	female	male	female	male	female	male	female	male	female
Career Development Programs for SK-5 to SK-12															
Slots	#	0													
Relevant Pool	%														
Applied	#														
	%	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%
Participants	#														
	%	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%
Career Development Programs for SK-13 to SK-14															
Slots	#	14													
Relevant Pool	%														
Applied	#	16	5	11	2	0	2	10	1	1	0	0	0	0	0
	%	100%	31.25%	68.75%	12.50%	0.00%	12.50%	62.50%	6.25%	6.25%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	10	2	8	1	0	1	7	0	1	0	0	0	0	0
	%	100%	20.00%	80.00%	10.00%	0.00%	10.00%	70.00%	0.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Career Development Programs for SK-15, SK-17															
Slots	#	19													
Relevant Pool	%														
Applied	#	15	2	13	0	0	2	11	0	1	0	2	0	0	0
	%	100%	13.33%	86.67%	0.00%	0.00%	13.33%	73.33%	0.00%	6.67%	0.00%	13.33%	0.00%	0.00%	0.00%
Participants	#	9	2	7	0	0	2	6	0	0	0	1	0	0	0
	%	100%	22.22%	77.78%	0.00%	0.00%	22.22%	66.67%	0.00%	0.00%	0.00%	11.11%	0.00%	0.00%	0.00%
"Relevant Pool" includes all employees in pay grades eligible for the career development program.															

Table A13: EMPLOYEE RECOGNITION AND AWARDS—DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE FOR PERIOD 2013-10-01 TO 2014-09-30

		RACE/ETHNICITY																											
		Non-Hispanic or Latino												Hispanic or Latino															
		Asian				Black or African American				White				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	%	\$				
Awards																													
Time-Off Awards: 1-9 hours																													
All		male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$
#	1266	602	664	25	29	461	392	186	52	49	52	0	0	0	0	0	0	0	0	2	0	0	0	3	0				
%	100%	47.55%	52.45%	1.97%	2.29%	36.41%	30.96%	14.69%	4.11%	3.87%	4.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.16%	0.00%	0.00%	0.00%	0.24%	0.00%				
Total Hours	8084	4037	4047	176	176	3085	2423	1094	332	332	326	0	0	0	0	0	0	0	0	12	0	0	0	16	0				
Average Hours	6	7	6	7	6	7	6	6	7	6	7	0	0	0	0	0	0	0	0	6	0	0	0	5	0				
Time-Off Awards: 9+ hours																													
All		male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$
#	1724	823	901	29	40	659	577	156	124	72	124	0	1	5	2	0	0	1	1	5	2	0	0	1	0				
%	100%	47.74%	52.26%	1.68%	2.32%	38.23%	33.47%	9.05%	7.19%	4.18%	7.19%	0.00%	0.06%	0.29%	0.12%	0.00%	0.00%	0.07%	0.07%	0.29%	0.12%	0.00%	0.00%	0.06%	0.06%				
Total Hours	25868	15938	17335	568	752	12846	11267	2780	2448	1338	2448	0	16	120	48	0	0	16	120	48	0	0	0	24	0				
Average Hours	15	19	19	20	19	19	20	18	18	19	20	0	16	24	24	0	0	16	24	24	0	0	0	24	0				
Cash Awards: \$100-\$500																													
All		male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$
#	1427	734	693	37	44	514	368	117	229	63	41	0	2	1	1	0	0	2	2	1	1	0	0	1	0				
%	100%	51.44%	48.56%	2.59%	3.08%	36.02%	25.79%	8.20%	16.05%	4.41%	2.87%	0.00%	0.14%	0.07%	0.07%	0.00%	0.00%	0.14%	0.14%	0.07%	0.07%	0.00%	0.00%	0.56%	0.00%				
Total Amount	\$563,269	\$300,342	\$262,927	\$16,406	\$15,380	\$215,596	\$146,572	\$41,116	\$77,951	\$25,724	\$18,074	\$0	\$0	\$1,000	\$500	\$500	\$500	\$1,000	\$500	\$500	\$500	\$500	\$500	\$500	\$3,450				
Average Amount	\$395	\$409	\$379	\$443	\$350	\$419	\$398	\$351	\$340	\$408	\$441	\$0	\$0	\$500	\$500	\$500	\$500	\$500	\$500	\$500	\$500	\$500	\$500	\$500	\$431				
Cash Awards: \$501+																													
All		male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$
#	5754	3189	2565	153	109	2575	1671	173	477	274	294	5	6	9	2	0	0	6	6	2	0	0	0	6	0				
%	100%	55.42%	44.58%	2.66%	1.89%	44.75%	29.04%	3.01%	8.29%	4.76%	5.11%	0.09%	0.10%	0.16%	0.03%	0.00%	0.00%	0.10%	0.03%	0.16%	0.03%	0.00%	0.00%	0.10%	0.00%				
Total Amount	\$8,685,827	\$5,039,162	\$3,646,665	\$211,500	\$136,452	\$4,115,129	\$2,483,468	\$248,328	\$631,885	\$438,001	\$375,896	\$12,500	\$9,564	\$13,704	\$1,400	\$0	\$0	\$8,000	\$8,000	\$1,400	\$1,400	\$0	\$0	\$8,000	\$0				
Average Amount	\$1,510	\$1,580	\$1,422	\$1,382	\$1,252	\$1,598	\$1,486	\$1,435	\$1,325	\$1,599	\$1,279	\$2,500	\$1,594	\$700	\$700	\$0	\$0	\$1,333	\$1,333	\$700	\$700	\$0	\$0	\$1,333	\$0				
Quality Step Increases (QSI) (N/A)																													
All		male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$	male	female	%	\$
#	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		
%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		

Table A14: SEPARATIONS BY TYPE OF SEPARATION—DISTRIBUTION BY RACE/ETHNICITY AND SEX—
PERMANENT WORKFORCE FOR PERIOD 2013-10-01 TO 2014-09-30

Type of Separation		RACE/ETHNICITY																			
		TOTAL						Hispanic or Latino						Non-Hispanic or Latino						Two or more races	
		All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	
Voluntary	#	215	123	92	5	2	91	58	17	21	9	11	0	0	1	0	0	1	0	0	
	%	100%	57.21%	42.79%	2.33%	0.93%	42.33%	26.98%	7.91%	9.77%	4.19%	5.12%	0.00%	0.00%	0.47%	0.00%	0.00%	0.47%	0.00%	0.00%	
Involuntary	#	7	1	6	1	0	0	3	0	2	0	1	0	0	0	0	0	0	0	0	
	%	100%	14.29%	85.71%	14.29%	0.00%	0.00%	42.86%	0.00%	28.57%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Total Separations	#	222	124	98	6	2	91	61	17	23	9	12	0	0	1	0	0	1	0	0	
	%	100%	55.86%	44.14%	2.70%	0.90%	40.99%	27.48%	7.66%	10.36%	4.05%	5.41%	0.00%	0.00%	0.45%	0.00%	0.00%	0.45%	0.00%	0.00%	
Total Workforce	#	4097	2198	1899	92	93	1675	1094	209	475	209	222	1	2	10	5	2	10	5	2	
	%	100%	53.65%	46.35%	2.25%	2.27%	40.88%	26.70%	5.10%	11.59%	5.10%	5.42%	0.02%	0.05%	0.24%	0.12%	0.05%	0.24%	0.12%	0.05%	

Table B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF— IDENTIFICATION CODES] PAY PERIOD 201321 TO 201421

Employment Tenure	TOTAL		Total by Disability Status				Detail for Targeted Disabilities									
	[05] No Disability	[01] Not Identified	[06-94] Disability	Targeted Disability	[16, 17] Deafness	[23, 25] Blindness	[28, 32-38] Missing Limbs	[64-68] Partial Paralysis	[71-78] Total Paralysis	[82] Convulsive Disorder	[90] Mental Retardation	[91] Mental Illness	[92] Distortion of Limb/ Spine			
TOTAL																
Prior FY	# 4,138	3,732	195	211	41	8	5	2	3	3	7	1	1			
	% 100%	90.19%	4.71%	5.10%	0.99%	0.19%	0.12%	0.05%	0.07%	0.07%	0.17%	0.02%	0.02%			
Current FY	# 4,235	3,826	205	204	40	7	4	2	3	3	6	1	1			
	% 100%	90.34%	4.84%	4.82%	0.94%	0.17%	0.09%	0.05%	0.07%	0.07%	0.14%	0.02%	0.02%			
Difference	# 97	94	10	-7	-1	-1	-1	0	0	0	-1	0	0			
Ratio Change	% 0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%			
Net Change	% 2.34%	2.52%	5.13%	-3.32%	-2.44%	-12.50%	-20.00%	0.00%	0.00%	0.00%	-14.29%	0.00%	0.00%			
Federal High	%				2.23%											
PERMANENT																
Prior FY	# 3,982	3,593	185	204	39	8	5	2	3	3	5	1	1			
	% 100%	90.23%	4.65%	5.12%	0.98%	0.20%	0.13%	0.05%	0.08%	0.08%	0.13%	0.03%	0.03%			
Current FY	# 4,097	3,702	194	201	39	7	4	2	3	3	5	1	1			
	% 100%	90.36%	4.74%	4.91%	0.95%	0.17%	0.10%	0.05%	0.07%	0.07%	0.12%	0.02%	0.02%			
Difference	# 115	109	9	-3	0	-1	-1	0	0	0	0	0	0			
Ratio Change	% 0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%			
Net Change	% 2.89%	3.03%	4.86%	-1.47%	0.00%	-12.50%	-20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
TEMPORARY																
Prior FY	# 156	139	10	7	2	0	0	0	0	0	2	0	0			
	% 100%	89.10%	6.41%	4.49%	1.28%	0.00%	0.00%	0.00%	0.00%	0.00%	1.28%	0.00%	0.00%			
Current FY	# 138	124	11	3	1	0	0	0	0	0	1	0	0			
	% 100%	89.86%	7.97%	2.17%	0.72%	0.00%	0.00%	0.00%	0.00%	0.00%	0.72%	0.00%	0.00%			
Difference	# -18	-15	1	-4	-1	0	0	0	0	0	-1	0	0			
Ratio Change	% 0%	1%	2%	-2%	-1%	0%	0%	0%	0%	0%	-1%	0%	0%			
Net Change	% -11.54%	-10.79%	10.00%	-57.14%	-50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-50.00%	0.00%	0.00%			

Table B3-1: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY DISABILITY—
PERMANENT EMPLOYEES PAY PERIOD 201421

Occupational Category	TOTAL		Total by Disability Status						Detail for Targeted Disabilities						
	#	%	[05] No Disability	[01] Not Identified	[06-94] Disability	Targeted Disability	[16, 17] Deafness	[23, 25] Blindness	[28, 32-38] Missing Limbs	[64-68] Partial Paralysis	[71-78] Total Paralysis	[82] Convulsive Disorder	[90] Mental Retardation	[91] Mental Illness	[92] Distortion of Limb/Spine
Executive/Senior Level	137	100%	117	15	5	1	0	0	0	0	1	0	0	0	0
			85.40%	10.95%	3.65%	0.73%	0.00%	0.00%	0.00%	0.00%	0.73%	0.00%	0.00%	0.00%	0.00%
Mid-level	364	100%	341	12	11	1	0	0	0	0	0	0	0	0	1
			93.68%	3.30%	3.02%	0.27%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.27%
First-Level	334	100%	313	8	13	2	0	0	1	0	0	0	0	1	0
			93.71%	2.40%	3.89%	0.60%	0.00%	0.00%	0.30%	0.00%	0.00%	0.00%	0.00%	0.30%	0.00%
Other	5	100%	5	0	0	0	0	0	0	0	0	0	0	0	0
			100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Officials and Managers	840	100%	776	35	29	4	0	0	1	0	1	0	0	1	1
			92.38%	4.17%	3.45%	0.48%	0.00%	0.00%	0.12%	0.00%	0.12%	0.00%	0.00%	0.12%	0.12%
Professionals—Program Work	2261	100%	2080	100	81	16	0	3	1	1	2	4	0	5	0
			91.99%	4.42%	3.58%	0.71%	0.00%	0.13%	0.04%	0.04%	0.09%	0.18%	0.00%	0.22%	0.00%
Professionals—Business/Financial Administration	845	100%	724	51	70	14	4	1	0	2	0	1	0	6	0
			85.68%	6.04%	8.28%	1.66%	0.47%	0.12%	0.00%	0.24%	0.00%	0.12%	0.00%	0.71%	0.00%
Administrative Support Workers	151	100%	122	8	21	5	3	0	0	0	0	0	1	1	0
			80.79%	5.30%	13.91%	3.31%	1.99%	0.00%	0.00%	0.00%	0.00%	0.00%	0.66%	0.66%	0.00%

Table B3-2: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY DISABILITY STATUS

Occupational Category	TOTAL		Total by Disability Status					Detail for Targeted Disabilities									
	#	%	[05] No Disability	[01] Not Identified	[06-94] Disability	Targeted Disability	[16, 17] Deafness	[23, 25] Blindness	[28, 32-38] Missing Limbs	[64-68] Partial Paralysis	[71-78] Total Paralysis	[82] Convulsive Disorder	[90] Mental Retardation	[91] Mental Illness	[92] Distortion of Limb/ of Limb/ Spine		
Executive/Senior Level	137		117	15	5	1	0	0	0	0	1	0	0	0	0		
		%	3.34%	7.73%	2.49%	2.56%	0.00%	0.00%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%		
Mid-level	364		341	12	11	1	0	0	0	0	0	0	0	0	1		
		%	8.88%	6.19%	5.47%	2.56%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%		
First-Level	334		313	8	13	2	0	0	1	0	0	0	0	1	0		
		%	8.15%	4.12%	6.47%	5.13%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	7.69%	0.00%		
Other	5		5	0	0	0	0	0	0	0	0	0	0	0	0		
		%	0.12%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
Officials and Managers	840		776	35	29	4	0	0	1	0	1	0	0	1	1		
		%	20.50%	18.04%	14.43%	10.26%	0.00%	0.00%	50.00%	0.00%	33.33%	0.00%	0.00%	7.69%	100.00%		
Professionals—Program Work	2261		2080	100	81	16	0	3	1	1	2	4	0	5	0		
		%	55.19%	51.55%	40.30%	41.03%	0.00%	75.00%	50.00%	33.33%	66.67%	80.00%	0.00%	38.46%	0.00%		
Professionals—Business/Financial Administration	845		724	51	70	14	4	1	0	2	0	1	0	6	0		
		%	20.62%	26.29%	34.63%	35.90%	57.14%	25.00%	0.00%	66.67%	0.00%	20.00%	0.00%	46.15%	0.00%		
Administrative Support Workers	151		122	8	21	5	3	0	0	0	0	0	1	1	0		
		%	3.69%	4.12%	10.45%	12.82%	42.86%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%	7.69%	0.00%		
TOTAL WORKFORCE	4,097		3,702	194	201	39	7	4	2	3	3	5	1	13	1		
		%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%		

NOTE: Percentages computed down columns and NOT across rows.

Table B4-1: PARTICIPATION RATES FOR SK GRADES BY DISABILITY—PERMANENT WORKFORCE PAY PERIOD 201421

SK, SO, and Related Grades	TOTAL	Total by Disability Status				Detail for Targeted Disabilities												
		[05] No Disability	[01] Not Identified	[06-94] Disability	Targeted Disability	[16, 17] Deafness	[23, 25] Blindness	[28, 32-38] Missing Limbs	[64-68] Partial Paralysis	[71-78] Total Paralysis	[82] Convulsive Disorder	[90] Mental Retardation	[91] Mental Illness	[92] Distortion of Limb/Spine				
SK-03	#	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-04	#	5	2	1	2	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	40.00%	20.00%	40.00%	0.00%	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-05	#	5	2	0	3	1	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	40.00%	0.00%	60.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-06	#	15	10	0	5	2	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	66.67%	0.00%	33.33%	13.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-07	#	91	74	6	11	2	0	0	0	0	0	0	0	0	1	1	1	0
	%	100%	81.32%	6.59%	12.09%	2.20%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	1.10%	1.10%	0.00%	0.00%
SK-08	#	28	26	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	92.86%	7.14%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-09	#	60	46	8	6	4	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	76.67%	13.33%	10.00%	6.67%	1.67%	0.00%	0.00%	1.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	2	1	0	1	1	0	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%	0.00%
SK-11	#	134	113	7	14	2	0	0	0	0	0	0	0	1	0	0	0	0
	%	100%	84.33%	5.22%	10.45%	1.49%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.75%	0.75%	0.00%	0.00%	0.00%	0.00%
SK-12	#	222	192	10	20	5	2	0	0	0	0	0	0	0	0	0	0	0
	%	100%	86.49%	4.50%	9.01%	2.25%	0.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	407	370	16	21	2	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	90.91%	3.93%	5.16%	0.49%	0.00%	0.25%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.25%	0.00%	0.00%	0.00%
SK-14	#	1861	1691	92	78	13	0	3	1	1	1	0	0	1	0	6	0	0
	%	100%	90.87%	4.94%	4.19%	0.70%	0.00%	0.16%	0.05%	0.05%	0.05%	0.00%	0.05%	0.05%	0.00%	0.32%	0.00%	0.00%
SK-15	#	334	313	8	13	2	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	93.71%	2.40%	3.89%	0.60%	0.00%	0.00%	0.30%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.30%	0.00%	0.00%
SK-16	#	427	399	17	11	3	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	93.44%	3.98%	2.58%	0.70%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.70%	0.00%	0.00%	0.00%
SK-17	#	364	341	12	11	1	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	93.68%	3.30%	3.02%	0.27%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.27%
Other	#	5	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	#	137	117	15	5	1	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	85.40%	10.95%	3.65%	0.73%	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 Workforce	#	4097	3702	194	201	39	7	4	2	3	3	1	5	1	13	1	13	1
	%	100%	90.36%	4.74%	4.91%	0.95%	0.17%	0.10%	0.05%	0.07%	0.07%	0.02%	0.12%	0.02%	0.32%	0.02%	0.02%	

Table B4-1: PARTICIPATION RATES FOR SK GRADES BY DISABILITY--TEMPORARY WORKFORCE PAY PERIOD 201421

SK, SO, and Related Grades	TOTAL		Total by Disability Status					Detail for Targeted Disabilities									
	#	%	[05] No Disability	[01] Not Identified	[06-94] Disability	Targeted Disability	[16, 17] Deafness	[23, 25] Blindness	[28, 32-38] Missing Limbs	[64-68] Partial Paralysis	[71-78] Total Paralysis	[82] Convulsive Disorder	[90] Mental Retardation	[91] Mental Illness	[92] Distortion of Limb/Spine		
SK-03	#	6	5	1	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	83.33%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-04	#	11	9	2	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	81.82%	18.18%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-05	#	4	3	0	1	0	0	0	0	0	0	0	0	0	0		
	%	100%	75.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-06	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-07	#	2	2	0	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-08	#	1	1	0	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-09	#	5	4	1	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	80.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-10	#	2	2	0	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-11	#	11	9	0	2	1	0	0	0	0	0	1	0	0	0		
	%	100%	81.82%	0.00%	18.18%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	9.09%	0.00%	0.00%	0.00%		
SK-12	#	2	2	0	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-13	#	7	5	2	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	71.43%	28.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-14	#	49	49	0	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-16	#	28	25	3	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	89.29%	10.71%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-17	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
	%	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%		
Other	#	3	3	0	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
Senior Officer, EX	#	7	5	2	0	0	0	0	0	0	0	0	0	0	0		
	%	100%	71.43%	28.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
Total	#	138	124	11	3	1	0	0	0	0	0	1	0	0	0		
	%	100%	89.86%	7.97%	2.17%	0.72%	0.00%	0.00%	0.00%	0.00%	0.72%	0.00%	0.00%	0.00%	0.00%		

Table B4-2: PARTICIPATION RATES FOR SK GRADES BY DISABILITY—PERMANENT WORKFORCE FOR PAY PERIOD 201421

SK, SO, and Related Grades	TOTAL	Total by Disability Status						Detail for Targeted Disabilities										
		[05] No Disability	[01] Not Identified	[06-94] Disability	Targeted Disability	[16, 17] Deafness	[23, 25] Blindness	[28, 32-38] Missing Limbs	[64-68] Partial Paralysis	[71-78] Total Paralysis	[82] Convulsive Disorder	[90] Mental Retardation	[91] Mental Illness	[92] Distortion of Limb/Spine				
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
SK-03	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-04	5	0.00%	2	0.00%	2	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-05	5	0.12%	2	0.52%	3	1.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-06	15	0.12%	0	0.00%	3	1.49%	1	2.56%	1	14.29%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-07	91	0.37%	74	0.00%	5	2.49%	2	5.13%	2	28.57%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-08	28	2.22%	26	3.09%	2	5.47%	0	5.13%	0	0.00%	0	0.00%	0	0.00%	0	100.00%	1	7.69%
SK-09	60	0.68%	46	1.03%	8	0.00%	6	0.00%	1	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-10	2	1.46%	1	4.12%	1	2.99%	1	10.26%	1	14.29%	0	0.00%	0	0.00%	0	0.00%	0	15.38%
SK-11	134	0.05%	113	0.00%	7	0.50%	2	2.56%	2	14.29%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-12	222	3.27%	192	3.61%	10	6.97%	5	5.13%	2	0.00%	0	0.00%	0	0.00%	0	33.33%	0	0.00%
SK-13	407	5.42%	370	5.15%	16	9.95%	2	12.82%	0	28.57%	0	0.00%	0	0.00%	0	0.00%	1	23.08%
SK-14	1861	9.93%	1691	8.25%	92	10.45%	13	5.13%	3	0.00%	25.00%	0.00%	0.00%	1	20.00%	0.00%	0	0.00%
SK-15	334	45.42%	313	47.42%	8	38.81%	2	33.33%	0	75.00%	50.00%	33.33%	0	20.00%	0.00%	46.15%	0	0.00%
SK-16	427	8.15%	399	4.12%	17	6.47%	3	5.13%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	7.69%
SK-17	364	10.42%	341	8.76%	12	5.47%	11	7.69%	0	0.00%	0	0.00%	0	60.00%	0	0.00%	0	0.00%
Other	5	8.88%	5	6.19%	0	5.47%	0	2.56%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Senior Officer	137	0.12%	117	0.00%	15	0.00%	1	0.00%	0	0.00%	0	0.00%	0	0.00%	1	0.00%	0	0.00%
Total Workforce	4097	3.34%	3702	7.73%	201	2.49%	39	2.56%	7	0.00%	4	0.00%	3	33.33%	5	0.00%	1	0.00%
	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

NOTE: Percentages computed down columns and NOT across rows.

Table B4-2: PARTICIPATION RATES FOR SK GRADES BY DISABILITY—TEMPORARY WORKFORCE FOR PAY PERIOD 201421

SK, SO, and Related Grades	TOTAL		Total by Disability Status				Detail for Targeted Disabilities								
	#	%	[05] No Disability	[01] Not Identified	[06-94] Disability	Targeted Disability	[16, 17] Deafness	[23, 25] Blindness	[28, 32-38] Missing Limbs	[64-68] Partial Paralysis	[71-78] Total Paralysis	[82] Convulsive Disorder	[90] Mental Retardation	[91] Mental Illness	[92] Distortion of Limb/Spine
SK-03	6	4.35%	5	1	0	0	0	0	0	0	0	0	0	0	0
			4.03%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	11	7.97%	9	2	0	0	0	0	0	0	0	0	0	0	0
			7.26%	18.18%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-05	4	2.90%	3	0	1	0	0	0	0	0	0	0	0	0	0
			2.42%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-06	0	0.00%	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%
SK-07	2	1.45%	2	0	0	0	0	0	0	0	0	0	0	0	0
			1.61%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-08	1	0.72%	1	0	0	0	0	0	0	0	0	0	0	0	0
			0.81%	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	5	3.62%	4	1	0	0	0	0	0	0	0	0	0	0	0
			3.23%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	2	1.45%	2	0	0	0	0	0	0	0	0	0	0	0	0
			1.61%	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	11	7.97%	9	0	2	1	0	0	0	0	0	1	0	0	0
			7.26%	0.00%	66.67%	100.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%
SK-12	2	1.45%	2	0	0	0	0	0	0	0	0	0	0	0	0
			1.61%	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	7	5.07%	5	2	0	0	0	0	0	0	0	0	0	0	0
			4.03%	18.18%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	49	35.51%	49	0	0	0	0	0	0	0	0	0	0	0	0
			39.52%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	0	0.00%	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%
SK-16	28	20.29%	25	3	0	0	0	0	0	0	0	0	0	0	0
			20.16%	27.27%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-17	0	0.00%	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%
All Other	3	2.17%	3	0	0	0	0	0	0	0	0	0	0	0	0
			2.42%	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, EX	7	5.07%	5	2	0	0	0	0	0	0	0	0	0	0	0
			4.03%	18.18%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total Workforce	138	100%	124	11	3	1	0	0	0	0	0	1	0	0	0
			100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

NOTE: Percentages computed down columns and NOT across rows.

Table B6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS—DISTRIBUTION BY DISABILITY—
PERMANENT WORKFORCE PAY PERIOD 201421

SK, SO, and Related Grades	TOTAL	Total by Disability Status				Detail for Targeted Disabilities								
		[05] No Disability	[01] Not Identified	[06-94] Disability	Targeted Disability	[16, 17] Deafness	[23, 25] Blindness	[28, 32-38] Missing Limbs	[64-68] Partial Paralysis	[71-78] Total Paralysis	[82] Convulsive Disorder	[90] Mental Retardation	[91] Mental Illness	[92] Distortion of Limb/Spine
0110 Economist	# 61	56	5	0	0	0	0	0	0	0	0	0	0	0
	% 100%	91.80%	8.20%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0510 Accountant	# 941	874	28	39	6	0	0	1	0	0	2	0	3	0
	% 100%	92.88%	2.98%	4.14%	0.64%	0.00%	0.00%	0.11%	0.00%	0.00%	0.21%	0.00%	0.32%	0.00%
0905 General Attorney	# 1762	1,618	86	58	13	0	3	1	1	3	2	0	3	0
	% 100%	91.83%	4.88%	3.29%	0.74%	0.00%	0.17%	0.06%	0.06%	0.17%	0.11%	0.00%	0.17%	0.00%
1831 Securities Compliance Examining	# 176	164	8	4	1	0	0	0	0	0	0	0	0	1
	% 100%	93.18%	4.55%	2.27%	0.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.57%

Table B6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS—DISTRIBUTION BY DISABILITY—
TEMPORARY WORKFORCE PAY PERIOD 201421

SK, SO, and Related Grades	TOTAL	Total by Disability Status				Detail for Targeted Disabilities								
		[05] No Disability	[01] Not Identified	[06-94] Disability	Targeted Disability	[16, 17] Deafness	[23, 25] Blindness	[28, 32-38] Missing Limbs	[64-68] Partial Paralysis	[71-78] Total Paralysis	[82] Convulsive Disorder	[90] Mental Retardation	[91] Mental Illness	[92] Distortion of Limb/Spine
0110 Economist	#	24	0	0	0	0	0	0	0	0	0	0	0	0
	%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0510 Accountant	#	16	0	0	0	0	0	0	0	0	0	0	0	
	%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
0905 General Attorney	#	19	2	0	0	0	0	0	0	0	0	0	0	
	%	100%	10.53%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
1831 Securities Compliance Examining	#	2	1	0	0	0	0	0	0	0	0	0	0	
	%	100%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	

Table B7: APPLICATIONS AND HIRES BY DISABILITY (CLOSING DATES IN FY 2014)

		Total by Disability Status				Detail for Targeted Disabilities									
		No Disability [05]	Not Identified [01]	Disability [06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]	Partial Paralysis [64-68 or 69]	Complete Paralysis [71-78 or 79]	Total Paralysis [64-68 & 71-78 or 69/79]	Epilepsy [82]	Severe Intellectual Disability [90]	Psychiatric Disability [91]	Dwarfism [92]
Schedule A															
Applications	#														
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Hires	#	4	0	0	4	2	0	1	0	0	0	0	0	1	0
	%	0.00%	0.00%	100%	50.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%
Voluntarily Identified (Outside of Schedule A Applicants)															
Applications	#	379	275	0	104	26	9	3	0		3	2	0	15	0
	%	72.56%	0.00%	27.44%	6.86%	2.37%	0.79%	0.00%	0.00%	0.00%	0.79%	0.53%	0.00%	3.96%	0.00%
Hires	#	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%

Note: This table contains data for the 3-month period July-September 2014, and contains both permanent and temporary positions.

Table B8: NEW HIRES BY TYPE OF APPOINTMENT—DISTRIBUTION BY DISABILITY
FOR PERIOD 2013-10-01 TO 2014-09-30

Type of Appointment	TOTAL		Total by Disability Status				Detail for Targeted Disabilities								
	#	%	(05) No Disability	(01) Not Identified	(06-94) Disability	Targeted Disability	(16, 17) Deafness	(23, 25) Blindness	(28, 32-38) Missing Limbs	(64-68) Partial Paralysis	(71-78) Total Paralysis	(82) Convulsive Disorder	(90) Mental Retardation	(91) Mental Illness	(92) Distortion of Limb/Spine
Permanent	#	305	270	24	11	2	0	1	0	0	0	0	0	1	0
	%	100%	88.52%	7.87%	3.61%	0.66%	0.00%	0.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.33%	0.00%
Temporary	#	76	66	8	2	0	0	0	0	0	0	0	0	0	0
	%	100%	86.84%	10.53%	2.63%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total	#	381	336	32	13	2	0	1	0	0	0	0	0	1	0
	%	100%	88.19%	8.40%	3.41%	0.52%	0.00%	0.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.26%	0.00%

Table B9: SELECTIONS FOR INTERNAL COMPETITIVE PROMOTIONS FOR MAJOR OCCUPATIONS BY DISABILITY

	TOTAL		Total by Disability Status					Detail for Targeted Disabilities						
	No Disability [05]	Not Identified [01]	Disability [06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]	Partial Paralysis [64-68 or 69]	Complete Paralysis [71-78 or 79]	Epilepsy [82]	Severe Intellectual Disability [90]	Psychiatric Disability [91]	Dwarfism [92]	
Job Series: General Attorney (0905)														
Total Applications Received	# 310	273	19	15	3	0	0	1	1	0	0	0	1	0
	% 100%	88.06%	6.13%	4.84%	0.97%	0.00%	0.00%	0.32%	0.32%	0.00%	0.00%	0.00%	0.32%	0.00%
Qualified	# 293	259	18	14	2	0	0	0	1	0	0	0	1	0
	% 100%	88.40%	6.14%	4.78%	0.68%	0.00%	0.00%	0.00%	0.34%	0.00%	0.00%	0.00%	0.34%	0.00%
Selected	# 39	37	2	0	0	0	0	0	0	0	0	0	0	0
	% 100%	94.87%	5.13%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	% 100%	91.80%	4.76%	3.45%	0.83%	0.00%	0.21%	0.07%	0.07%	0.14%	0.00%	0.14%	0.21%	0.00%
Job Series: Accounting (0510)														
Total Applications Received	# 122	114	3	4	0	0	0	0	0	0	0	0	0	0
	% 100%	93.44%	2.46%	3.28%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	# 110	104	3	2	0	0	0	0	0	0	0	0	0	0
	% 100%	94.55%	2.73%	1.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	# 28	26	1	1	0	0	0	0	0	0	0	0	0	0
	% 100%	92.86%	3.57%	3.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	% 100%	93.10%	3.11%	3.21%	0.58%	0.00%	0.00%	0.10%	0.00%	0.00%	0.19%	0.00%	0.29%	0.00%
Job Series: Securities Compliance Examining (1831)														
Total Applications Received	# 78	74	3	1	0	0	0	0	0	0	0	0	0	0
	% 100%	94.87%	3.85%	1.28%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	# 54	52	1	1	0	0	0	0	0	0	0	0	0	0
	% 100%	96.30%	1.85%	1.85%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	# 14	14	0	0	0	0	0	0	0	0	0	0	0	0
	% 100%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	% 100%	93.33%	4.44%	2.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Job Series: Economist (0110)														
Total Applications Received	# 4	4	0	0	0	0	0	0	0	0	0	0	0	0
	% 100%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	# 2	2	0	0	0	0	0	0	0	0	0	0	0	0
	% 100%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	# 2	2	0	0	0	0	0	0	0	0	0	0	0	0
	% 100%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	% 100%	93.88%	6.12%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

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

Table B10: NON-COMPETITIVE PROMOTIONS—TIME IN GRADE BY DISABILITY FOR PAY PERIOD 2014Z1

	Total by Disability Status				Detail for Targeted Disabilities								
	(05) No Disability	(01) Not Identified	(06-94) Disability	Targeted Disability	(16, 17) Deafness	(23, 25) Blindness	(28, 32-38) Missing Limbs	(64-68) Partial Paralysis	(71-78) Total Paralysis	(82) Convulsive Disorder	(90) Mental Retardation	(91) Mental Illness	(92) Distortion of Limb/Spine
TOTAL	281	17	11	5	-	1	-	1	1	-	-	2	-
Total Employees in Career Ladder	309												
%	90.94%	5.50%	3.56%	1.62%	0.00%	0.32%	0.00%	0.32%	0.32%	0.00%	0.00%	0.65%	0.00%
Time in Grade in excess of minimum													
1-12 months	16	2	1	1	0	0	0	0	1	0	0	0	0
%	81.25%	12.50%	6.25%	6.25%	0.00%	0.00%	0.00%	0.00%	6.25%	0.00%	0.00%	0.00%	0.00%
13-24 months	12	0	1	1	0	0	0	1	0	0	0	0	0
%	91.67%	0.00%	8.33%	8.33%	0.00%	0.00%	0.00%	8.33%	0.00%	0.00%	0.00%	0.00%	0.00%
25+ months	8	1	0	0	0	0	0	0	0	0	0	0	0
%	87.50%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Table B11: INTERNAL SELECTIONS FOR SENIOR LEVEL (SK-13 TO SK-17) POSITIONS BY DISABILITY*

	TOTAL		Total by Disability Status					Detail for Targeted Disabilities						
	No Disability [05]	Not Identified [01]	Disability [06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]	Partial Paralysis [64-68 or 69]	Complete Paralysis [71-78 or 79]	Epilepsy [82]	Severe Intellectual Disability [90]	Psychiatric Disability [91]	Dwarfism [92]	
Grade(s) of Vacancy: SK-13														
Relevant Pool	100%	86.61%	4.46%	6.70%	2.23%	0.89%	0.0%	0.00%	0.00%	0.00%	0.00%	1.34%	0.00%	
Total Applications Received	# 33	31	1	0	0	0	0	0	0	0	0	0	0	
	% 100%	93.94%	3.03%	0.00%	0.00%	0.0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Qualified	# 21	20	0	0	0	0	0	0	0	0	0	0	0	
	% 100%	95.24%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Selected	# 8	8	0	0	0	0	0	0	0	0	0	0	0	
	% 100%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Job Series/Grade(s) of Vacancy: SK-14														
Relevant Pool	100%	90.58%	4.35%	4.59%	0.48%	0.00%	0.2%	0.00%	0.00%	0.00%	0.24%	0.00%	0.00%	
Total Applications Received	# 91	84	2	4	0	0	0	0	0	0	0	0	0	
	% 100%	92.31%	2.20%	4.40%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Qualified	# 74	70	2	1	0	0	0	0	0	0	0	0	0	
	% 100%	94.59%	2.70%	1.35%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Selected	# 35	32	1	1	0	0	0	0	0	0	0	0	0	
	% 100%	91.43%	2.86%	2.86%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Job Series/Grade(s) of Vacancy: SK-16														
Relevant Pool	100%	91.49%	4.46%	3.39%	0.67%	0.00%	0.1%	0.09%	0.04%	0.04%	0.04%	0.31%	0.00%	
Total Applications Received	# 215	194	12	7	0	0	0	0	0	0	0	0	0	
	% 100%	90.23%	5.58%	3.26%	0.00%	0.00%	0.0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Qualified	# 199	180	11	7	0	0	0	0	0	0	0	0	0	
	% 100%	90.45%	5.53%	3.52%	0.00%	0.00%	0.0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Selected	# 30	28	2	0	0	0	0	0	0	0	0	0	0	
	% 100%	93.33%	6.67%	0.00%	0.00%	0.00%	0.0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	

Table B11: INTERNAL SELECTIONS FOR SENIOR LEVEL (SK-13 TO SK-17) POSITIONS BY DISABILITY* Continued

	Total by Disability Status		Detail for Targeted Disabilities										
	No Disability [05]	Not Identified [01]	Disability [06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]	Partial Paralysis [64-68 or 69]	Complete Paralysis [71-78 or 79]	Epilepsy [82]	Severe Intellectual Disability [90]	Psychiatric Disability [91]	Dwarfism [92]
Job Series/Grade(s) of Vacancy: SK-15 & SK-17													
Relevant Pool	100%	91.77%	4.45%	3.11%	0.67%	0.00%	0.11%	0.07%	0.04%	0.04%	0.15%	0.26%	0.00%
Total Applications Received	# 316	277	16	21	3	0	0	1	1	0	0	1	0
	% 100%	87.66%	5.06%	6.65%	0.95%	0.00%	0.00%	0.32%	0.32%	0.00%	0.00%	0.32%	0.00%
Qualified	# 275	241	14	18	2	0	0	0	1	0	0	1	0
	% 100%	87.64%	5.09%	6.55%	0.73%	0.00%	0.00%	0.00%	0.36%	0.00%	0.00%	0.36%	0.00%
Selected	# 35	33	1	1	0	0	0	0	0	0	0	0	0
	% 100%	94.29%	2.86%	2.86%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

"Relevant Applicant Pool"= all employees in the next lower pay grade and in all series that qualify for the position announced. * There were no internal vacancy announcements for Senior Officer Positions in FY 2014.

TABLE B12: PARTICIPATION IN CAREER DEVELOPMENT—DISTRIBUTION BY DISABILITY

		Total by Disability Status					Detail for Targeted Disabilities							
		(05) No Disability	(01) Not Identified	(06-94) Disability	Targeted Disability	(16, 17) Deafness	(23, 25) Blindness	(28, 32-38) Missing Limbs	(64-68) Partial Paralysis	(71-78) Total Paralysis	(82) Convulsive Disorder	(90) Mental Retardation	(91) Mental Illness	(92) Distortion of Limb/ Spine
TOTAL		#	%	#	%	#	%	#	%	#	%	#	%	#
Career Development Programs for SK-5 to SK-12														
Slots	#													
Relevant Pool	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Applied	#													
	%	0.00%	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	#													
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Career Development Programs for SK-13 to SK-14														
Slots	#	14												
Relevant Pool	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Applied	#	16	16											
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	10	10											
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Career Development Programs for SK-15, SK-17														
Slots	#	19												
Relevant Pool	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Applied	#	15	15											
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	9	9											
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
"Relevant Pool" includes all employees in pay grades eligible for the career development program.														

TABLE B13: EMPLOYEE RECOGNITION AND AWARDS—DISTRIBUTION BY DISABILITY
FOR PERIOD 2013-10-01 TO 2014-09-30

Awards	TOTAL		Total by Disability Status					Detail for Targeted Disabilities						
	(05) No Disability	(01) Not Identified	(06-94) Disability	Targeted Disability	(16, 17) Deafness	(23, 25) Blindness	(28, 32-38) Missing Limbs	(64-68) Partial Paralysis	(71-78) Total Paralysis	(82) Convulsive Disorder	(90) Mental Retardation	(91) Mental Illness	(92) Distortion of Limb/ of Limb/ Spine	
Time-Off Awards: 1-9 hours														
Total Time-Off Awards Given	1,266	1,136	50	80	4	1	0	0	0	2	0	0	1	
	100%	89.73%	3.95%	6.32%	0.32%	0.08%	0.00%	0.00%	0.00%	0.16%	0.00%	0.00%	0.08%	
Total Hours	8084	7300	312	472	28	8	0	0	0	8	0	0	4	
Average Hours	6	6	6	7	7	8	0	0	0	4	0	0	4	
Time-Off Awards: 9+ hours														
Total Time-Off Awards Given	1724	1573	75	76	16	6	0	0	1	3	0	6	0	
	100%	91.24%	4.35%	4.41%	0.93%	0.35%	0.00%	0.06%	0.17%	0.00%	0.35%	0.00%	0.00%	
Total Hours	33273	30294	1486	1493	331	128	0	24	67	0	112	0	0	
Average Hours	19	19	20	20	21	21	0	24	22	0	19	0	0	
Cash Awards: \$100 - \$500														
Total Cash Awards Given	1427	1258	81	88	10	1	0	0	3	1	0	0	0	
	100%	88.16%	5.68%	6.17%	0.70%	0.07%	0.00%	0.00%	0.21%	0.07%	0.00%	0.00%	0.00%	
Total Amount	\$563,069	\$499,850	\$31,134	\$32,085	\$2,900	\$450	\$0	\$0	\$1,100	\$200	\$0	\$0	\$0	
Average Amount	\$395	\$397	\$384	\$365	\$290	\$450	\$0	\$0	\$367	\$200	\$0	\$0	\$0	
Cash Awards: \$501+														
Total Cash Awards Given	5754	5320	250	184	27	4	7	2	4	3	0	20	2	
	100%	92.46%	4.34%	3.20%	0.47%	0.07%	0.12%	0.03%	0.07%	0.05%	0.00%	0.35%	10.00%	
Total Amount	\$8,621,714	\$7,985,496	\$430,126	\$206,092	\$37,617	\$4,550	\$10,855	\$10,948	\$3,750	\$3,125	\$0	\$27,304	\$3,600	
Average Amount	\$ 1,498	\$ 1,501	\$ 1,721	\$ 1,120	\$ 1,393	\$ 1,138	\$ 1,551	\$ 5,474	\$ 938	\$ 1,042	\$ 0	\$ 1,365	\$ 1,800	
Quality Step Increases (N/A)														
Total QSI Award	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%	

TABLE B14: SEPARATIONS BY TYPE OF SEPARATION—DISTRIBUTION BY DISABILITY

Type of Separation	TOTAL		Total by Disability Status					Detail for Targeted Disabilities							
	#	%	(05) No Disability	(01) Not Identified	(06-94) Disability	Targeted Disability	(16, 17) Deafness	(23, 25) Blindness	(28, 32-38) Missing Limbs	(64-68) Partial Paralysis	(71-78) Total Paralysis	(82) Convulsive Disorder	(90) Mental Retardation	(91) Mental Illness	(92) Distortion of Limb/Spine
Voluntary	215	100%	177	19	19	4	1	2	0	0	0	0	0	1	0
			82.33%	8.84%	8.84%	1.86%	0.47%	0.93%	0.00%	0.00%	0.00%	0.00%	0.00%	0.47%	0.00%
Involuntary	7	100%	6	0	1	0	0	0	0	0	0	0	0	0	0
			85.71%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total Separations	222	100%	183	19	20	4	1	2	0	0	0	0	0	1	0
			82.43%	8.56%	9.01%	1.80%	0.45%	0.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.45%	0.00%
Total Workforce	4235	100%	3826	205	204	40	7	4	2	3	3	6	1	13	1
			90.34%	4.84%	4.82%	0.94%	0.17%	0.09%	0.05%	0.07%	0.07%	0.14%	0.02%	0.31%	0.02%



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