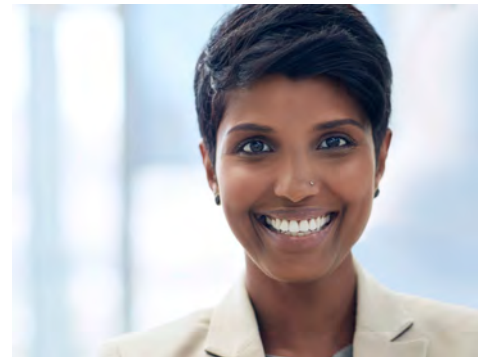


U.S. SECURITIES AND  
EXCHANGE COMMISSION

FISCAL YEAR 2015



# ANNUAL EQUAL EMPLOYMENT OPPORTUNITY PROGRAM STATUS REPORT

MANAGEMENT DIRECTIVE 715

U.S. SECURITIES AND EXCHANGE COMMISSION

ANNUAL EQUAL EMPLOYMENT  
OPPORTUNITY PROGRAM  
STATUS REPORT

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MANAGEMENT DIRECTIVE 715  
FISCAL YEAR 2015

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	<i>U.S. Equal Employment Opportunity Commission</i> <b>FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>		
<b>For period covering October 1, 2014 to September 30, 2015.</b>			
<b>PART A</b> Department or Agency Identifying Information	<b>1. Agency</b>		<b>1. U.S. Securities and Exchange Commission</b>
	1.a. 2 <sup>nd</sup> level reporting component		
	1.b. 3 <sup>rd</sup> level reporting component		
	1.c. 4 <sup>th</sup> level reporting component		
	<b>2. Address</b>		<b>2. 100 F Street, NE</b>
	<b>3. City, State, Zip Code</b>		<b>3. Washington, DC 20549</b>
	<b>4. CPDF Code</b>	<b>5. FIPS code(s)</b>	<b>4. SE00</b>
<b>PART B</b> Total Employment	<b>1. Enter total number of permanent full-time and part-time employees</b>		<b>1. 4310</b>
	<b>2. Enter total number of temporary employees</b>		<b>2. 130</b>
	<b>3. Enter total number employees paid from non-appropriated funds</b>		<b>3. 0</b>
	<b>4. TOTAL EMPLOYMENT [add lines B 1 through 3]</b>		<b>4. 4440</b>
<b>PART C</b> Agency Official(s) Responsible For Oversight of EEO Program(s)	<b>1. Head of Agency Official Title</b>		<b>1. Mary Jo White Chair</b>
	<b>2. Agency Head Designee</b>		<b>2. Alta G. Rodriguez, Director, Office of Equal Employment Opportunity (OEEO)</b>
	<b>3. Principal EEO Director/Official Title/series/grade</b>		<b>3. Alta G. Rodriguez, Director, OEEO</b>
	<b>4. Title VII Affirmative EEO Program Official</b>		<b>4. Alta G. Rodriguez, Director, OEEO</b>
	<b>5. Section 501 Affirmative Action Program Official</b>		<b>5. Alta G. Rodriguez, Director, OEEO</b>
	<b>6. Complaint Processing Program Manager</b>		<b>6. Alta G. Rodriguez, Director, OEEO</b>
	<b>7. Other Responsible Stakeholders</b>		<b>Lacey Dingman, Chief Human Capital Officer, Office of Human Resources</b>
		<b>Pamela A. Gibbs, Director, Office of Minority and Women Inclusion</b>	

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

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 <sup>1</sup>	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

<sup>1</sup> The SEC previously submitted the FY 2015 462 Report to the EEOC.

# EXECUTIVE SUMMARY (PART E)

<b>EEOC FORM 715-01 PART E</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>
U.S. Securities and Exchange Commission	<b>For period covering October 1, 2014 to September 30, 2015.</b>

## MISSION OF THE U.S. SECURITIES AND EXCHANGE COMMISSION

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

The SEC oversees 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. Currently, the SEC is charged with overseeing approximately 27,000 market participants, including nearly 12,000 investment advisers, almost 11,000 mutual funds and exchange-traded funds, over 4,000 broker-dealers, and over 400 transfer agents. The agency also oversees 18 national securities exchanges, 10 credit rating agencies, and six active registered clearing agencies, as well as the Public Company Accounting Oversight Board (PCAOB), Financial Industry Regulatory Authority (FINRA), the Municipal Securities Rulemaking Board (MSRB), the Securities Investor Protection Corporation (SIPC), and the Financial Accounting Standards Board (FASB). In addition, the SEC is responsible for selectively reviewing the disclosures and financial statements of over 9,100 reporting companies. In recent years, the SEC's responsibilities have also dramatically increased, adding new duties or expanded jurisdiction over securities-based derivatives, hedge fund and other private fund advisers, credit rating agencies, municipal advisors, and clearing agencies, as well as a responsibility to implement a new regime for crowdfunding offerings.

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, excellence, accountability, effectiveness, teamwork, and fairness. The SEC consists of five presidentially appointed Commissioners, with staggered five-year terms. One of them is designated by the President as Chair of the Commission who is responsible for the executive and administrative functions of the Commission. On April 10, 2013, Mary Jo White was sworn in as the 31st Chair of the SEC.

The SEC is organized into five divisions (Corporation Finance, Enforcement, Economic and Risk Analysis, Investment Management, and Trading and Markets) and 24 offices, 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 (Headquarters or Home Office). The agency also has 11 Regional Offices located throughout the country. As of September 30, 2015, the SEC had a total workforce of 4,440 employees, including 4,310 permanent employees and 130 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 October 6, 2015, which reads, in part:

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

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

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

All employees must fully participate in inquiries into allegations of discrimination, harassment and/or retaliation. Managers and supervisors must also participate in the alternative dispute resolution program for resolving EEO allegations, Conflict2Resolution (C2R), when the use of C2R is approved by the EEO Director....

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

As further evidence of senior leadership's commitment to equality of opportunity, the Chair and each Commissioner actively sponsor one or more of the nine Employee Resource Groups (ERGs). The Office of Equal Employment Opportunity (OEEO) had oversight responsibility for eight of the ERGs as part of the SEC's EEO Special Emphasis Programs until August 2015 when the responsibility was transferred to the Office of Minority and Women Inclusion (OMWI). 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 encourages 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. In 2015, nine SEC staff members were recognized for advancing diversity and inclusion at the Commission.

The SEC also promotes diversity through the efforts of OMWI, which was established in 2011, pursuant to Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act).<sup>2</sup> 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.

In 2015, SEC staff taught securities law courses at Florida International University and Howard University to expose diverse law students to the workings of the Commission and to the regulation of securities and securities markets.

### 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 is focusing 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 2015, 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, D.C., Chapter; National Black MBA Association; South Asian Bar Association of Washington, D.C.; Women's Bar Association of the District of Columbia; Diverse Partners Network; and the Thurgood Marshall College Fund.

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<sup>2</sup> See Section 342(b)(2)(A)-(C) (12 U.S.C. § 5452(b)(2)(A)-(C)).

The SEC is also focused on providing employment opportunities for individuals with disabilities. The SEC's goals, as reflected in its Disability Employment Plan, are to continue to attract, engage, hire, and retain individuals with disabilities. The number of SEC permanent employees with targeted disabilities increased in FY 2015 (from 39 in FY 2014 to 41 individuals in FY 2015). The percentage of SEC permanent employees with disabilities also increased from 4.91% in FY 2014 to 5.59% in FY 2015. *See Table B1.*

### Essential Element C: Management and Program Accountability

The OEEO Director reports directly to the Chair of the Commission. In FY 2015, 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. In FY 2015, OEEO had the support of three contract data analysts. OEEO compliance program functions include counseling, alternative dispute resolution, investigation, and final adjudication processes.

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 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 2015, 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 2015, OEEO recruited and trained two additional collateral duty EEO Counselors from the SEC's Regional Offices.

The SEC engaged in numerous actions to promote accountability of its EEO program during FY 2015. As required by the No FEAR Act, the SEC posted EEO complaint processing data on its internal and public websites. In FY 2015, for the fifth consecutive year, the SEC posted its FY 2014 Annual EEO Program Report on its internal and public websites in a Section 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 its proactive prevention efforts, the SEC publishes EEO policies covering harassment prevention, reasonable accommodation, and permissible religious expression on its internal website. The SEC also publishes information on the EEO complaint process, EEO policies, and the roles and responsibilities of OEEO on its internal and public websites. EEO posters are placed in high-traffic areas in SEC buildings and offices to provide employees and applicants for employment with notice of their EEO rights and to highlight the 45-day time limit for contacting an EEO Counselor or OEEO.

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

## Essential Element E: Efficiency

In FY 2015, 50 counseling matters were initiated, 27 formal EEO complaints were filed, and five Final Agency Decisions of no discrimination were issued. Most of the formal EEO complaints were based on claims of age, reprisal, and race and/or sex discrimination. Common issues raised in the formal EEO complaints were harassment (non-sexual), promotion/non-selection, and terms/conditions of employment.

In FY 2015, OEEO utilized its alternative dispute resolution (ADR) program, the Conflict-2-Resolution Program (C2R). While there are various forms of ADR, C2R primarily offers mediation and facilitation to resolve workplace disputes that include allegations of employment discrimination. In FY 2015, there were a total of 45 informal complaints processed. Among these 45 informal complaints, ADR was offered 36 times (reflecting an 80% offer rate) and 18 (or 50%) individuals elected ADR. In FY 2015, through C2R, seven mediations and four facilitations were conducted. Seven, or approximately 64%, of these 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. The SEC has addressed all gaps identified in prior fiscal years. *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 2015, the SEC had 4,440 employees, 4,310 permanent and 130 temporary. Of the 4,310 permanent employees, there were 2,321 (53.85%) males and 1,989 (46.15%) females. The SEC hired 394 permanent employees and there were 214 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	4.99	2.60	2.39
White	72.36	66.82	40.39	26.43
Black or African American	12.02	16.38	4.99	11.39
Asian	3.90	10.91	5.50	5.41
Native Hawaiian/Other Pacific Islander	0.14	0.07	0.02	0.05
American Indian/Alaska Native	1.08	0.42	0.28	0.14
Two or More Races	0.54	0.42	0.07	0.35

## Applicant Flow

In FY 2015, it became possible to remove duplicate entries from the applicant flow data due to OPM's addition of a unique identifier. The 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): 318 Applicants*

In FY 2015, the SEC received 318 applications and made 21 selections for economist positions. Of the 318 applicants, 145 (or less than half of the 318 applicants) voluntarily self-identified their diversity demographics. Of the 145 applicants who self-identified, 68.28% were male, and 31.72% were female. Only seven of the 21 selected applicants self-identified. The following are the demographics of the individuals who applied and self-identified for the economist positions, those who qualified for the positions, and the seven 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	17	7	1 (14.29%) female
White	65	28	4 (57.14%) males
African American	24	10	0
Asian	35	7	2 (28.57%) females
American Indian/ Alaska Native	4	0	0

The same number of Hispanic and Asian applicants who self-identified was deemed qualified (seven). Two Asians and one Hispanic were selected. Of the 24 African American applicants who self-identified, 10 were qualified and none were selected. Among the applicants who self-identified, White males (57.14%) and Asian females (28.57%) had the highest selection percentages. *See Table A7.*

*General Attorney (0905): 9,814 Applicants*

The SEC received 9,814 applications and made 142 selections for attorney positions. Of the 9,814 applicants, 4,311 self-identified. Of those who self-identified, 2,611 (60.57%) were male and 1,700 (39.43%) were female. Only 47 of the 142 selected applicants self-identified. Of the 47 selectees who self-identified, 18 were male and 29 were female. Twenty-seven (57.44%) of those selected and self-identified were White. Specifically, 25.53% were White males.

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	573	440	2 (4.26%), 1 male and 1 female
White	2231	1825	27 (57.44%), 12 males and 15 females
African American	828	621	6 (12.77%), 1 male and 5 females
Asian	559	433	10 (21.28%), 4 males and 6 females
Native Hawaiian/ Other Pacific Islander	3	3	0
American Indian/ Alaska Native	66	54	1 (2.13%) female

*Accountant (0510): 4,506 Applicants*

In FY 2015, the SEC received 4,506 applications and made 63 selections for accountant positions. Two thousand one hundred forty-five self-identified their demographics (1,147 males and 998 females). Only 27 of those selected self-identified. The demographics of the 1,294 applicants who self-identified, were deemed qualified, and were selected 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	339	198	7 (25.93%), 5 males and 2 females
White	703	422	12 (44.44%), 4 males and 8 females
African American	696	423	1 (3.70%) female
Asian	353	211	7 (25.93%), 4 males and 3 females
Native Hawaiian/ Other Pacific Islander	4	4	0
American Indian/ Alaska Native	12	8	0

*Securities and Compliance Examiners (1831): 6,178 Applicants*

In FY 2015, the SEC received 6,178 applications and made 43 selections for securities and compliance examiner (examiner) positions. Three thousand and ninety-three applicants voluntarily self-identified their demographics. Of the 3,093 that self-identified, 1,998 (64.60%) were male and 1,095 (35.40%) were female. Seventeen of those who self-identified were among the 43 selected as examiners. The following are the demographics of those who self-identified, were deemed qualified, and ultimately selected for the examiner positions.

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	548	367	0
White	1141	823	14 (82.35%), 8 males and 6 females
African American	1021	774	2 (11.76%), 1 male and 1 female
Asian	298	217	1 (5.88%) male
Native Hawaiian/ Other Pacific Islander	14	8	0
American Indian/ Alaska Native	16	11	0

The data reflects that African Americans represented almost 34.60% of those who qualified for the examiner positions and two African Americans were selected, representing 11.76% of selections of those who self-identified. White applicants represented 36.79% of those who were deemed qualified and represented 82.35% of those who self-identified and were selected. *See Table A7.*

In regard to applicant flow for individuals with disabilities, the SEC received applications from a total of 48,557 applicants in FY 2015. Of those 48,557 applicants, only 601 (1.24%) self-identified as having a targeted disability. In FY 2015, the Commission also on-boarded seven individuals with disabilities under Schedule A, none of whom had a targeted disability. *See Table B7.*

## New Hires

In FY 2015, the SEC hired 394 permanent employees, 218 (55.33%) males and 176 (44.67%) females. The following table reflects demographic information for the FY 2015 new hires. *See Tables A1 and A8.*

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	#	394	17	13	146	106	17	33	36	21	2	0
	%	100	4.31	3.30	37.06	26.90	4.31	8.38	9.14	5.33	0.51	0
Total Permanent Workforce	#	4310	112	103	1741	1139	215	491	237	233	12	6
	%	100	2.60	2.39	40.39	26.43	4.99	11.39	5.50	5.415	0.28	0.14
2010 CLF	%	100	5.17	4.79	38.33	34.03	5.49	6.53	1.97	1.93	.55	.53

The CLF does not provide benchmark data on disability statistics. Instead, the EEOC has established a workforce participation rate goal of two percent for persons with targeted disabilities (PWTD). 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. In addition, the Office of Personnel Management's (OPM) guidance, issued pursuant to Executive Order 13548, requires federal agencies to establish Disability Employment Plans consistent with the federal government goal of hiring 100,000 additional individuals with disabilities, including those with targeted disabilities.

The SEC's Disability Employment Plan established the following hiring goals: 6% of all new hires to be individuals with disabilities, and at least 1.5% of all new hires to be individuals with targeted disabilities. In FY 2015, the SEC hired 394 permanent employees, 22 of whom (5.58%) reported having a disability. Seven of the new hires (1.78%) were hired under Schedule A. In addition, the SEC onboarded two permanent employees with targeted disabilities, or 0.51% of permanent appointments made in FY 2015. *See Tables B7 and B8.*



## Participation Rates for SEC Major Occupations

The SEC has four mission critical occupations (MCOs): attorneys, accountants, examiners, and economists. In FY 2015, there were 4,310 permanent employees at the SEC. *See Table A1.* Of these permanent employees, there were 1,840 attorneys, 946 accountants, 215 examiners, and 80 economists. Accountants and attorneys comprised 64.64% of the SEC's FY 2015 permanent employees. *See Table A6.* SEC accountants and attorneys participated at levels above or within approximately 1% of the applicable occupational CLF rate, except for the demographic groups highlighted in bold below:

Job Title	Total	Male	Female	White	
				Male	Female
Accountants	946	541	405	420	257
	100%	57.19%	<b>42.81%</b>	44.40%	<b>27.17%</b>
Occupational CLF	100%	39.91%	60.09%	31.79%	44.23%
Attorneys	1840	1045	795	872	591
	100%	<b>56.79%</b>	43.21%	<b>47.39%</b>	32.12%
Occupational CLF	100%	66.70%	33.30%	59.68%	26.68%

*See Table A6, Permanent Workforce.*

The participation rates of both White male attorneys and White female accountants are below the occupational CLF. White female accountants' participation rate at the SEC (27.17%) is below the occupational CLF for White female accountants of 44.23%. This follows the same pattern as the overall participation rate of female accountants at the SEC (42.81%) compared to the occupational CLF for female accountants of 60.09%. This difference of over 17 percentage points will be further analyzed.

White male attorney participation at the SEC follows a similar pattern. The participation rate for White male attorneys at the SEC (47.39%) is below the occupational CLF for White male attorneys of 59.68%. Again, this follows the same pattern as the overall participation rate for male attorneys at the SEC (56.79%) compared to the occupational CLF for male attorneys of 66.70%. As such, these numbers denote triggers that require further analysis.

## 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 and SK-16; SK-15 to SK-17; and SK-14 through 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 1,934 permanent SK-14 employees, of whom females represent 44.16% (or 854 employees) and males represent 55.84% (or 1,080 employees). However, at the SK-15 level, there are 347 total employees with males making up 66.28% (or 230 employees) and females comprising 33.72% (or 117 employees). There are almost twice as many male SK-15s as female SK-15s. White males comprise the highest percentage in SK-15 (51.01%), SK-17 (50.94%), and SO levels (55.24%). Of the male SOs, 90.80% are White; of the male SK-17s, 87.56% are White; and of the male SK-15s, 76.96% are White. Similarly, of the female SOs, 80.36% are White; of the female SK-17s, 73.08% are White; and of the female SK-15s, 62.39% are White. *See Table A4-1, Permanent Employees.*

SEC Level	TOTAL	All		Hispanic or Latino		White		African American		Asian	
		M	F	M	F	M	F	M	F	M	F
SO #	143	87	56	3	1	79	45	3	5	2	5
SO %	100	60.84	39.16	2.10	0.70	55.24	31.47	2.10	3.50	1.40	3.50
SK 17 #	373	217	156	10	6	190	114	9	18	8	16
SK 17 %	100	58.18	41.82	2.68	1.61	50.94	30.56	2.41	4.83	2.14	4.29
SK 15 #	347	230	117	10	3	177	73	14	27	24	14
SK 15 %	100	66.28	33.72	2.88	0.86	51.01	21.04	4.03	7.78	6.92	4.03
SK 14 #	1934	1080	854	56	52	812	541	87	116	121	134
SK 14 %	100	55.84	44.16	2.90	2.69	41.99	27.97	4.50	6.00	6.26	6.93

In FY 2015, the number of female SOs increased from 48 to 56, and male SOs decreased from 89 to 87, as compared to FY 2014. The growth in the number of female SOs was reflected in White females (40 to 45) and Asian females (more than doubled from two to five). The decline in the number of male SOs occurred in the White male and Asian male demographic, with an increase in the Hispanic male demographic. In FY 2015, females experienced minimal gains at the SK-17 level (males increased by eight, and females by one), as compared to FY 2014. *See Table A4-1.*

## Internal Competitive Promotions

### Attorneys

In FY 2015, the SEC received 387 applications for 48 attorney competitive promotions. Of the 387 individuals, 359 were qualified for the promotions—217 males and 142 females. Of those selected for the promotions, 21 were male and 27 female. Although one individual with a targeted disability was qualified for promotion, the individual was not promoted. Whites comprised 276 (76.88%) of the qualified applicants and received 39 (81.25%) of the 48 competitive promotions, with White males receiving 37.50% of the promotions and White females receiving 43.75% of the promotions. A further demographic breakdown follows (*See Tables A9 and B9*):

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanics	18	16	1 (2.08%) male
White	291	276	39 (81.25%) 18 males and 21 females
African American	38	32	1 (2.08%) female
Asian	37	33	7 (14.59%), 2 males and 5 females
American Indian/ Alaska Native	3	2	0
Individuals with Disabilities	11	11	0
Individuals with Targeted Disabilities	1	1	0

### Accountants

The SEC received 129 applications for 42 accountant competitive promotions. Of the 129 applicants, 112 were deemed qualified (66 males and 46 females). Of the 42 individuals who received the competitive promotion, 23 were male and 19 female. Both of the two qualified individuals with disabilities were promoted. Detailed demographics follow (*See Tables A9 and B9*):

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanics	11	10	3 (7.14%), 1 male and 2 females
White	83	77	34 (80.95%), 19 males and 15 females
African American	15	9	0
Asian	20	16	5 (11.90%), 3 males and 2 females
Individuals with Disabilities	4	2	2 (4.76%)
Individuals with Targeted Disabilities	0	0	0

### Securities and Compliance Examiners

Finally, the SEC received 102 applications (79 from males and 23 from females) for 13 examiner promotions. Of the 102 applicants, 79 were deemed qualified (60 males and 19 females). Of the 13 selected, eight were male (61.54%) and five were female (38.46%). Only two individuals with a disability were qualified, and neither individual was promoted. The following chart reflects the demographic breakdown. *See Tables A9 and B9.*

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanics	7	4	0
White	76	57	8 (61.54%), 4 males and 4 females
African American	5	4	1 male (7.69%)
Asian	14	14	4 (30.77%), 3 males and 1 female
Individuals with Disabilities	2	2	0
Individuals with Targeted Disabilities	0	0	0

### Economists

During FY 2015, there were nine applications for three competitive economist promotions. The nine applicants and three selectees were all White males, none of whom self-identified as having a disability. *See Tables A9 and B9.* The lack of applicants from any other demographic group is a trigger that will be further analyzed.

### Career Ladder Promotions

A review of the SEC's non-competitive promotions reflects that of the 435 individuals eligible for career ladder promotions, 250 (57.47%) were male and 185 (42.53%) were female. No individuals exceeded their time-in-grade beyond 24 months. All four individuals with targeted disabilities received timely career ladder promotions. *See Tables A10 and B10.*

### Employee Recognition and Awards

A review of Table 13 reflects that males were given more time-off awards in FY 2015 than females. Females received approximately 47% of all time-off awards as compared to approximately 53% of all time-off awards to males. For cash awards in the amount of \$100-\$500, males received 47.71% of these awards, but had a higher average amount of \$385 compared to the average amount for females of \$367. Therefore, females received fewer time-off awards (1-9 hours and 9+ hours) and lower amounts of cash awards than their male counterparts. A review of Table B13 also reveals a lower-than-average cash award for individuals with disabilities (\$341) and individuals with targeted disabilities (\$314).

For cash awards of \$501 and more, males received 57.56% of these awards, with an average of \$1,311, while females received an average award of \$1,295. Cash awards of \$501 or more for individuals with disabilities averaged \$1,281 and \$1,473 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 2015, the SEC had a separation rate of less than 5% of its total workforce. Of the 214 voluntary separations, 14 were Hispanic, 149 were White, 29 were African American, 20 were Asian, and one was American Indian.

In FY 2015, 19 individuals who self-identified as having disabilities separated from the SEC, including two individuals with targeted disabilities: one with partial paralysis and one with mental illness. *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:

- 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, OEEO has included 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. In FY 2015, the SEC conducted four analyses to identify potential barriers to these demographic groups and completed one of the analyses regarding promotions at the SEC. *See Part I, infra.* The objectives and methodology the SEC used for each barrier analysis conform to EEOC guidelines and recommendations.

### Barriers to Executive (Senior Officer) Level Positions

As recommended by the EEOC, the SEC evaluated whether females, specifically Hispanic and Asian females, are encountering barriers to executive level positions. Work on this analysis was in progress at the time of this report. OEEO took the following actions:

- identified the typical background and experience of individuals selected to the senior grade levels;
- examined the recruitment and selection processes for the senior grade levels;
- met with OHR, OMWI, and other management officials about their recruitment efforts and the pool of qualified applicants;
- compared the applications of female candidates to those of the selected candidates;
- collected and reviewed the available hiring officials' ratings;
- interviewed female applicants about their perception of the selection process;
- reviewed employee exit survey results; and
- conducted 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 one percent of its workforce compared with the EEOC's goal of PWTD representing two percent of an agency's total workforce. The EEOC stated its expectation that the SEC should pinpoint policies, procedures, or practices that are negatively impacting the recruitment, selection, advancement, and retention of PWTD.

Work on this analysis was in progress at the time of this report. OEEEO took the following actions: analyzed applicable workforce demographic data from FY 2011-FY 2015; interviewed subject matter experts (SME) in the SEC's OHR and OMWI; researched and reviewed the law and federally mandated hiring and promotions policies, practices, and procedures applicable to the recruitment and retention of PWTD; reviewed the efficiency and effectiveness of the SEC's reasonable accommodation program; reviewed selection case files (hiring and promotions) for the second half of FY 2014 and the first half of FY 2015; reviewed Federal Employee Viewpoint Survey (FEVS) results; and interviewed disabled student service SMEs at Gallaudet University and Rochester Institute of Technology.

The SEC completed the following activities:

- trained managers and supervisors to ensure they are aware of how the Schedule A hiring authority is used by the SEC to hire persons with severe disabilities and managers' role in the recruitment and hiring process;<sup>3</sup>
- evaluated the career advancement opportunities for PWTD to and through the mission-critical occupations;
- surveyed disability organizations at universities near the SEC Headquarters Office and Regional Offices to obtain information that may improve recruitment of applicants with disabilities;
- improved the reporting capabilities of the disability accommodation program by upgrading the Disability Accommodation Request Tracking System (DARTS) data system for tracking requests for accommodations and maintaining information about accommodations provided; and
- hosted a Disability Hiring event to hire candidates with disabilities and continue to build a pipeline of applicants for future vacancies.

## Barrier Analysis for Hispanics in the SEC Workforce

In FY 2014, OEEEO identified a disparity in the percentage of Hispanic females and Hispanic males in the SEC workforce compared to their representation in the CLF. Hispanic females represented 2.41% of the SEC workforce in FY 2015 and Hispanic males represented 2.61%, both below the corresponding availability in the CLF of 4.79% for females and 5.17% for males. In FY 2015, the SEC hired 33 Hispanics (18 males and 15 females) and separated 15 (seven males and eight females). One of the 15 Hispanics was involuntarily separated. *See Tables A8 and A14.* Work on this analysis was in progress at the time of this report.

In FY 2015, OEEEO accomplished the following actions: examined the SEC's policies, practices, and procedures to determine the existence of any barriers to equality of opportunity for Hispanic applicants and employees; examined the recruitment and selection processes for mission critical occupa-

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<sup>3</sup> Schedule A, 5 CFR § 213.3102(u), provides for the hiring of people with severe physical disabilities, psychiatric disabilities, and intellectual disabilities.

tions; compared the percentage of qualified applicants to their availability in the feeder pool; and analyzed the occupational CLF for new hires.

## SUMMARY OF EEO PLAN ACTION ITEMS IMPLEMENTED OR ACCOMPLISHED

Based on deficiencies noted in the SEC's FY 2014 report, in FY 2015 program improvements included the participation of OEEEO program officials in agency deliberations prior to decisions regarding recruitment strategies and vacancies. Also, the EEO Director had regularly scheduled meetings with the Chief Human Capital Officer (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.

### Applicant Flow Data

The SEC received applicant data from OPM's 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.

### Barrier Analyses

The SEC contracted with a vendor to perform a barrier analysis on internal promotions at the SEC. The final report was received from the vendor at the end of FY 2015. In addition to this analysis, the SEC is conducting additional barrier analyses detailed in Part I of this report.

### Assessing Headquarters' Divisions and Offices Compliance with EEO Requirements

Due to a number of high priority projects, the SEC did not assess Divisions' and Offices' compliance with EEO laws, regulations, and guidance (EEO assessments) in FY 2015. However, the SEC did engage in discussions with three divisions focused on their respective practices and procedures in hiring attorneys, one of the SEC's major occupations. The SEC intends to conduct a number of EEO assessments starting in FY 2016.

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

The SEC currently provides training on the disability program to all new managers through the mandatory Leadership Development (LD) 307 "Fundamentals of HR Management" course, which highlights special hiring authorities including Schedule A, and also reasonable accommodations. Lunch and learn sessions on these topics are offered to managers throughout the course of the year, and the topic has also been highlighted as part of the SEC's "Tuesday Forum for Employee Relations" program. Additionally, the SEC trained Administrative Officers, who may advise supervisors and hiring officials, on reasonable accommodation during the 2015 Administrative Officers conference. In-depth, situation-specific training is provided as needed to individual managers who supervise employees with disabilities. The SEC will continue to build 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.

### *Informing New Employees*

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

### *American Sign Language Classes*

In FY 2015, the SEC University (SECU) continued to offer classes in beginning and intermediate American Sign Language in the workplace to employees and managers at Headquarters. The classes are continuing in FY 2016.

### *Protecting Confidential Medical Information*

Medical information is restricted to OHR staff in the Disability Programs 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 2015, the SEC's improved information technology to support telework increased the number of employees with disabilities who were accommodated with telework. In FY 2016, the Disability Accommodations Program will continue to ensure that effective accommodations are provided to employees with disabilities who telework.

In addition to these objectives, the SEC will continue 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**

### *Outreach and Recruitment*

In 2015, OMWI took affirmative steps to seek diversity in the SEC workforce by:

- Conducting over 60 workforce diversity outreach and recruitment events at universities and associations to inform professionals and students about SEC employment and internship opportunities;
- Engaging more than 250 SEC staff from Divisions and Offices across the Commission in workforce diversity and outreach efforts nation-wide;
- Hosting an on-the-spot recruitment event in SEC's New York Regional Office for accountants, attorneys, and examiners in partnership with diverse professional associations, minority-serving institutions, and women's colleges;



- Placing advertisements on over 200 job boards oriented toward minorities and women to promote current employment and internship opportunities;
- Partnering with 18 professional associations, educational organizations and institutions to inform diverse professionals and students about SEC career and internship opportunities;
- Exploring partnership opportunities with eight professional associations and universities in Hawaii to advance the representation of Native Hawaiian-Pacific Islanders in the SEC's workforce;
- Providing mentoring and financial literacy to more than 400 students from 18 partner high schools across the country;
- Publishing more than 80 reports to help improve workforce diversity decision-making at the SEC through strong research and sound analysis; and
- Delivering more than ten trainings to enhance workforce diversity and inclusion at the SEC.

*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. In FY 2015, each group had a SEC Commissioner as a sponsor and received program support from OEEEO, OMWI and OHR.

Nine ERGs were active in FY 2015:

- 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 2015, the SEC held a number of annual Heritage Month Events that included:

- [Disability Awareness Month](#)—SEC Staff Panel Discussion
- [Native American Heritage Month](#)—Keith Colston, Administrative Director for the Maryland Commission on Indian Affairs
- [African American History Month](#)—Paulette Brown, President-Elect, American Bar Association
- [Women's History Month](#)—Davita Vance-Cooks, Director and CEO, Government Publishing Office
- [Asian Pacific American Month](#)—Natyabhoomi School of Dance
- [Pride Month](#)—U.S. Congressman Mark A. Takano
- [Caribbean American Heritage Month](#)—Karl A. Racine, Attorney General, District of Columbia
- [Hispanic Heritage Month](#)—Edith Ramirez, Chairwoman, Federal Trade Commission

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

- **Women's Committee:** *Career Conversations* (December 2014 and February 2015); a book discussion "Thrive: The Third Metric to Redefining Success and Creating a Life of Well-Being, Wisdom, and Wonder."
- **American Indian Heritage Committee:** "The Pursuit of Inclusion: An In-Depth Exploration of the Experiences and Perspectives of Native American Attorneys in the Legal Profession."
- **Disability Issues Advisory Committee:** Interview with Management Series
- **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 two-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: Leadership Skills and Emotional Intelligence, Multi-Directional Leadership, Cross-Functional Leadership, Understanding Your Leadership Style and Resilience. SECU also developed the Chair's new Senior Officer Leadership Series in FY 2015, with the first distinguished speaker, former Coast Guard Commandant, Admiral Thad Allen, speaking to 60 Senior Officers about inspiring and sustaining a commitment to excellence in a prolonged high-tempo/high-stress environment. Several Senior Officers also participated in SECU's Executive Presence courses on Public Speaking and Media Training, as well as "Senior Women's Coffee Hours" hosted by OHR and OMWI.

The SEC offered four career development programs: Aspiring Leaders, Women in Leadership, Excellence in Government (EIG) Fellows Program, and Upward Mobility.

### *Aspiring Leaders*

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

- Applying critical leadership skills necessary for effective supervision.
- Understanding of first-line management responsibilities as they relate to Human Resource Management, Developing People, and Building Effective Relationships.
- Understanding of government policy, process, and regulations relevant to management positions in the Federal government.

- Developing skills to manage projects, delegate effectively, and achieve desired results at the first-line supervisory level.
- Increasing self-awareness through guided self-assessments and feedback from course instructors.

### Women in Leadership

The Women in Leadership program is an external leadership development program offered to supervisory SK-15 and SK-17 employees and conducted by the Brookings Institute. Through the Women in Leadership program, individuals from across federal agencies learn how to strengthen leadership qualities and explore key elements of senior leadership success while maintaining authenticity and balance. The learning objectives of this program include:

- Through individual assessment and feedback, build self-awareness of workplace behaviors (such as emotional intelligence, resiliency, and communication), and implement self-directed strategies to promote continued leadership competency.
- Promote effective relationships and network-building.
- Understand individual leadership competency strengths and opportunities for development.

### Excellence in Government Fellows

The Excellence in Government (EIG) Fellows Program coordinated by the Partnership for Public Service strengthens the leadership skills of experienced federal employees through a combination of innovative coursework, best practices benchmarking, challenging action-learning projects, executive coaching and government-wide networking. During this competitively-based program, Fellows remain in their full-time jobs, meet every six weeks and spend approximately 21 days total in session(s). Fellows also devote up to five hours per week to their results projects. This program is offered to employees in the SK-14 to SK-17 (a mix of supervisory and non-supervisory) levels.

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

### Upward Mobility

Upward Mobility is a two-year program designed and hosted by the SEC University for SEC employees. The training program focuses on strengthening the participant's skills in the competencies determined to be most critical for the participant's grade level through several in-person classes at Headquarters, virtual classes, a book club, and one-on-one counseling sessions. Year One of the program focuses on Leading Self, Delivering Results, Influencing Others, and Dealing with Change.

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

- **Diversity and Inclusion:** Cultural Climate Change—Participants examined the role of diversity and inclusion in creating a high-performing organization, and how they might acquire the cultural sensitivity to succeed in creating the climate needed to ensure both individual and organizational success. Participants also gained insight into their own cultural norms and how those norms may impact their effectiveness as a team member and organizational leader. Approximately 30 employees were trained.

- **Hiring Best Practices: EEO & Diversity Perspectives**—provided over 30 SEC supervisors with training on hiring best practices. This training was delivered as a partnership between OEEO and OMWI.

In addition, OHR continued its mandatory “Unconscious Bias and Performance Management Training for Supervisors” in FY 2015. A total of 435 employees were trained between October and December 2014. 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 Reasonable Accommodation Policies*

The SEC’s Disability Accommodation procedures were updated in June 2015 to include a Genetic Information Nondiscrimination Act (GINA) notice to Health Care Providers. The brief notice directed to healthcare professionals is included in all requests for medical information provided to employees. The text of the notice is:

#### **GINA Notice to Health Care Professional from the SEC Office of Human Resources**

The Genetic Information Nondiscrimination Act of 2008 (GINA) prohibits employers and other entities covered by GINA Title II from requesting or requiring genetic information of an individual or family member of the individual, except as specifically allowed by this law.

To comply with this law, we are asking that you not provide any genetic information when responding to this request for medical information. “Genetic information,” as defined by GINA, includes an individual’s family medical history, the results of an individual’s or family member’s genetic tests, the fact that an individual or an individual’s family member sought or received genetic services, and genetic information of a fetus carried by an individual or an individual’s family member or an embryo lawfully held by an individual or family member receiving assistive reproductive services.

For more information, see

<http://www.hhs.gov/ocr/privacy/hipaa/understanding/special/genetic/ginafinalrule.pdf>

This addition to the procedures is the only change since the procedures were most recently reviewed and approved by the EEOC in July 2014. A Section 508-compliant version of the Disability Accommodation procedures was posted to the SEC’s intranet and public website in July 2015. The disability accommodation procedures are currently undergoing a business process reengineering (BPR), and the resulting recommendations will be ready for EEOC review within the first six months of 2016.

The SEC automated the Reasonable Accommodation request process through the launch of the Disability Accommodation Request Tracking System (DARTS) on January 26, 2015. The system received over 150 requests in its first six months, and OHR continues to work on refining the system to streamline the process for requesting telework for medical purposes. The SEC’s Disability Program staff tracks requests for disability accommodation and approved accommodation requests.



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

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

I, 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)

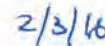
The agency has conducted an annual self-assessment of Section 717 and Section 501 programs against the essential elements as prescribed by EEO MD-715. If an essential element was not fully compliant with the standards of EEO MD-715, a further evaluation was conducted and, as appropriate, EEO Plans for 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

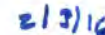


Date

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



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> <b>FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
U. S. Securities and Exchange Commission		FY 2015
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:	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:	December 1, 2014	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	July 2015	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>		<b>TARGET DATE (Must be specific)</b>
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.		Completed and ongoing.
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.		Completed and ongoing.
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
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.		
OEEO and OHR leadership met on a monthly basis during FY 2015 to address this essential element.		





# PLANS TO ELIMINATE IDENTIFIED BARRIER (PART I)

EEOC FORM 715-01 PART I	<i>U.S. Equal Employment Opportunity Commission</i> <b>FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
U. S. Securities and Exchange Commission	FY 2015	
<p><b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b></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><b>BARRIER ANALYSIS:</b></p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>Analyzed workforce demographic data for FY 2011-FY 2015.</p> <p>Conducted 14 focus groups with SEC female supervisors and managers at the SK-15, SK-17, and Senior Officer levels, interviewing a total of 72 female leaders.</p> <p>Interviewed subject matter experts in the Office of Human Resources and OMWI.</p> <p>Reviewed: (1) personnel policies that relate to hiring and promotion of Senior Officers at the SEC and corresponding written procedures; (2) Federal Employee Viewpoint Survey results for FY 2011-FY 2015, with particular emphasis on responses from female employees; (3) female employees' survey responses to a survey conducted by a vendor in July 2014 regarding promotions at the SEC; (4) complaint activity by females at the SK-15, SK-17 and Senior Officer levels; and (5) reviewed selection case files (hiring and promotions) for the second half of FY 2014 and the first half of FY 2015 and compared female candidates' resumes for SK-15, SK-17 and Senior Officer positions to the resumes of successful male candidates.</p> <p>Interviewed hiring officials regarding their experiences with female candidates.</p> <p>Interviewed females regarding their experiences in the hiring and promotions process.</p> <p>Reviewed applicant flow data for new hires and promotion to SK-15 to SO levels.</p> <p>Analyzed samplings of exit surveys for the FY 2012 – FY 2015 period.</p> <p>Conducted benchmarking of best practices throughout the government and private industry.</p>	
<p><b>STATEMENT OF IDENTIFIED BARRIER:</b></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>As of September 30, 2015, no barrier(s) had been identified.</p>	

<b>OBJECTIVE:</b> State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	Once potential barriers have been identified, implement action plans to eliminate them.
<b>RESPONSIBLE OFFICIAL:</b>	Alta G. Rodriguez, Director, Office of EEO Lacey Dingman, Chief Human Capital Officer, Office of Human Resources Pamela Gibbs, Director, Office of Minority and Women Inclusion
<b>DATE OBJECTIVE INITIATED:</b>	August 14, 2014
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>	April 30, 2016, and ongoing

<b>EEOC FORM 715-01 PART I</b>	<b>EEO Plan To Eliminate Identified Barrier</b>	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>	<b>TARGET DATE (Must be specific)</b>	
The analysis required by this Part I has been completed.	September 30, 2015	
Begin overseeing implementation of recommendations derived from this barrier analysis to eliminate any identified barriers.	By April 2016 and ongoing	
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
<p>In conducting this barrier analysis, OEEO:</p> <ul style="list-style-type: none"> <li>• Identified the typical background and experience of individuals selected to the senior grade levels.</li> <li>• Examined the recruitment and selection processes for the senior grade levels.</li> <li>• Met with OHR and management officials about their recruitment efforts and the pool of qualified applicants.</li> <li>• Compared the applications of female candidates to those of the selected candidates.</li> <li>• Collected and reviewed the available hiring officials' ratings.</li> <li>• Interviewed the hiring officials about their perception of female applicants.</li> <li>• Interviewed female applicants about their perception of the selection process.</li> <li>• Reviewed employee exit survey results and the results of a survey conducted regarding promotions at the SEC.</li> <li>• Interviewed females in the senior grade levels regarding their career advancement experiences.</li> <li>• Developed recommendations to address potential barriers.</li> </ul>		

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 2015	
<p><b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b></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 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%.</p>	
<p><b>BARRIER ANALYSIS:</b></p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>In conducting the barrier analysis, OEEO:</p> <ul style="list-style-type: none"> <li>• Analyzed workforce demographic data from FY 2011-FY 2015;</li> <li>• Interviewed subject matter experts in the SEC's Office of Human Resources and Office of Minority and Women Inclusion;</li> <li>• Reviewed the agency's hiring and promotions policies, practices, and procedures;</li> <li>• Reviewed 107 selection case files (for hiring and promotions) for the second half of FY 2014 and the first half of FY 2015;</li> <li>• Analyzed applicant flow data for hiring and competitive promotions in the SEC's mission critical occupations (MCOs);</li> <li>• Reviewed 2015 Federal Employee Viewpoint Survey results and the results of a vendor-conducted survey of SEC employees regarding promotion opportunities at the Commission;</li> <li>• Conducted Focus Groups with 13 Hispanic supervisors and managers at SK-15 and SK-17 levels;</li> <li>• Interviewed several law school career development personnel regarding the pipeline of Hispanic students/attorneys;</li> <li>• Reviewed EEO complaint activity (FY 2011-FY 2015) and exit surveys (FY 2012-FY 2015) to better understand the reasons Hispanics are voluntarily separating from the agency; and</li> <li>• Researched best practices in recruiting and retaining Hispanic employees in federal government and private industry.</li> </ul>	
<p><b>STATEMENT OF IDENTIFIED BARRIER:</b></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>As of September 30, 2015, no barrier(s) had been identified.</p>	
<p><b>OBJECTIVE:</b></p> <p>State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>Once potential barriers have been identified, implement action plans to eliminate them.</p>	
<p><b>RESPONSIBLE OFFICIAL:</b></p>	<p>Alta G. Rodriguez, Director, Office of EEO Pamela Gibbs, Director, Office of Minority and Women Inclusion</p>	
<p><b>DATE OBJECTIVE INITIATED:</b></p>	<p>August 14, 2014</p>	
<p><b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b></p>	<p>March 30, 2016, and ongoing</p>	

EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>	<b>TARGET DATE (Must be specific)</b>	
The analysis required by this Part I has been completed.	September 30, 2015	
Begin overseeing implementation of recommendations, if appropriate, to eliminate the potential barriers.	By March 2016 and ongoing	
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
<p>In conducting this barrier analysis, OEEO:</p> <ul style="list-style-type: none"> <li>• Analyzed workforce demographic data from FY 2011-FY 2015;</li> <li>• Interviewed subject matter experts in the SEC's Office of Human Resources and Office of Minority and Women Inclusion;</li> <li>• Reviewed the agency's hiring and promotions policies, practices, and procedures;</li> <li>• Reviewed 107 selection case files (for hiring and promotions) for the second half of FY 2014 and the first half of FY 2015;</li> <li>• Analyzed applicant flow data for hiring and competitive promotions in the SEC's MCOs;</li> <li>• Reviewed 2015 Federal Employee Viewpoint Survey results and the results of a vendor-conducted survey of SEC employees regarding promotion opportunities at the Commission;</li> <li>• Conducted Focus Groups with 13 Hispanic supervisors and managers at SK-15 and SK-17 levels;</li> <li>• Interviewed several law school career development personnel regarding the pipeline of Hispanic students/attorneys;</li> <li>• Reviewed EEO complaint activity (FY 2011-FY 2015) and exit surveys (FY 2012-FY 2015) to better understand the reasons Hispanics are voluntarily separating from the agency; and</li> <li>• Researched best practices in recruiting and retaining Hispanic employees in federal government and private industry.</li> </ul>		

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 2015	
<b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b>  Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?	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.	
<b>BARRIER ANALYSIS:</b>  Provide a description of the steps taken and data analyzed to determine cause of the condition.	The Office of Equal Employment Opportunity (OEEO): <ul style="list-style-type: none"> <li>• Analyzed applicable workforce demographic data from FY 2011-FY 2015;</li> <li>• Interviewed subject matter experts in the SEC's OHR and the Office of Minority and Women Inclusion;</li> <li>• Researched and reviewed the law and federally mandated hiring and promotions policies, practices, and procedures applicable to recruitment and retention of PWTD;</li> <li>• Reviewed the agency's hiring and promotions policies, practices, and procedures applicable to people with disabilities, including PWTD;</li> <li>• Reviewed the efficiency and effectiveness of the SEC's reasonable accommodation program;</li> <li>• Reviewed selection case files (hiring and promotions) for the second half of FY 2014 and the first half of FY 2015;</li> <li>• Reviewed Federal Employee Viewpoint Survey results; and</li> <li>• Interviewed disabled student service SMEs at Gallaudet University and Rochester Institute of Technology.</li> </ul>	
<b>STATEMENT OF IDENTIFIED BARRIER:</b>  Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	As of September 30, 2015, no barrier(s) had been identified.	
<b>OBJECTIVE:</b>  State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	Once potential barriers have been identified, implement action plans to eliminate them.	
<b>RESPONSIBLE OFFICIAL:</b>	Alta G. Rodriguez, Director, Office of EEO Lacey Dingman, Chief Human Capital Officer, Office of Human Resources	
<b>DATE OBJECTIVE INITIATED:</b>	August 14, 2014	
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>	February 28, 2016, and ongoing	

EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>	<b>TARGET DATE (Must be specific)</b>	
The analysis required by this Part I has been completed.	September 2015	
Begin overseeing implementation of recommendations, if appropriate, to eliminate the potential barriers, including holding managers and supervisors accountable for meeting the SEC's hiring goals highlighted in the Disability Employment Plan.	February 2016	
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
<p>The Office of Equal Employment Opportunity (OEEO):</p> <ul style="list-style-type: none"> <li>• Analyzed applicable workforce demographic data from FY 2011-FY 2015.</li> <li>• Interviewed subject matter experts (SMEs) in the SEC's OHR and the Office of Minority and Women Inclusion.</li> <li>• Researched and reviewed the law and federally mandated hiring and promotions policies, practices, and procedures applicable to recruitment and retention of PWTD.</li> <li>• Reviewed the agency's hiring and promotions policies, practices, and procedures applicable to people with disabilities, including PWTD.</li> <li>• Reviewed the efficiency and effectiveness of the SEC's reasonable accommodation program.</li> <li>• Reviewed selection case files (hiring and promotions) for the second half of FY 2014 and the first half of FY 2015.</li> <li>• Reviewed Federal Employee Viewpoint Survey (FEVS) results.</li> <li>• Interviewed disabled student service SMEs at Gallaudet University and Rochester Institute of Technology.</li> </ul>		
<p>The SEC engaged in the following recruitment/outreach initiatives:</p> <ul style="list-style-type: none"> <li>• Partnered with the Department of the Army's Wounded Warriors Program and Department of Labor to successfully implement the SEC's first Disability Hiring Event, which resulted in the direct hire of two persons with disabilities.</li> <li>• Participated in two additional Career Fairs: EOP Career Fair and Veterans Resource Expo.</li> <li>• Partnered with George Mason University and implemented the MASON Life Program at the SEC, and sponsored internships for students with intellectual and physical disabilities.</li> <li>• Partnered with SEC's Disability Issues Advisory Committee (DIAC) to solicit participation in Career Fairs and leverage their professional partnerships with other organizations.</li> <li>• Explored recruiting strategies among various Federal and state rehabilitation centers and affinity groups.</li> <li>• Attended and sponsored the New Perspectives training conference.</li> </ul>		
Resurveyed SEC workforce to determine if there was a change in the disability status of employees.		
<p>The SEC has completed and will continue to:</p> <ul style="list-style-type: none"> <li>• Train managers and supervisors to ensure they are aware of how the Schedule A hiring authority is used by the SEC to hire persons with severe disabilities and their role in the recruitment and hiring process.</li> <li>• Survey disability organizations at universities near the SEC Home Office and Regional Offices to obtain information to improve recruitment of applicants with disabilities.</li> <li>• Improve the efficiency and effectiveness of the disability accommodation program by utilizing the Disability Accommodation Request Tracking System (DARTS) to track requests and maintain information about accommodations provided.</li> <li>• Use the Hiring Checklist in strategic conversations with hiring managers to ensure they are aware of flexibilities available to hire persons with disabilities.</li> </ul>		

EEOC FORM 715-01 PART I	<i>U.S. Equal Employment Opportunity Commission</i> <b>FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
U. S. Securities and Exchange Commission	FY 2015	
<b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b>  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.	
<b>BARRIER ANALYSIS:</b>  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).	
<b>STATEMENT OF IDENTIFIED BARRIER:</b>  Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	No barrier was identified; pending further qualitative and quantitative data analysis.	
<b>OBJECTIVE:</b>  State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	The agency has not determined yet if any policies, procedures or practices need to be revised.	
<b>RESPONSIBLE OFFICIAL:</b>	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	
<b>DATE OBJECTIVE INITIATED:</b>	December 8, 2014	
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>	Modified: July 31, 2017	
EEOC FORM 715-01 PART I	<b>EEO Plan To Eliminate Identified Barrier</b>	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>	<b>TARGET DATE (Must be specific)</b>	
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.	Modified: January 31, 2017	
In addition to the current partnerships the SEC has with diverse professional associations and organizations, the SEC will partner with four colleges/universities with a high population of female students and host career and branding events to increase the female candidate talent pool.	January 31, 2017	
To the extent the SEC identifies potential barriers for female applicants, develop and implement an action plan to eliminate the identified potential barriers.	Modified: July 31, 2017	
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
The SEC analyzed and will continue to analyze applicant flow data on a quarterly basis.		
The SEC partnered with the National Society of Compliance Professionals (NSCP) to post vacancy announcements and also participated in their annual conference hosting a Career Panel. The SEC will continue its partnership with NSCP.		



EEOC FORM 715-01 PART I	<i>U.S. Equal Employment Opportunity Commission</i> <b>FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
U. S. Securities and Exchange Commission	FY 2015	
<b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b>  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.	
<b>BARRIER ANALYSIS:</b>  Provide a description of the steps taken and data analyzed to determine cause of the condition.	Reviewed internal promotions data, Tables A9 and B9.	
<b>STATEMENT OF IDENTIFIED BARRIER:</b>  Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	Potential Barrier #1: Due to employee perceptions regarding how management fills positions, employees from certain demographic groups applied for promotions at lower rates than their comparator group.  Potential Barrier #2: Managers were not completely adhering to the Office of Personnel Management's uniform personnel practices and guidelines, potentially resulting in unequal treatment of individuals competing for promotions.	
<b>OBJECTIVE:</b>  State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	Begin implementing recommended action items to eliminate the potential barriers identified.	
<b>RESPONSIBLE OFFICIAL:</b>	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	
<b>DATE OBJECTIVE INITIATED:</b>	December 8, 2014	
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>	April 30, 2016, and ongoing	
EEOC FORM 715-01 PART I	<b>EEO Plan To Eliminate Identified Barrier</b>	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>	<b>TARGET DATE (Must be specific)</b>	
Continue to monitor promotions activity for additional triggers and to determine the need to implement additional strategies.	Modified: October 1, 2016	
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
Vendor finalized the barrier analysis on promotions.	October 5, 2015	
SEC developed plan to implement recommendations resulting from the barrier analysis on promotions.	December 1, 2015	

EEOC FORM 715-01 PART I	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
U. S. Securities and Exchange Commission	FY 2015	
<p><b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b></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 were given more time-off awards than males (approximately 52% to females and 48% to males), and males received more cash awards (between 51% and 55%) than females in FY 2014. 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 were, on average, \$1,120.</p>	
<p><b>BARRIER ANALYSIS:</b></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><b>STATEMENT OF IDENTIFIED BARRIER:</b></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><b>OBJECTIVE:</b></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><b>RESPONSIBLE OFFICIAL:</b></p>	<p>Lacey Dingman, Chief Human Capital Officer, Office of Human Resources Alta G. Rodriguez, Director, Office of Equal Employment Opportunity</p>	
<p><b>DATE OBJECTIVE INITIATED:</b></p>	December 8, 2014	
<p><b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b></p>	Modified: March 31, 2017	
EEOC FORM 715-01 PART I	<b>EEO Plan To Eliminate Identified Barrier</b>	
<p><b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b></p>	<p><b>TARGET DATE (Must be specific)</b></p>	
Identify existing policies and procedures regarding awards and develop an action plan to identify any barriers.	Modified: May 31, 2016	
Start conducting in-depth analysis of employee recognition and awards.	Modified: June 30, 2016	
Begin implementation of recommendations resulting from the barrier analysis on employee recognition and awards.	Modified: March 31, 2017	
<p><b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b></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> <b>FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
U. S. Securities and Exchange Commission	FY 2015	
<b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b>  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, had participation rates lower than the occupational CLF (over 16 percentage points) in FY 2014. The White female accountant CLF is 44.23%, whereas White females comprised 27.52% of the SEC's accountants.	
<b>BARRIER ANALYSIS:</b>  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).	
<b>STATEMENT OF IDENTIFIED BARRIER:</b>  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.	
<b>OBJECTIVE:</b>  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.	
<b>RESPONSIBLE OFFICIAL:</b>	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	
<b>DATE OBJECTIVE INITIATED:</b>	September 30, 2010	
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>	September 30, 2017	
EEOC FORM 715-01 PART I	<b>EEO Plan To Eliminate Identified Barrier</b>	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>	<b>TARGET DATE (Must be specific)</b>	
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	
Of the four colleges and universities that the SEC will target for recruitment and branding, three of the schools will focus on the universities' Accounting programs to attract a strong female accounting talent pool.	January 31, 2017	
To the extent SEC identifies barriers for female accountants, develop and implement an action plan to eliminate the identified barriers.	September 30, 2017	
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
The SEC analyzed and will continue to analyze applicant flow data on a quarterly basis.		

<b>EEOC FORM 715-01 PART I</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
U. S. Securities and Exchange Commission	FY 2015	
<b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b>  Provide a brief narrative describing the condition at issue.  How was the condition recognized as a potential barrier?	Male attorneys at the SEC had participation rates lower than the occupational CLF (9.10 percentage points) in FY 2014. Male attorneys comprised 66.70% of the occupational CLF and 57.60% of the SEC's major occupation category.	
<b>BARRIER ANALYSIS:</b>  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).	
<b>STATEMENT OF IDENTIFIED BARRIER:</b>  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.	
<b>OBJECTIVE:</b>  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.	
<b>RESPONSIBLE OFFICIAL:</b>	Lacey Dingman, Chief Human Capital Officer, Office of Human Resources Alta G. Rodriguez, Director Office of Equal Employment Opportunity	
<b>DATE OBJECTIVE INITIATED:</b>	September 30, 2010	
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>	September 30, 2017	
<b>EEOC FORM 715-01 PART I</b>	<b>EEO Plan To Eliminate Identified Barrier</b>	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>	<b>TARGET DATE (Must be specific)</b>	
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	
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
The SEC analyzed and 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> <b>FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b> <b>Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities</b>								
<b>PART I Department or Agency Information</b>	1. Agency		1. Securities and Exchange Commission						
	1.a. 2nd Level Component		1.a.						
	1.b. 3rd Level or lower		1.b.						
<b>PART II Employment Trend and Special Recruitment for Individuals With Targeted Disabilities</b>	Enter Actual Number at the ...	... beginning of FY.		... end of FY.		Net Change			
		Number	%	Number	%	Number	Rate of Change		
	Total Workforce	4235	100.00%	4440	100.00%	205	4.84%		
	Reportable Disability	204	4.82%	247	5.56%	43	21.1%		
	Targeted Disability*	40	0.94%	42	0.95%	2	5.0%		
	* 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. <b>Total Number of Applications Received From Persons With Targeted Disabilities</b> during the reporting period.					601			
2. <b>Total Number of Selections of Individuals with Targeted Disabilities</b> during the reporting period.					2				
<b>PART III Participation Rates In Agency Employment Programs</b>									
<b>Other Employment/Personnel Programs</b>	<b>TOTAL</b>	<b>Reportable Disability</b>		<b>Targeted Disability</b>		<b>Not Identified</b>		<b>No Disability</b>	
		#	%	#	%	#	%	#	%
3. Competitive Promotions for major occupations	106	2	1.89	0	0.00	4	3.77	100	94.34
4. Non-Competitive Promotions	435	18	4.14	4	0.92	41	9.43	376	86.44
5. Employee Career Development Programs	52	2	3.85	0	0.00	2	3.85	48	92.31
5.a. Grades 5 - 12	7	0	0.00	0	0.00	0	0.00	7	100
5.b. Grades 13 - 14	36	2	5.56	0	0.00	2	5.56	32	88.89
5.c. Grade 15-17/SO	9	0	0.00	0	0	0	0	9	100
6. Employee Recognition and Awards									
6.a. Time-Off Awards (Total hours awarded for 9+ hours category)	1286	69	5.37	15	1.17	68	5.29	1149	89.35

6.b. Cash Awards (total \$\$\$ awarded for \$501+ category)	3944	163	4.13	23	0.58	177	4.49	3604	91.38
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 2015, the SEC attended the National Capital Region Veteran Resource Expo and engaged with the Department of Defense's Operation Warfighter program, which places wounded, ill, and injured service members into federal internship opportunities, to successfully on-board an intern in the SEC's Forth Worth Regional Office. The Operation Warfighter Program presents an opportunity for transitioning service members to augment their employment readiness by building their resumes, exploring employment interests, developing job skills, benefitting from both formal and on-the-job training opportunities, and gaining valuable Federal government work experience, while simultaneously enabling Federal employers to familiarize themselves with the skills sets and challenges of ill and injured service members as they also benefit from the talent and dedication of program participants.
3. Attend/Sponsor recruitment events.	Market SEC to applicants with disabilities.	In FY 2015, the SEC sponsored a Disability Hiring event which yielded the direct hire of 2 persons with disabilities. The SEC will host another SEC Disability Hiring Event in FY 2016. The SEC will partner with other government agencies on their best practices and institute as appropriate, and attend Career Events that will leverage the best branding efforts for the Commission.
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.	Continued to address special hiring authorities, including Schedule A, in conversations with hiring managers. A 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. In FY 2016, the SEC plans to expand Brown Bag sessions for hiring managers describing the benefits of the Schedule A hiring process.
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: <ul style="list-style-type: none"> <li>EARN – Employer Assistance Resource Network: <a href="http://askearn.org">http://askearn.org</a></li> <li>JAN – Job Accommodation Network <a href="http://askjan.org">http://askjan.org</a></li> <li>ODEP – Office of Disability Employment Policy, DOL: <a href="http://www.dol.gov/odep/">http://www.dol.gov/odep/</a></li> </ul> Additionally, the SEC established a new partnership with FEDS First, an organization for Federal Employees with Disabilities.

**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 2015.
2. Monitor use of special hiring authorities in relation to hiring goals.	Hiring metrics	Every month and at the end of the fiscal year, the SEC's Office of the Chief Operating Officer publishes metrics for disability hiring.
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.	(1) In a discussion with hearing impaired 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.  (2) 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. This partnership will continue into FY 2016. Attendees included a number of SEC managers who supervise deaf and hearing impaired employees.  (3) 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 new SEC managers participated in mandatory training regarding the reasonable accommodation process as part of the LD 307 "Fundamentals of Human Resource Management" training.



<b>F. EXTERNAL AND INTERNAL COMMUNICATION OF AGENCY POLICIES AND PROCEDURES</b>		
<b>Action Items</b>	<b>Key Deliverables/Output</b>	<b>Narrative Description</b>
1. Develop improved communications strategy.	Accessible information for SEC employees related to employment at the SEC.	OHR maintains a portal on the SEC's intranet which provides employees with information about hiring, compensation and benefits, employee development, performance management, and disability accommodations, amongst other topics. In addition, 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 2015, OHR updated its portal to include information on the Upward Mobility and Voluntary Reassignment programs, as well as the updated Disability Accommodation request procedures. The Chief Human Capital Officer is an active member of the SEC Veterans Committee which hosts a website that includes information concerning veterans' benefits to include a link to the "Feds Hire Vets" website that highlights special hiring authorities for veterans.
2. Make more information about the disability employment program, available on SEC's public website and 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 ( <a href="http://www.sec.gov/disability/sec_access.htm">http://www.sec.gov/disability/sec_access.htm</a> ). 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 <a href="http://www.opm.gov/policy-data-oversight/disability-employment/selective-placement-program-coordinator-directory/">http://www.opm.gov/policy-data-oversight/disability-employment/selective-placement-program-coordinator-directory/</a> .  In FY 2015, SEC's updated Disability Accommodation procedures were posted to SEC.gov.
<b>G. TRAINING AND EDUCATION</b>		
<b>Action Items</b>	<b>Key Deliverables/Output</b>	<b>Narrative Description</b>
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.	In FY 2015, the SEC named a new full-time Selective Placement Program Coordinator to focus on disability recruitment, hiring, and retention.
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.	All new managers attend the Leadership Development 307 course, "Fundamentals of HR Management," which highlights special hiring authorities, including Schedule A, and also reasonable accommodations. In addition, OHR held a "Brown Bag" lunch and learn session for existing managers in FY 2015, to educate them on the benefits and uses of Schedule A authority to hire individuals with disabilities.
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 American Sign Language (ASL) and cultural awareness for interested SEC employees and managers in FY 2015. The program will be offered again in FY 2016.
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

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

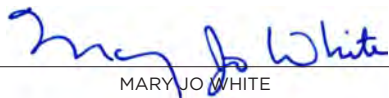
For this reason and because it is the right thing to do, we must all strongly support our nation's equal employment opportunity (EEO) laws. These laws apply to the SEC's personnel policies, practices, and procedures, including but not limited to: recruitment, hiring, promotion, separation, performance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

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

All employees must fully participate in inquiries into allegations of discrimination, harassment and/or retaliation. Managers and supervisors must also participate in the alternative dispute resolution program for resolving EEO allegations, Conflict2Resolution (C2R), when the use of C2R is approved by the EEO Director.

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

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



MARY JO WHITE

October 6, 2015  
DATE

# POLICY ON PREVENTING HARASSMENT (PPH)

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

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

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

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

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

## Reporting Harassment

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

To report harassment or to obtain more information on the SEC's PPH, EEO Policy, or other EEO-related matters, please contact OEEO by telephone (202) 551-6040, fax (202) 772-9316, or in person (SP111, Suite 2900). OEEO will accept reports from individuals who prefer to remain anonymous. Additional information is also available on OEEO's webpage on The INSIDER. TTY users should call the Federal Relay Service at (800) 877-8339 to be connected with OEEO.

## Reporting Responsibility of Managers/Supervisors

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

## OEEO's Responsibility

OEEO, in coordination with management and/or the Office of Human Resources, as appropriate, will conduct a prompt, thorough, and impartial inquiry into conduct that may violate the PPH. All SEC employees must fully participate in any such inquiry. As part of its inquiry, OEEO will: (1) explain to the involved parties the obligations under the PPH; (2) explain to the alleged harasser the behavior considered objectionable; and (3) notify the appropriate management officials so that the alleged objectionable conduct is addressed immediately.

## Retaliation Prohibited

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

## PPH Inquiry/EEO Complaint

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

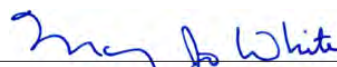
## Confidentiality

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

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

October 6, 2015

DATE

  
MARY JO WHITE

# FISCAL YEAR 2015 462 REPORT

The SEC previously submitted the FY 2015 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, D.C.

The SEC consists of five presidentially appointed Commissioners with staggered five-year terms. One of the Commissioners is designated by the President as the Chair of the Commission—the Commission's chief executive. The agency's functional responsibilities are organized into five divisions and 24 Offices, each of which is headquartered in Washington, D.C. The Commission's staff is located in Washington, D.C., and 11 Regional Offices throughout the country. Divisions and Offices Include:

## Five Divisions

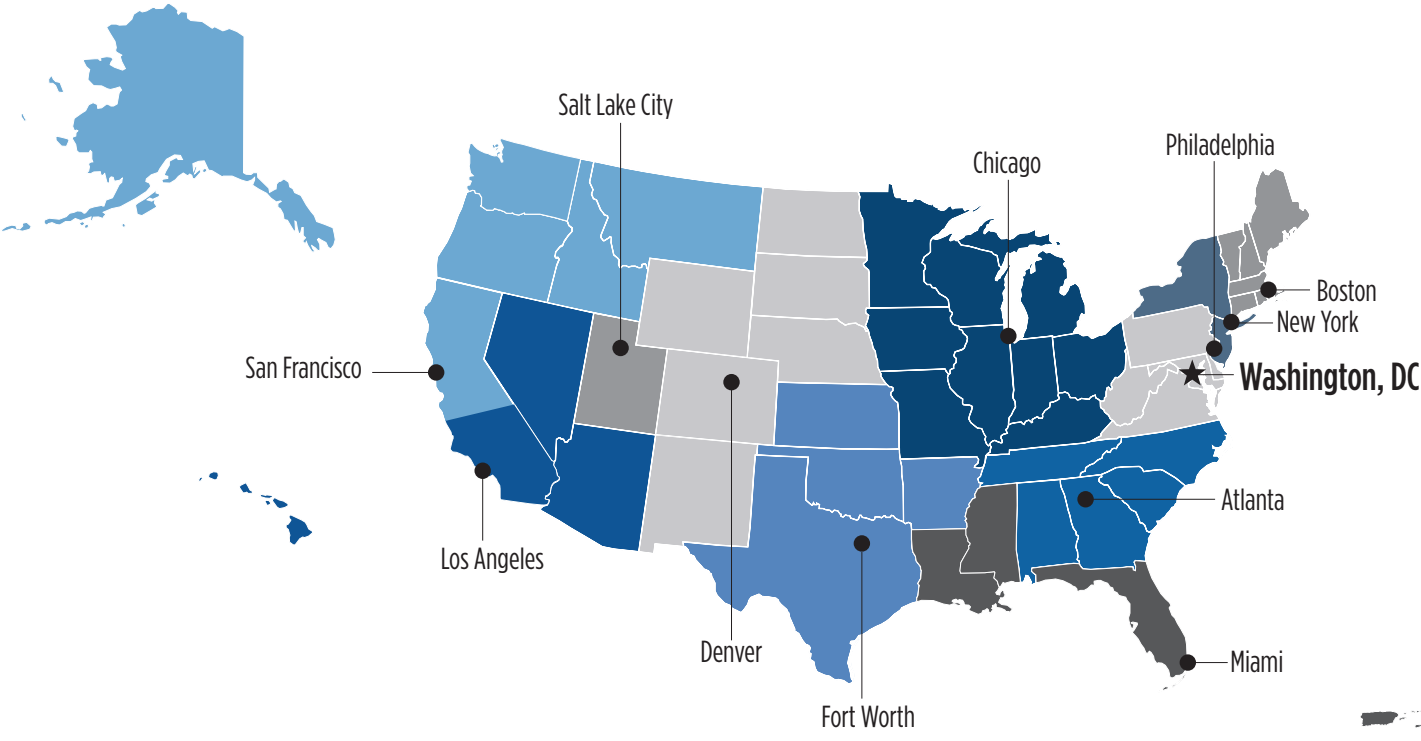
- Corporation Finance
- Enforcement
- Investment Management
- Economic and Risk Analysis
- Trading and Markets

## Twenty-four Offices

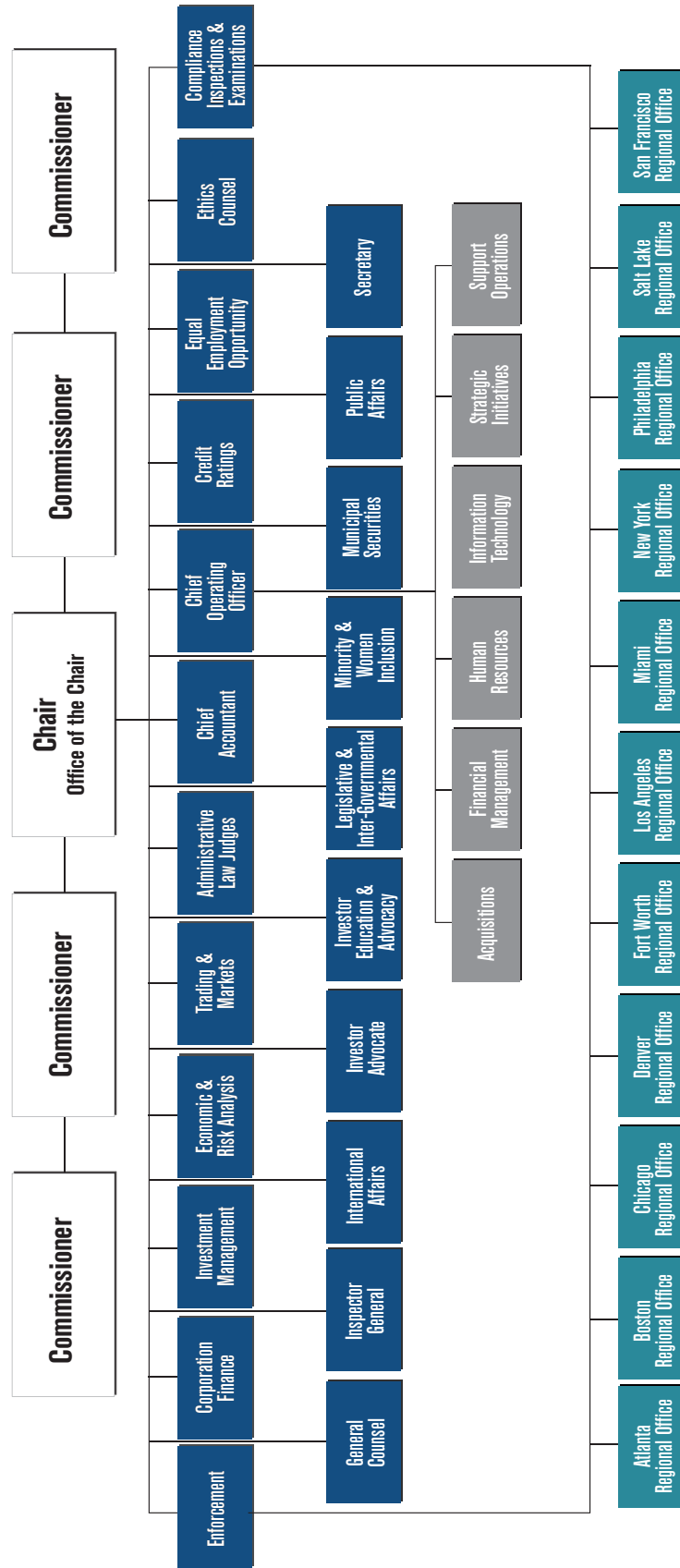
- Acquisitions
- Administrative Law Judges
- Chair
- Chief Accountant
- Chief Operating Officer
- Compliance Inspections and Examinations
- Credit Ratings
- Equal Employment Opportunity
- Ethics Counsel
- Financial Management
- General Counsel
- Human Resources
- Information Technology
- Inspector General
- International Affairs
- Investor Advocate
- Investor Education and Advocacy
- Legislative and Intergovernmental Affairs
- Minority and Women Inclusion
- Municipal Securities
- Public Affairs
- Secretary
- Strategic Initiatives
- 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 201421 TO 201521

Employment Tenure	RACE/ETHNICITY																
	TOTAL WORKFORCE						Non-Hispanic or Latino								Two or more races		
	All	male	female	Hispanic or Latino	White	Black or African American	Asian	Native Hawaiian or Other Pacific Islander	American Indian or Alaska Native	male	female	male	female	male	female		
<b>TOTAL</b>																	
Prior FY	#	4235	2284	1951	93	1733	1119	486	219	226	232	1	4	10	5	2	9
	%	100%	53.93%	46.07%	2.20%	40.92%	26.42%	5.17%	11.48%	5.34%	5.48%	0.02%	0.09%	0.24%	0.12%	0.05%	0.21%
Current FY	#	4440	2402	2038	116	1792	1159	500	222	256	246	1	4	12	6	3	16
	%	100%	54.10%	45.90%	2.61%	40.36%	26.10%	5.00%	11.26%	5.77%	5.54%	0.02%	0.09%	0.27%	0.14%	0.07%	0.36%
CLF (2010)	%		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%
Difference	#	205	118	87	23	59	40	3	14	30	14	0	0	2	1	1	7
Ratio Change	%	0.00%	0.17%	-0.17%	0.42%	-0.56%	-0.32%	-0.17%	-0.21%	0.43%	0.06%	0.00%	0.00%	0.03%	0.02%	0.02%	0.15%
Net Change	%	4.84%	5.17%	4.46%	24.73%	3.40%	3.57%	1.37%	2.88%	13.27%	6.03%	0.00%	0.00%	20.00%	20.00%	50.00%	77.78%
<b>PERMANENT</b>																	
Prior FY	#	4097	2198	1899	92	1675	1094	209	209	209	222	1	2	10	5	2	8
	%	100%	53.65%	46.35%	2.25%	40.88%	26.70%	5.10%	11.59%	5.10%	5.42%	0.02%	0.05%	0.24%	0.12%	0.05%	0.20%
Current FY	#	4310	2321	1989	112	1741	1139	215	215	237	233	1	2	12	6	3	15
	%	100%	53.85%	46.15%	2.60%	40.39%	26.43%	4.99%	11.39%	5.50%	5.41%	0.02%	0.05%	0.28%	0.14%	0.07%	0.35%
Difference	#	213	123	90	20	66	45	6	16	28	11	0	0	2	1	1	7
Ratio Change	%	0.00%	0.20%	-0.20%	0.35%	-0.49%	-0.28%	-0.11%	-0.20%	0.40%	-0.01%	0.00%	0.00%	0.03%	0.02%	0.02%	0.15%
Net Change	%	5.20%	5.60%	4.74%	21.74%	3.94%	4.11%	2.87%	3.37%	13.40%	4.95%	0.00%	0.00%	20.00%	20.00%	50.00%	87.50%
<b>TEMPORARY</b>																	
Prior FY	#	138	86	52	1	58	25	10	11	17	10	0	2	0	0	0	1
	%	100%	62.32%	37.68%	0.72%	42.03%	18.12%	7.25%	7.97%	12.32%	7.25%	0.00%	1.45%	0.00%	0.00%	0.00%	0.72%
Current FY	#	130	81	49	4	51	20	7	9	19	13	0	2	0	0	0	1
	%	100%	62.31%	37.69%	3.08%	39.23%	15.38%	5.38%	6.92%	14.62%	10.00%	0.00%	1.54%	0.00%	0.00%	0.00%	0.77%
Difference	#	-8	-5	-3	3	-7	-5	-3	-2	2	3	0	0	0	0	0	0
Ratio Change	%	0.00%	-0.01%	0.01%	2.35%	-2.80%	-2.73%	-1.86%	-1.05%	2.30%	2.75%	0.00%	0.09%	0.00%	0.00%	0.00%	0.04%
Net Change	%	-5.80%	-5.81%	-5.77%	300.00%	-12.07%	-20.00%	-30.00%	-18.18%	11.76%	30.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Table A-2: REGIONAL OFFICES AND DIVISIONS—DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE PAY PERIOD 201521

PERMANENT EMPLOYEES	RACE/ETHNICITY																										
	TOTAL EMPLOYEES												Non-Hispanic or Latino														
	Hispanic or Latino						White						Black or African American			Asian			Native Hawaiian or Other Pacific Islander			American Indian or Alaska Native			Two or more races		
	All	male	female	male	female	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	
TOTAL FY	#	4310	2321	1989	112	103	1741	1139	215	491	237	233	1	2	6	12	6	12	6	3	15						
	%	100%	53.85%	46.15%	2.60%	2.39%	40.39%	26.43%	4.99%	11.39%	5.50%	5.41%	0.02%	0.05%	0.28%	0.14%	0.07%	0.28%	0.14%	0.07%	0.35%						
CLF (2010)	%	100%	51.86%	48.14%	5.17%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.26%	0.28%	0.53%	0.26%	0.28%							
HQ	#	2731	1426	1305	61	50	1041	713	162	383	148	141	1	2	4	10	4	3	12								
	%	100%	52.22%	47.78%	2.23%	1.83%	38.12%	26.11%	5.93%	14.02%	5.42%	5.16%	0.04%	0.07%	0.37%	0.15%	0.11%	0.44%									
NYRO	#	377	211	166	11	13	166	102	8	28	25	22	0	0	1	0	0	1									
	%	100%	55.97%	44.03%	2.92%	3.45%	44.03%	27.06%	2.12%	7.43%	6.63%	5.84%	0.00%	0.00%	0.27%	0.00%	0.00%	0.27%									
CHRO	#	221	129	92	4	7	115	56	5	22	5	7	0	0	0	0	0	0									
	%	100%	58.37%	41.63%	1.81%	3.17%	52.04%	25.34%	2.26%	9.95%	2.26%	3.17%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
LARO	#	162	85	77	7	6	50	40	3	13	25	18	0	0	0	0	0	0									
	%	100%	52.47%	47.53%	4.32%	3.70%	30.86%	24.69%	1.85%	8.02%	15.43%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
BRO	#	146	84	62	1	1	72	48	4	4	7	9	0	0	0	0	0	0									
	%	100%	57.53%	42.47%	0.68%	0.68%	49.32%	32.88%	2.74%	2.74%	4.79%	6.16%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
PLRO	#	125	73	52	2	3	57	38	9	9	5	2	0	0	0	0	0	0									
	%	100%	58.40%	41.60%	1.60%	2.40%	45.60%	30.40%	7.20%	7.20%	4.00%	1.60%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
FWRO	#	116	68	48	4	3	55	40	6	3	3	1	0	0	0	0	0	0									
	%	100%	58.62%	41.38%	3.45%	2.59%	47.41%	34.48%	5.17%	2.59%	2.59%	0.86%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
SFRO	#	110	56	54	3	2	38	23	2	5	13	22	0	0	0	0	0	0									
	%	100%	50.91%	49.09%	2.73%	1.82%	34.55%	20.91%	1.82%	4.55%	11.82%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
ARO	#	102	64	38	3	1	49	17	11	18	1	1	0	0	0	0	0	0									
	%	100%	62.75%	37.25%	2.94%	0.98%	48.04%	16.67%	10.78%	17.65%	0.98%	0.98%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
MIRO	#	102	59	43	16	12	38	20	3	6	2	5	0	0	0	0	0	0									
	%	100%	57.84%	42.16%	15.69%	11.76%	37.25%	19.61%	2.94%	5.88%	1.96%	4.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
DRO	#	95	51	44	0	4	50	37	0	0	0	3	0	0	1	0	0	0									
	%	100%	53.68%	46.32%	0.00%	4.21%	52.63%	38.95%	0.00%	0.00%	0.00%	3.16%	0.00%	0.00%	1.05%	0.00%	0.00%	0.00%									
SLRO	#	23	15	8	0	1	10	5	2	0	3	2	0	0	0	0	0	0									
	%	100%	65.22%	34.78%	0.00%	4.35%	43.48%	21.74%	8.70%	0.00%	13.04%	8.70%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									

Table A3-1: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE PAY PERIOD 201521

Occupational Categories	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	
	#	%	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
Officials and Managers																						
Executive/Senior Level	#	143	87	56	3	1	79	45	3	5	2	5	0	0	0	0	0	0	0	0	0	0
	%	100%	60.84%	39.16%	2.10%	0.70%	55.24%	31.47%	2.10%	3.50%	1.40%	3.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Mid-Level	#	376	216	160	10	6	189	117	9	18	8	17	0	1	0	0	0	0	0	0	0	1
	%	100%	57.45%	42.55%	2.66%	1.60%	50.27%	31.12%	2.39%	4.79%	2.13%	4.52%	0.00%	0.27%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.27%
First-Level	#	338	218	120	9	3	164	72	16	29	24	16	1	0	0	4	0	0	0	0	0	0
	%	100%	64.50%	35.50%	2.66%	0.89%	48.52%	21.30%	4.73%	8.58%	7.10%	4.73%	0.30%	0.00%	1.18%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Other	#	5	3	2	0	0	2	2	0	0	1	0	0	0	0	0	0	0	0	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%	0.00%	0.00%	0.00%	0.00%
Officials and Managers	#	862	524	338	22	10	434	236	28	52	35	38	1	1	4	0	0	0	0	0	0	1
	%	100%	60.79%	39.21%	2.55%	1.16%	50.35%	27.38%	3.25%	6.03%	4.06%	4.41%	0.12%	0.12%	0.46%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.12%
Professionals - Program Work	#	2412	1379	1033	60	54	1097	708	83	108	134	154	0	1	4	3	1	5	5	5	5	5
	%	100%	57.17%	42.83%	2.49%	2.24%	45.48%	29.35%	3.44%	4.48%	5.56%	6.38%	0.00%	0.04%	0.17%	0.12%	0.04%	0.21%	0.21%	0.21%	0.21%	0.21%
Professionals - Business / Financial Administration	#	883	385	498	29	33	195	171	87	248	68	34	0	0	4	3	2	9	9	9	9	9
	%	100%	43.60%	56.40%	3.28%	3.74%	22.08%	19.37%	9.85%	28.09%	7.70%	3.85%	0.00%	0.00%	0.45%	0.34%	0.23%	1.02%	1.02%	1.02%	1.02%	1.02%
Administrative Support Workers	#	153	33	120	1	6	15	24	17	83	0	7	0	0	0	0	0	0	0	0	0	0
	%	100%	21.57%	78.43%	0.65%	3.92%	9.80%	15.69%	11.11%	54.25%	0.00%	4.58%	0.00%	0.00%	0.00%	0.00%	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 201521

Occupational Categories	RACE/ETHNICITY															
	TOTAL EMPLOYEES				Hispanic or Latino		White		Black or African American		Asian		Non-Hispanic or Latino		Two or more races	
	All	male	female	%	male	female	male	female	male	female	male	female	male	female	male	female
Officials and Managers	#	143	87	56	3	1	79	45	3	5	2	5	0	0	0	0
Executive/Senior Level	%	3.32%	3.75%	2.82%	2.68%	0.97%	4.54%	3.95%	1.40%	1.02%	0.84%	2.15%	0.00%	0.00%	0.00%	0.00%
Mid-level	#	376	216	160	10	6	189	117	9	18	8	17	0	1	0	1
	%	8.72%	9.31%	8.04%	8.93%	5.83%	10.86%	10.27%	4.19%	3.67%	3.38%	7.30%	0.00%	50.00%	0.00%	6.67%
First-Level	#	338	218	120	9	3	164	72	16	29	24	16	1	0	4	0
	%	7.84%	9.39%	6.03%	8.04%	2.91%	9.42%	6.32%	7.44%	5.91%	10.13%	6.87%	100.00%	0.00%	33.33%	0.00%
Other	#	5	3	2	0	0	2	2	0	0	1	0	0	0	0	0
	%	0.12%	0.13%	0.10%	0.00%	0.00%	0.11%	0.18%	0.00%	0.00%	0.42%	0.00%	0.00%	0.00%	0.00%	0.00%
Officials and Managers	#	862	524	338	22	10	434	236	28	52	35	38	1	1	4	1
TOTAL	%	20.00%	22.58%	16.99%	19.64%	9.71%	24.93%	20.72%	13.02%	10.59%	14.77%	16.31%	100.00%	50.00%	33.33%	0.00%
Professionals - Program Work	#	2412	1379	1033	60	54	1097	708	83	108	134	154	0	1	4	5
	%	55.96%	59.41%	51.94%	53.57%	52.43%	63.01%	62.16%	38.60%	22.00%	56.54%	66.09%	0.00%	50.00%	33.33%	33.33%
Professionals - Business / Financial Administration	#	883	385	498	29	33	195	171	87	248	68	34	0	0	4	9
	%	20.49%	16.59%	25.04%	25.89%	32.04%	11.20%	15.01%	40.47%	50.51%	28.69%	14.59%	0.00%	0.00%	33.33%	66.67%
Administrative Support Workers	#	153	33	120	1	6	15	24	17	83	0	7	0	0	0	0
	%	3.55%	1.42%	6.03%	0.89%	5.83%	0.86%	2.11%	7.91%	16.90%	0.00%	3.00%	0.00%	0.00%	0.00%	0.00%
Total Workforce	#	4,310	2,321	1,989	112	103	1,741	1,139	215	491	237	233	1	2	12	6
	%	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 201521

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																			
	TOTAL EMPLOYEES										Non-Hispanic or Latino									
	All	male	female	male	female	male	female	male	female	male	female	Black or African American	Asian	Native Hawaiian or Other Pacific Islander	American Indian or Alaska Native	Two or more races	male	female	male	female
#	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%
#	4	2	2	0	0	1	0	0	0	0	1	2	0	0	0	0	0	0	0	0
%	100%	50.00%	50.00%	0.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	25.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
#	5	1	4	0	0	0	0	0	0	0	1	2	1	0	0	0	0	0	0	0
%	100%	20.00%	80.00%	0.00%	0.00%	0.00%	20.00%	20.00%	20.00%	40.00%	20.00%	40.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
#	12	4	8	0	0	2	2	0	0	0	2	7	0	0	0	0	0	0	0	0
%	100%	33.33%	66.67%	0.00%	0.00%	16.67%	8.33%	0.00%	0.00%	0.00%	16.67%	58.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
#	81	19	62	1	5	10	11	8	42	0	4	0	0	0	0	0	0	0	0	0
%	100%	23.46%	76.54%	1.23%	6.17%	12.35%	13.58%	9.88%	51.85%	0.00%	4.94%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
#	24	2	22	0	0	1	3	1	18	0	1	0	0	0	0	0	0	0	0	0
%	100%	8.33%	91.67%	0.00%	0.00%	4.17%	12.50%	4.17%	75.00%	0.00%	4.17%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
#	79	22	57	0	3	8	13	11	37	3	2	0	0	0	0	0	0	0	0	2
%	100%	27.85%	72.15%	0.00%	3.80%	10.13%	16.46%	13.92%	46.84%	3.80%	2.53%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	2.53%
#	2	0	2	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	0.00%	100.00%	0.00%	0.00%	0.00%	50.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
#	141	47	94	5	14	25	26	12	49	5	4	0	0	0	0	0	0	0	0	1
%	100%	33.33%	66.67%	3.55%	9.93%	17.73%	18.44%	8.51%	34.75%	3.55%	2.84%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.71%
#	250	83	167	3	10	50	62	20	74	10	19	0	0	0	0	0	0	0	0	1
%	100%	33.20%	66.80%	1.20%	4.00%	20.00%	24.80%	8.00%	29.60%	4.00%	7.60%	0.00%	0.00%	0.00%	0.00%	0.00%	0.40%	0.00%	0.00%	0.40%
#	449	237	212	17	7	148	109	35	78	32	16	0	0	0	0	3	1	1	2	1
%	100%	52.78%	47.22%	3.79%	1.56%	32.96%	24.28%	7.80%	17.37%	7.13%	3.56%	0.00%	0.00%	0.00%	0.67%	0.22%	0.45%	0.22%	0.22%	0.22%
#	1934	1080	854	56	52	812	541	87	116	121	134	0	0	0	3	2	1	9	0	0
%	100%	55.84%	44.16%	2.90%	2.69%	41.99%	27.97%	4.50%	6.00%	6.26%	6.93%	0.00%	0.00%	0.00%	0.16%	0.10%	0.05%	0.47%	0.00%	0.00%
#	347	230	117	10	3	177	73	14	27	24	14	1	0	0	4	0	0	0	0	0
%	100%	66.28%	33.72%	2.88%	0.86%	51.01%	21.04%	4.03%	7.78%	6.92%	4.03%	0.29%	0.00%	0.00%	1.15%	0.00%	0.00%	0.00%	0.00%	0.00%
#	461	287	174	7	2	236	137	11	15	31	17	0	0	0	2	2	0	0	0	0
%	100%	62.26%	37.74%	1.52%	0.43%	51.19%	29.72%	2.39%	3.25%	6.72%	3.69%	0.00%	0.00%	0.22%	0.43%	0.43%	0.00%	0.00%	0.00%	0.00%
#	373	217	156	10	6	190	114	9	18	8	16	0	0	0	0	0	0	0	0	1
%	100%	58.18%	41.82%	2.68%	1.61%	50.94%	30.56%	2.41%	4.83%	2.14%	4.29%	0.00%	0.00%	0.27%	0.00%	0.00%	0.00%	0.00%	0.00%	0.27%
#	5	3	2	0	0	2	2	0	0	1	0	0	0	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%	0.00%	0.00%	0.00%
#	143	87	56	3	1	79	45	3	5	2	5	0	0	0	0	0	0	0	0	0
%	100%	60.84%	39.16%	2.10%	0.70%	55.24%	31.47%	2.10%	3.50%	1.40%	3.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Table A4-1: PARTICIPATION RATES FOR SK GRADES BY RACE/ETHNICITY AND SEX—  
TEMPORARY EMPLOYEES PAY PERIOD 201521

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	3	2	1	100%	0	0	0.00%	33.33%	33.33%	0.00%	33.33%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-04	3	0	3	100%	0	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-05	7	5	2	100%	0	1	0.00%	14.29%	28.57%	0.00%	2	1	0.00%	33.33%	0.00%	14.29%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-06	0	0	0	100%	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	1	1	0	100%	1	0	0.00%	100.00%	0.00%	0	0	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-08	0	0	0	100%	0	0	0.00%	0.00%	0.00%	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-09	1	0	1	100%	0	0	0.00%	0.00%	0.00%	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-10	2	0	2	100%	0	0	0.00%	0.00%	0.00%	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-11	16	9	7	100%	0	0	0.00%	0.00%	0.00%	6	4	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%
SK-12	3	0	3	100%	0	0	0.00%	0.00%	0.00%	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-13	4	3	1	100%	0	0	0.00%	0.00%	0.00%	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-14	42	28	14	100%	1	1	2.38%	2.38%	2.38%	18	5	0.00%	25.00%	25.00%	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	100%	0	0	0.00%	0.00%	0.00%	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	32	23	9	100%	1	1	3.13%	3.13%	3.13%	16	4	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-17	0	0	0	100%	0	0	0.00%	0.00%	0.00%	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 (Non-SK)	8	4	4	100%	0	0	0.00%	0.00%	0.00%	3	3	0.00%	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	8	6	2	100%	1	0	0.00%	12.50%	62.50%	5	1	0.00%	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 A4-2: PARTICIPATION RATES FOR SK GRADES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE PAY PERIOD 201521

SK, SO, AND RELATED GRADES	TOTAL EMPLOYEES		RACE/ETHNICITY																		
	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	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	
SK-04	4	0.09%	2	2	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	
SK-05	5	0.12%	1	4	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	
SK-06	12	0.28%	4	8	0	0	2	1	2	0	0	0	0	0	0	0	0	0	0	0	
SK-07	81	1.88%	19	62	1	5	10	11	8	42	0	4	0	0	0	0	0	0	0	0	
SK-08	24	0.56%	2	22	0	0	1	3	1	18	0	1	0	0	0	0	0	0	0	0	
SK-09	79	1.83%	22	57	0	3	8	13	11	37	0	3	2	0	0	0	0	0	0	2	
SK-10	2	0.05%	0	2	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	
SK-11	141	3.27%	47	94	5	14	25	26	12	49	5	4	0	0	0	0	0	0	0	1	
SK-12	250	5.80%	83	167	3	10	50	62	20	74	10	19	0	0	0	0	0	0	0	1	
SK-13	449	10.42%	237	212	17	7	148	109	35	78	32	16	0	0	3	1	2	1	2	1	
SK-14	1934	44.87%	1080	854	56	52	812	541	87	116	121	134	0	0	3	2	1	9	9	9	
SK-15	347	8.05%	230	117	10	3	177	73	14	27	24	14	1	0	4	0	0	0	0	0	
SK-16	461	10.70%	287	174	7	2	236	137	11	15	31	17	0	1	2	2	0	0	0	0	
SK-17	373	8.65%	217	156	10	6	190	114	9	18	8	16	0	1	0	0	0	0	0	1	
All other (Non-SK)	5	0.12%	3	2	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	
Senior Officer	143	3.32%	87	56	3	1	79	45	3	5	2	5	0	0	0	0	0	0	0	0	
TOTAL	4310	100%	2321	1989	112	103	1741	1139	215	491	237	233	1	2	12	6	3	15	3	15	

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 201521

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																	
	TOTAL EMPLOYEES				Hispanic or Latino		White		Black or African American		Asian		Non-Hispanic or Latino		American Indian or Alaska Native		Two or more races	
	All	male	female	%	male	female	male	female	male	female	male	female	male	female	male	female	male	female
SK-03	#	3	2	1	0	0	1	1	0	0	0	0	0	0	0	0	0	0
	%	2.31%	2.47%	2.04%	0.00%	0.00%	1.96%	5.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	#	3	0	3	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	2.31%	0.00%	6.12%	0.00%	0.00%	0.00%	0.00%	0.00%	10.00%	0.00%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%
SK-05	#	7	5	2	0	1	2	0	2	1	1	0	0	0	0	0	0	0
	%	5.38%	6.17%	4.08%	0.00%	25.00%	3.92%	0.00%	25.00%	10.00%	5.26%	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	#	1	1	0	1	0	0	0	1	1	0	0	0	0	0	0	0	0
	%	0.77%	1.23%	0.00%	25.00%	0.00%	0.00%	0.00%	12.50%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-08	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-09	#	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.77%	0.00%	2.04%	0.00%	0.00%	0.00%	0.00%	0.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	2	0	2	0	0	0	1	0	0	0	0	0	0	0	0	0	0
	%	1.54%	0.00%	4.08%	0.00%	0.00%	0.00%	5.00%	0.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	16	9	7	0	0	6	4	1	2	2	1	0	0	0	0	0	0
	%	12.31%	11.11%	14.29%	0.00%	0.00%	11.76%	20.00%	12.50%	20.00%	10.53%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	3	0	3	0	1	0	1	0	0	0	1	0	0	0	0	0	0
	%	2.31%	0.00%	6.12%	0.00%	25.00%	0.00%	5.00%	0.00%	0.00%	0.00%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	4	3	1	0	0	0	0	1	0	2	1	0	0	0	0	0	0
	%	3.08%	3.70%	2.04%	0.00%	0.00%	0.00%	0.00%	12.50%	0.00%	10.53%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	42	28	14	1	1	18	5	1	1	8	7	0	0	0	0	0	0
	%	32.31%	34.57%	28.57%	25.00%	25.00%	35.29%	25.00%	12.50%	10.00%	42.11%	53.85%	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	#	32	23	9	1	1	16	4	1	2	5	1	0	0	0	0	0	0
	%	24.62%	28.40%	18.37%	25.00%	25.00%	31.37%	20.00%	12.50%	20.00%	26.32%	7.69%	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)	#	8	4	4	0	0	3	3	0	0	1	1	0	0	0	0	0	0
	%	6.15%	4.94%	8.16%	0.00%	0.00%	5.88%	15.00%	0.00%	0.00%	5.26%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	#	8	6	2	1	0	5	1	0	0	0	0	0	0	0	0	0	0
	%	6.15%	7.41%	4.08%	25.00%	0.00%	9.80%	5.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%
TOTAL	#	130	81	49	4	4	51	20	8	10	19	13	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 201521

Job Title/Series	RACE/ETHNICITY															
	TOTAL EMPLOYEES				Hispanic or Latino				Non-Hispanic or Latino				Two or more races			
	All	male	female	%	male	female	male	female	male	female	male	female	male	female	male	female
0110 Economist	#	80	55	25	1	2	43	14	2	0	8	9	0	0	1	0
	%	100%	68.75%	31.25%	1.25%	2.50%	53.75%	17.50%	2.50%	0.00%	10.00%	11.25%	0.00%	0.00%	1.25%	0.00%
Occupational CLF	#	946	541	405	31	27	420	257	33	49	55	69	0	0	2	1
	%	100%	67.07%	32.93%	3.34%	1.85%	55.79%	25.20%	2.84%	2.66%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%
0510 Accountant	#	100%	57.19%	42.81%	3.28%	2.85%	44.40%	27.17%	3.49%	5.18%	7.29%	0.00%	0.00%	0.21%	0.11%	0.21%
	%	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%
0905 General Attorney	#	1840	1045	795	37	32	872	591	55	73	77	94	0	1	3	2
	%	100%	56.79%	43.21%	2.01%	1.74%	47.39%	32.12%	2.99%	3.97%	4.18%	5.11%	0.00%	0.05%	0.16%	0.11%
Occupational CLF	#	100%	66.70%	33.30%	2.52%	1.85%	59.68%	26.68%	2.13%	2.60%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%
	%	100%	71.16%	28.84%	4.19%	0.47%	54.42%	17.21%	3.26%	4.65%	9.30%	6.05%	0.00%	0.00%	0.00%	0.00%
1831 Securities Compliance Examining	#	215	153	62	9	1	117	37	7	10	20	13	0	0	0	0
	%	100%	71.16%	28.84%	4.19%	0.47%	54.42%	17.21%	3.26%	4.65%	9.30%	6.05%	0.00%	0.00%	0.00%	0.00%
Occupational CLF	%	100%	54.75%	45.25%	3.06%	3.65%	44.11%	28.34%	3.57%	8.71%	3.69%	3.96%	0.00%	0.00%	0.08%	0.31%
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%

Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS—DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE PAY PERIOD 201521

Job Title/Series	RACE/ETHNICITY																									
	TOTAL EMPLOYEES						Hispanic or Latino						Non-Hispanic or Latino						Two or more races							
	#	%	male		female		male		female		male		female		male		female		male	female						
			All																							
0110 Economist	32	100%	18	56.25%	14	43.75%	0	0.00%	1	3.13%	1	15.63%	5	37.50%	0	0.00%	1	21.88%	6	0.00%	7	0.00%	0	0.00%		
Occupational CLF	19	100%	13	67.07%	6	32.93%	0	3.34%	1	1.85%	1	25.20%	4	55.79%	0	2.84%	0	3.02%	2	4.46%	1	0.05%	0	0.13%	0	0.02%
0510 Accountant	15	100%	10	68.42%	5	31.58%	0	0.00%	1	5.26%	1	21.05%	4	57.89%	0	0.00%	0	5.26%	2	10.53%	0	0.00%	0	0.00%	0	0.00%
Occupational CLF	15	100%	10	39.91%	5	60.09%	2	2.19%	0	3.93%	0	44.23%	2	31.79%	1	2.49%	1	5.49%	0	3.06%	1	0.02%	0	0.43%	0	0.29%
0905 General Attorney	7	100%	6	66.67%	1	33.33%	1	13.33%	0	0.00%	0	13.33%	2	46.67%	1	6.67%	1	6.67%	0	0.00%	0	0.00%	1	0.00%	0	0.00%
Occupational CLF	7	100%	6	66.70%	1	33.30%	1	2.52%	0	1.85%	0	26.68%	2	59.68%	0	2.13%	1	1.74%	3	1.82%	0	0.02%	0	0.31%	0	0.18%
1831 Securities Compliance Examining	7	100%	6	85.71%	1	14.29%	1	14.29%	0	0.00%	0	0.00%	0	28.57%	0	0.00%	1	0.00%	3	42.86%	0	0.00%	0	0.00%	0	0.00%
Occupational CLF	7	100%	6	54.75%	1	45.25%	3	3.06%	0	3.65%	0	28.34%	2	44.11%	1	3.57%	1	3.96%	3	3.69%	0	0.00%	0	0.08%	0	0.27%

Table A7: APPLICANTS AND HIRES FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX  
(CLOSING DATES IN FY 2015)

		RACE/ETHNICITY																
		Hispanic or Latino						Non-Hispanic or Latino						Two or more races				
		TOTAL		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			
<b>Job Title/Series: Economist (0110) *In FY 2015, 21 economists were selected.</b>																		
Total Received	#	318																
Voluntarily Identified	#	145	46	10	7	54	11	14	19	16	0	0	2	2	0	0	0	0
	%	100%	31.72%	6.90%	4.83%	37.24%	7.59%	9.66%	13.10%	11.03%	0.00%	0.00%	1.38%	1.38%	0.00%	0.00%	0.00%	0.00%
Qualified of those Identified	#	52	16	5	2	23	5	5	3	4	0	0	0	0	0	0	0	0
	%	100%	30.77%	9.62%	3.85%	44.23%	9.62%	9.62%	5.77%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of those Identified	#	7	4	0	1	4	0	0	0	2	0	0	0	0	0	0	0	0
	%	100%	42.86%	0.00%	14.29%	57.14%	0.00%	0.00%	0.00%	28.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF	%	100%	32.93%	3.34%	1.85%	55.79%	25.20%	2.84%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%	0.18%	0.02%	0.02%	0.02%
<b>Job Title/Series: General Attorney (0905) *In FY 2015, 142 attorneys were selected.</b>																		
Total Received	#	9814																
Voluntarily Identified	#	4311	1700	357	216	1491	740	465	246	313	0	3	18	48	34	17		
	%	100%	39.43%	8.28%	5.01%	34.59%	17.17%	10.79%	5.71%	7.26%	0.00%	0.07%	0.42%	1.11%	0.79%	0.39%		
Qualified of those Identified	#	3416	2069	265	175	1208	617	356	199	234	0	3	15	39	26	14		
	%	100%	39.43%	7.76%	5.12%	35.36%	18.06%	10.42%	5.83%	6.85%	0.00%	0.09%	0.44%	1.14%	0.76%	0.41%		
Selected of those Identified	#	47	18	29	1	12	15	1	4	6	0	0	0	1	0	1		
	%	100%	61.70%	2.13%	2.13%	25.53%	31.91%	2.13%	8.51%	12.77%	0.00%	0.00%	0.00%	2.13%	0.00%	2.13%		
CLF	%	100%	33.30%	2.52%	1.85%	59.68%	26.68%	2.13%	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 2015) *Continued*

		RACE/ETHNICITY																
		Hispanic or Latino						Non-Hispanic or Latino						Two or more races				
		TOTAL		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		male	female			
		All	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
<b>Job Title/Series: Accounting (0510) *In FY 2015, 63 accountants were selected.</b>		#	4506															
Total Received	#	4506																
Voluntarily Identified	#	2145	1147	998	219	120	446	257	262	434	188	165	2	2	8	4	22	16
	%	100%	53.47%	46.53%	10.21%	5.59%	20.79%	11.98%	12.21%	20.23%	8.76%	7.69%	0.09%	0.09%	0.37%	0.19%	1.03%	0.75%
Qualified of those Identified	#	1294	675	619	120	78	269	153	143	280	119	92	2	2	5	3	17	11
	%	100%	52.16%	47.84%	9.27%	6.03%	20.79%	11.82%	11.05%	21.64%	9.20%	7.11%	0.15%	0.15%	0.39%	0.23%	1.31%	0.85%
Selected of those Identified	#	27	13	14	5	2	4	8	0	1	4	3	0	0	0	0	0	0
	%	100%	48.15%	51.85%	18.52%	7.41%	14.81%	29.63%	0.00%	3.70%	14.81%	11.11%	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%
<b>Job Title/Series: Securities Compliance Examining (1831) *In FY 2015, 43 examiners were selected.</b>		#	6178															
Total Received	#	6178																
Voluntarily Identified	#	3093	1998	1095	364	184	878	263	522	499	193	105	12	2	7	9	22	33
	%	100%	64.60%	35.40%	11.77%	5.95%	28.39%	8.50%	16.88%	16.13%	6.24%	3.39%	0.39%	0.06%	0.23%	0.29%	0.71%	1.07%
Qualified of those Identified	#	2237	1412	825	244	123	630	193	371	403	144	73	7	1	2	9	14	23
	%	100%	63.12%	36.88%	10.91%	5.50%	28.16%	8.63%	16.58%	18.02%	6.44%	3.26%	0.31%	0.04%	0.09%	0.40%	0.63%	1.03%
Selected of those Identified	#	17	10	7	0	0	8	6	1	1	1	0	0	0	0	0	0	0
	%	100%	58.82%	41.18%	0.00%	0.00%	47.06%	35.29%	5.88%	5.88%	5.88%	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 2014-10-01 TO 2015-09-30)

		RACE/ETHNICITY																
		Non-Hispanic or Latino														Two or more races		
		TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native				
Employment Tenure	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	
Permanent	#	394	218	176	17	13	146	106	17	33	36	21	0	0	2	0	0	3
	%	100%	55.33%	44.67%	4.31%	3.30%	37.06%	26.90%	4.31%	8.38%	9.14%	5.33%	0.00%	0.00%	0.51%	0.00%	0.00%	0.76%
Temporary	#	62	37	25	1	2	29	11	1	5	6	7	0	0	0	0	0	0
	%	100%	59.68%	40.32%	1.61%	3.23%	46.77%	17.74%	1.61%	8.06%	9.68%	11.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL	#	456	255	201	18	15	175	117	18	38	42	28	0	0	2	0	0	3
	%	100%	55.92%	44.08%	3.95%	3.29%	38.38%	25.66%	3.95%	8.33%	9.21%	6.14%	0.00%	0.00%	0.44%	0.00%	0.00%	0.66%
CLF	%	100%	51.86%	48.14%	5.17%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%

Table A9: SELECTIONS FOR INTERNAL COMPETITIVE PROMOTIONS FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX FOR FY 2015

		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
				#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Job Title/Series: General Attorney (0905)</b>			All																
Total Applications Received	#	387		154	11	7	184	107	23	15	12	25	0	0	3	0	0		
Qualified	#	359		142	9	7	175	101	19	13	12	21	0	0	2	0	0		
	%	100%		39.55%	2.51%	1.95%	48.75%	28.13%	5.29%	3.62%	3.34%	5.85%	0.00%	0.00%	0.56%	0.00%	0.00%		
Selected	#	48		27	1	0	18	21	0	1	2	5	0	0	0	0	0		
	%	100%		56.25%	2.08%	0.00%	37.50%	43.75%	0.00%	2.08%	4.17%	10.42%	0.00%	0.00%	0.00%	0.00%	0.00%		
Relevant Applicant Pool	%	100%		43.36%	1.98%	1.85%	46.40%	32.06%	3.37%	4.10%	4.76%	5.29%	0.00%	0.07%	0.07%	0.00%	0.00%		
<b>Job Title/Series: Accounting (0510)</b>																			
Total Applications Received	#	129		54	7	4	56	27	1	14	11	9	0	0	0	0	0		
Qualified	#	112		46	7	3	52	25	0	9	7	9	0	0	0	0	0		
	%	100%		41.07%	6.25%	2.68%	46.43%	22.32%	0.00%	8.04%	6.25%	8.04%	0.00%	0.00%	0.00%	0.00%	0.00%		
Selected	#	42		19	1	2	19	15	0	0	3	2	0	0	0	0	0		
	%	100%		45.24%	2.38%	4.76%	45.24%	35.71%	0.00%	0.00%	7.14%	4.76%	0.00%	0.00%	0.00%	0.00%	0.00%		
Relevant Applicant Pool	%	100%		39.83%	3.56%	2.53%	46.30%	24.84%	3.37%	5.15%	6.94%	7.22%	0.00%	0.00%	0.00%	0.00%	0.09%		

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
				#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Job Title/Series: Securities Compliance Examining (1831)</b>																	
Total Applications Received	#	102	79	23	5	2	62	14	1	4	11	3	0	0	0	0	0
Qualified	#	79	60	19	2	2	46	11	1	3	11	3	0	0	0	0	0
	%	100%	75.95%	24.05%	2.53%	2.53%	58.23%	13.92%	1.27%	3.80%	13.92%	3.80%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	13	8	5	0	0	4	4	1	0	3	1	0	0	0	0	0
	%	100%	61.54%	38.46%	0.00%	0.00%	30.77%	30.77%	7.69%	0.00%	23.08%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	%	100%	74.11%	25.89%	5.36%	0.00%	57.14%	15.18%	4.46%	3.57%	7.14%	7.14%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Job Title/Series: Economist (0110)</b>																	
Total Applications Received	#	9	9	0	0	0	9	0	0	0	0	0	0	0	0	0	0
Qualified	#	3	3	0	0	0	3	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	3	3	0	0	0	3	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	%	100%	65.00%	35.00%	0.00%	3.33%	50.00%	11.67%	0.00%	1.67%	15.00%	18.33%	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 201521

		RACE/ETHNICITY														
		Non-Hispanic or Latino							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	male	female	male	female	male	female	
Total Employees Eligible for Career Ladder Promotions	#	435	250	185	14	14	182	101	24	43	29	27	0	0	0	0
	%	100%	57.47%	42.53%	3.22%	3.22%	41.84%	23.22%	5.52%	9.89%	6.67%	6.21%	0.00%	0.00%	0.00%	0.00%
<b>Time in grade in excess of minimum</b>																
1 - 12 months	#	11	3	8	1	1	2	2	0	2	0	3	0	0	0	0
	%	100%	27.27%	72.73%	9.09%	9.09%	18.18%	18.18%	0.00%	18.18%	0.00%	27.27%	0.00%	0.00%	0.00%	0.00%
13 - 24 months	#	3	2	1	0	0	1	0	1	1	0	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	0.00%	33.33%	0.00%	33.33%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
25+ months	#	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%

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																								
		TOTAL					White					Black or African American					Asian					Native Hawaiian or Other Pacific Islander					American Indian or Alaska Native					Two or more races				
		All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female								
Grade of Vacancy: SK-13		#	17	54	2	1	12	14	1	37	2	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
Total Applications Received		%	23.94%	76.06%	2.82%	1.41%	16.90%	19.72%	1.41%	52.11%	2.82%	2.82%	0.00%	0.00%	0.00%	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		#	10	31	2	1	6	13	1	15	1	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
		%	24.39%	75.61%	4.88%	2.44%	14.63%	31.71%	2.44%	36.59%	2.44%	4.88%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%									
Selected		#	2	12	0	1	1	7	1	4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
		%	14.29%	85.71%	0.00%	7.14%	7.14%	50.00%	7.14%	28.57%	0.00%	0.00%	0.00%	0.00%	0.00%	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		%	32.81%	67.19%	1.19%	4.35%	19.76%	24.90%	7.91%	29.25%	3.95%	7.91%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.40%									
Grade of Vacancy: SK-14		#	105	70	10	4	75	40	8	21	12	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
Total Applications Received		%	60.00%	40.00%	5.71%	2.29%	42.86%	22.86%	4.57%	12.00%	6.86%	2.86%	0.00%	0.00%	0.00%	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		#	78	59	4	4	61	37	4	14	9	4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
		%	56.93%	43.07%	2.92%	2.92%	44.53%	27.01%	2.92%	10.22%	6.57%	2.92%	0.00%	0.00%	0.00%	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		#	20	23	0	2	18	14	0	5	2	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
		%	46.51%	53.49%	0.00%	4.65%	41.86%	32.56%	0.00%	11.63%	4.65%	4.65%	0.00%	0.00%	0.00%	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		%	52.98%	47.02%	3.75%	1.55%	32.67%	24.06%	7.95%	17.22%	7.51%	3.75%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.22%									
Grade of Vacancy: SK-16		#	185	110	12	6	107	62	22	22	42	20	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
Total Applications Received		%	62.71%	37.29%	4.07%	2.03%	36.27%	21.02%	7.46%	7.46%	14.24%	6.78%	0.00%	0.00%	0.00%	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		#	161	95	10	5	96	58	17	15	37	17	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
		%	62.89%	37.11%	3.91%	1.95%	37.50%	22.66%	6.64%	5.86%	14.45%	6.64%	0.00%	0.00%	0.00%	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		#	19	12	1	0	13	9	0	0	5	3	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
		%	61.29%	38.71%	3.23%	0.00%	41.94%	29.03%	0.00%	0.00%	16.13%	9.68%	0.00%	0.00%	0.00%	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		%	57.60%	42.40%	2.88%	2.41%	43.35%	26.65%	4.39%	6.20%	6.59%	6.67%	0.04%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.39%									
Grade of Vacancy: SK-15 & SK-17		#	308	141	14	7	221	85	25	26	46	19	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
Total Applications Received		%	68.60%	31.40%	3.12%	1.56%	49.22%	18.93%	5.57%	5.79%	10.24%	4.23%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.45%									
Qualified		#	252	117	12	4	184	73	15	18	40	19	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
		%	68.29%	31.71%	3.25%	1.08%	49.86%	19.78%	4.07%	4.88%	10.84%	5.15%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.54%									
Selected		#	37	30	2	0	28	23	3	2	4	4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0									
		%	55.22%	44.78%	2.99%	0.00%	41.79%	34.33%	4.48%	2.99%	5.97%	5.97%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	1.49%									
Relevant Applicant Pool		%	58.52%	41.48%	2.66%	2.10%	44.71%	26.99%	4.05%	5.72%	6.71%	6.14%	0.04%	0.07%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.32%									

\*There were no internal vacancy announcements for Senior Officer Positions in FY 2015. "Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced.

Table A12: PARTICIPATION IN CAREER DEVELOPMENT—DISTRIBUTION BY RACE/ETHNICITY AND SEX FOR FY 2015

		RACE/ETHNICITY																	
		Hispanic or Latino						Non-Hispanic or Latino						Two or more races					
		TOTAL		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						
Slots	#	7																	
Relevant Pool	%																		
Applied	#	54	10	44	3	4	7	37	0	0	0	0	0	0	0	0	0	0	
	%	100%	18.52%	81.48%	0.00%	5.56%	7.41%	12.96%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Participants	#	7	2	5	0	0	1	2	4	0	0	0	0	0	0	0	0	0	
	%	100%	28.57%	71.43%	0.00%	0.00%	14.29%	28.57%	57.14%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
<b>Career Development Programs for SK 5 - 12</b>																			
Slots	#	7																	
Relevant Pool	%																		
Applied	#	49	20	29	6	0	10	18	3	9	1	2	0	0	0	0	0	0	
	%	100%	40.82%	59.18%	12.24%	0.00%	20.41%	36.73%	6.12%	18.37%	2.04%	4.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Participants	#	36	15	21	4	0	8	13	2	8	1	0	0	0	0	0	0	0	
	%	100%	41.67%	58.33%	11.11%	0.00%	22.22%	36.11%	5.56%	22.22%	2.78%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
<b>Career Development Programs for SK 13 - 14</b>																			
Slots	#	36																	
Relevant Pool	%																		
Applied	#	49	20	29	6	0	10	18	3	9	1	2	0	0	0	0	0	0	
	%	100%	40.82%	59.18%	12.24%	0.00%	20.41%	36.73%	6.12%	18.37%	2.04%	4.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Participants	#	36	15	21	4	0	8	13	2	8	1	0	0	0	0	0	0	0	
	%	100%	41.67%	58.33%	11.11%	0.00%	22.22%	36.11%	5.56%	22.22%	2.78%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
<b>Career Development Programs for SK 15, 17</b>																			
Slots	#	19																	
Relevant Pool	%																		
Applied	#	17	2	15	0	0	2	11	0	2	0	2	0	0	0	0	0	0	
	%	100%	11.76%	88.24%	0.00%	0.00%	11.76%	64.71%	0.00%	11.76%	0.00%	11.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Participants	#	9	2	7	0	0	2	5	0	1	0	1	0	0	0	0	0	0	
	%	100%	22.22%	77.78%	0.00%	0.00%	22.22%	55.56%	0.00%	11.11%	0.00%	11.11%	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 A13: EMPLOYEE RECOGNITION AND AWARDS—DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE FOR PERIOD 2014-10-01 TO 2015-09-30

Awards		RACE/ETHNICITY																											
		TOTAL		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	
				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	male
<b>Time-Off Awards: 1-9 hours</b>		#	1373	722	651	39	32	541	363	174	70	76	0	0	0	2	4	0	2	0	0	0	0	0	0	0	2	2	
Total Time-Off Awards Given	%		100%	52.59%	47.41%	2.84%	2.33%	39.40%	26.44%	12.67%	5.10%	5.54%	0.00%	0.00%	0.15%	0.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.15%		
Total Hours		9266	4921	4345	272	210	3697	2438	1156	452	488	507	0	0	12	26	0	0	0	0	0	0	0	0	0	0	8		
Average Hours		7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	4		
<b>Time-Off Awards: 9+ hours</b>		#	1286	676	610	33	42	516	398	106	74	59	0	0	3	3	0	0	0	0	0	0	0	0	0	0	0	2	
Total Time-Off Awards Given	%		100%	52.57%	47.43%	2.57%	3.27%	40.12%	30.95%	8.24%	5.75%	4.59%	0.00%	0.00%	0.23%	0.23%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.16%		
Total Hours		24396	12788	11608	648	822	9848	7694	1906	1345	1098	0	0	56	56	0	0	0	0	0	0	0	0	0	0	0	32		
Average Hours		19	19	19	20	20	19	19	19	18	18	19	0	0	19	19	0	0	0	0	0	0	0	0	0	0	16		
<b>Cash Awards: \$100 - \$500</b>		#	1331	635	696	34	46	447	324	266	50	50	3	0	4	4	0	0	0	0	0	0	0	0	0	0	3	6	
Total Cash Awards Given	%		100%	47.71%	52.29%	2.55%	3.46%	33.58%	24.34%	19.98%	3.76%	3.76%	0.23%	0.00%	0.30%	0.30%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.23%	0.45%		
Total Amount		499,827	244,251	255,576	13,569	174,947	123,973	31,911	91,324	20,324	17,737	1,200	1,100	1,524	1,200	1,524	0	0	0	0	0	0	0	0	0	0	2,477		
Average Amount		376	385	367	399	391	383	339	343	406	355	400	275	381	400	413	0	0	0	0	0	0	0	0	0	0	413		
<b>Cash Awards: \$501+</b>		#	3944	2270	1674	112	75	1778	1036	347	211	192	2	4	9	5	0	0	0	0	0	0	0	0	0	0	0	15	
Total Cash Awards Given	%		100%	57.56%	42.44%	2.84%	1.90%	45.08%	26.27%	8.80%	5.35%	4.87%	0.05%	0.10%	0.23%	0.13%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.38%		
Total Amount		5,143,119	2,976,029	2,167,090	145,257	2,352,019	1,366,955	188,607	399,107	275,374	268,700	2,250	9,400	12,522	8,000	12,522	0	0	0	0	0	0	0	0	0	0	24,411		
Average Amount		1,304	1,311	1,295	1,297	1,323	1,319	1,194	1,150	1,305	1,399	1,125	2,350	1,391	1,600	1,600	0	0	0	0	0	0	0	0	0	0	1,627		
<b>Quality Step Increases (QSI) (N/A)</b>		#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Total QSIs Awarded	%		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%		
Total Benefit		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		
Average Benefit		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		

Table A14: SEPARATIONS BY TYPE OF SEPARATION—DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE FOR PERIOD 2014-10-01 TO 2015-09-30

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	#	214	114	100	6	8	87	62	11	18	10	10	0	0	0	0	1	0	1	0	1
	%	100%	53.27%	46.73%	2.80%	3.74%	40.65%	28.97%	5.14%	8.41%	4.67%	4.67%	0.00%	0.00%	0.00%	0.00%	0.47%	0.00%	0.00%	0.00%	0.47%
Involuntary	#	7	6	1	1	0	2	1	2	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	85.71%	14.29%	14.29%	0.00%	28.57%	14.29%	28.57%	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 Separations	#	221	120	101	7	8	89	63	13	18	11	10	0	0	0	0	1	0	1	0	1
	%	100%	54.30%	45.70%	3.17%	3.62%	40.27%	28.51%	5.88%	8.14%	4.98%	4.52%	0.00%	0.00%	0.00%	0.00%	0.45%	0.00%	0.00%	0.00%	0.45%
Total Workforce	#	4440	2402	2038	116	107	1792	1159	222	500	256	246	1	4	12	6	3	16	0	3	16
	%	100%	54.10%	45.90%	2.61%	2.41%	40.36%	26.10%	5.00%	11.26%	5.77%	5.54%	0.02%	0.09%	0.27%	0.14%	0.07%	0.36%	0.07%	0.07%	0.36%

Table B1: TOTAL WORKFORCE— DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF— IDENTIFICATION CODES] PAY PERIOD 201421 TO 201521

Employment Tenure	Total by Disability Status				Detail for Targeted Disabilities								
	TOTAL [05]	No Disability [01]	Disability [06-98]	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]
<b>TOTAL</b>													
Prior FY	# 4235	3826	205	204	40	7	4	2	3	3	6	1	13
	% 100%	90.34%	4.84%	4.82%	0.94%	0.17%	0.09%	0.05%	0.07%	0.07%	0.14%	0.02%	0.31%
Current FY	# 4440	3962	231	247	42	8	4	2	2	3	7	1	14
	% 100%	89.23%	5.20%	5.56%	0.95%	0.18%	0.09%	0.05%	0.07%	0.07%	0.16%	0.02%	0.32%
Difference	# 205	136	26	43	2	1	0	0	-1	0	1	0	1
Ratio Change	% 0.00%	-1.11%	0.36%	0.75%	0.01%	0.01%	0.00%	0.00%	-0.03%	0.00%	0.02%	0.00%	0.01%
Net Change	% 4.84%	3.55%	12.68%	21.08%	5.00%	14.29%	0.00%	0.00%	-33.33%	0.00%	16.67%	0.00%	7.69%
Federal Goal	%				2.00%								0.00%
<b>PERMANENT</b>													
Prior FY	# 4097	3702	194	201	39	7	4	2	3	3	5	1	13
	% 100%	90.36%	4.74%	4.91%	0.95%	0.17%	0.10%	0.05%	0.07%	0.07%	0.12%	0.02%	0.32%
Current FY	# 4310	3848	221	241	41	8	4	2	2	3	6	1	14
	% 100%	89.28%	5.13%	5.59%	0.95%	0.19%	0.09%	0.05%	0.05%	0.07%	0.14%	0.02%	0.32%
Difference	# 213	146	27	40	2	1	0	0	-1	0	1	0	1
Ratio Change	% 0.00%	-1.08%	0.39%	0.69%	0.00%	0.01%	0.00%	0.00%	-0.03%	0.00%	0.02%	0.00%	0.01%
Net Change	% 5.20%	3.94%	13.92%	19.90%	5.13%	14.29%	0.00%	0.00%	-33.33%	0.00%	20.00%	0.00%	7.69%
<b>TEMPORARY</b>													
Prior 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%
Current FY	# 130	114	10	6	1	0	0	0	0	0	1	0	0
	% 100%	87.69%	7.69%	4.62%	0.77%	0.00%	0.00%	0.00%	0.00%	0.00%	0.77%	0.00%	0.00%
Difference	# -8	-10	-1	3	0	0	0	0	0	0	0	0	0
Ratio Change	% 0.00%	-2.16%	-0.28%	2.44%	0.04%	0.00%	0.00%	0.00%	0.00%	0.00%	0.04%	0.00%	0.00%
Net Change	% -5.80%	-8.06%	-9.09%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Table B3-1: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY DISABILITY—  
PERMANENT EMPLOYEES PAY PERIOD 201521

Occupational Category	TOTAL		Total by Disability Status				Detail for Targeted Disabilities									
	#	%	No Disability [05]	Not Identified [01]	Disability [06-98]	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]	
Executive/Senior Level	#	143	121	14	8	1	0	0	0	0	1	0	0	0	0	
	%	100%	84.62%	9.79%	5.59%	0.70%	0.00%	0.00%	0.00%	0.00%	0.70%	0.00%	0.00%	0.00%	0.00%	
Mid-level	#	376	355	10	11	1	0	0	0	0	0	0	0	0	1	
	%	100%	94.41%	2.66%	2.93%	0.27%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.27%	
First-Level	#	338	313	9	16	2	0	0	1	0	0	0	0	1	0	
	%	100%	92.60%	2.66%	4.73%	0.59%	0.00%	0.00%	0.30%	0.00%	0.00%	0.00%	0.00%	0.30%	0.00%	
Other	#	5	5	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%	
Officials and Managers TOTAL	#	862	794	33	35	4	0	0	1	0	1	0	0	1	1	
	%	100%	92.11%	3.83%	4.06%	0.46%	0.00%	0.00%	0.12%	0.00%	0.12%	0.00%	0.00%	0.12%	0.12%	
Professionals—Program Work	#	2412	2197	121	94	15	0	2	1	1	2	5	0	4	0	
	%	100%	91.09%	5.02%	3.90%	0.62%	0.00%	0.08%	0.04%	0.04%	0.08%	0.21%	0.00%	0.17%	0.00%	
Professionals—Business/ Financial Administration	#	883	741	58	84	16	4	2	0	1	0	1	0	8	0	
	%	100%	83.92%	6.57%	9.51%	1.81%	0.45%	0.23%	0.00%	0.11%	0.00%	0.11%	0.00%	0.91%	0.00%	
Administrative Support Workers	#	153	116	9	28	6	4	0	0	0	0	0	1	1	0	
	%	100%	75.82%	5.88%	18.30%	3.92%	2.61%	0.00%	0.00%	0.00%	0.00%	0.00%	0.65%	0.65%	0.00%	

Table B3-2: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY DISABILITY EMPLOYEES PAY PERIOD 201521

Occupational Category	TOTAL		Total by Disability Status					Detail for Targeted Disabilities							
	#	%	No Disability [05]	Not Identified [01]	Disability [06-98]	Targeted Disability	Hearing [16/17 or 21]	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]
Executive/Senior Level	#	143	121	14	8	1	0	0	0	0	1	0	0	0	0
	%	3.32%	3.14%	6.33%	3.32%	2.44%	0.00%	0.00%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%
Mid-level	#	376	355	10	11	1	0	0	0	0	0	0	0	0	1
	%	8.72%	9.23%	4.52%	4.56%	2.44%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%
First-Level	#	338	313	9	16	2	0	0	1	0	0	0	0	1	0
	%	7.84%	8.13%	4.07%	6.64%	4.88%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	7.14%	0.00%
Other	#	5	5	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.12%	0.13%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Officials and Managers	#	862	794	33	35	4	0	0	1	0	1	0	0	1	1
	%	20.00%	20.63%	14.93%	14.52%	9.76%	0.00%	0.00%	50.00%	0.00%	33.33%	0.00%	0.00%	7.14%	100.00%
Professionals—Program Work	#	2412	2197	121	94	15	0	2	1	1	2	5	0	4	0
	%	55.96%	57.09%	54.75%	39.00%	36.59%	0.00%	50.00%	50.00%	66.67%	83.33%	0.00%	0.00%	28.57%	0.00%
Professionals—Business/Financial Administration	#	863	741	58	84	16	4	2	0	1	0	1	0	8	0
	%	20.49%	19.26%	26.24%	34.85%	39.02%	50.00%	50.00%	0.00%	50.00%	0.00%	16.67%	0.00%	57.14%	0.00%
Administrative Support Workers	#	153	116	9	28	6	4	0	0	0	0	0	1	1	0
	%	3.55%	3.01%	4.07%	11.62%	14.63%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100%	7.14%	0.00%
TOTAL WORKFORCE	#	4,310	3,848	221	241	41	8	4	2	2	3	6	1	14	1
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

NOTE: Percentages computed down columns and NOT across rows.



Table B4-1: PARTICIPATION RATES FOR SK GRADES BY DISABILITY—PERMANENT WORKFORCE PAY PERIOD 201521

SK, SO, and Related Grades	TOTAL		Total by Disability Status						Detail for Targeted Disabilities									
	#	%	No Disability [05]	Not Identified [01]	Disability [06-98]	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]			
SK-03	#	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-04	#	4	2	1	1	0	0	0	0	0	0	0	0	0	0			
	%	100%	50.00%	25.00%	25.00%	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	1	0	0	0	0	0	0	0	0			
	%	100%	40.00%	0.00%	60.00%	20.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
SK-06	#	12	6	0	6	2	2	0	0	0	0	0	0	0	0			
	%	100%	50.00%	0.00%	50.00%	16.67%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
SK-07	#	81	62	5	14	3	1	0	0	0	0	0	1	1	0			
	%	100%	76.54%	6.17%	17.28%	3.70%	1.23%	0.00%	0.00%	0.00%	0.00%	1.23%	1.23%	1.23%	0.00%			
SK-08	#	24	20	3	1	0	0	0	0	0	0	0	0	0	0			
	%	100%	83.33%	12.50%	4.17%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
SK-09	#	79	66	8	5	1	1	0	0	0	0	0	0	0	0			
	%	100%	83.54%	10.13%	6.33%	1.27%	1.27%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
SK-10	#	2	1	0	1	1	1	0	0	0	0	0	0	0	0			
	%	100%	50.00%	0.00%	50.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
SK-11	#	141	118	6	17	4	0	0	0	1	1	0	0	2	0			
	%	100%	83.69%	4.26%	12.06%	2.84%	0.00%	0.00%	0.00%	0.71%	0.71%	0.00%	0.00%	1.42%	0.00%			
SK-12	#	250	207	19	24	5	2	0	0	0	0	0	0	3	0			
	%	100%	82.80%	7.60%	9.60%	2.00%	0.80%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	1.20%	0.00%			
SK-13	#	449	397	25	27	3	0	0	0	0	0	2	0	1	0			
	%	100%	88.42%	5.57%	6.01%	0.67%	0.00%	0.00%	0.00%	0.00%	0.45%	0.00%	0.00%	0.22%	0.00%			
SK-14	#	1934	1748	95	91	13	0	4	1	1	1	1	0	5	0			
	%	100%	90.38%	4.91%	4.71%	0.67%	0.00%	0.21%	0.05%	0.05%	0.05%	0.00%	0.00%	0.26%	0.00%			
SK-15	#	347	322	9	16	2	0	0	1	0	0	0	0	1	0			
	%	100%	92.80%	2.59%	4.61%	0.58%	0.00%	0.00%	0.29%	0.00%	0.00%	0.00%	0.00%	0.29%	0.00%			
SK-16	#	461	419	26	16	4	0	0	0	0	0	3	0	1	0			
	%	100%	90.89%	5.64%	3.47%	0.87%	0.00%	0.00%	0.00%	0.00%	0.65%	0.00%	0.22%	0.00%	0.00%			
SK-17	#	373	352	10	11	1	0	0	0	0	0	0	0	0	1			
	%	100%	94.37%	2.68%	2.95%	0.27%	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			
	%	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%			
Senior Officer	#	143	121	14	8	1	0	0	0	0	1	0	0	0	0			
	%	100%	84.62%	9.79%	5.59%	0.70%	0.00%	0.00%	0.00%	0.70%	0.00%	0.00%	0.00%	0.00%	0.00%			
Total Workforce	#	4310	3848	221	241	41	8	4	2	2	3	6	1	14	1			
	%	100%	89.28%	5.13%	5.59%	0.95%	0.19%	0.09%	0.05%	0.07%	0.14%	0.02%	0.32%	0.02%	0.02%			

Table B4-1: PARTICIPATION RATES FOR SK GRADES BY DISABILITY--TEMPORARY WORKFORCE PAY PERIOD 201521

SK, SO, and Related Grades	TOTAL		Total by Disability Status					Detail for Targeted Disabilities							
	#	%	No Disability [05]	Not Identified [01]	Disability [06-98]	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]
SK-03	#	3	2	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	#	3	3	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%
SK-05	#	7	6	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	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%
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	#	1	1	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%
SK-08	#	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-09	#	1	1	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%
SK-10	#	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%
SK-11	#	16	13	1	2	1	1	0	0	0	0	1	0	0	0
	%	100%	81.25%	6.25%	12.50%	6.25%	0.00%	0.00%	0.00%	0.00%	6.25%	0.00%	0.00%	0.00%	0.00%
SK-12	#	3	2	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	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-14	#	42	39	2	1	0	0	0	0	0	0	0	0	0	0
	%	100%	92.86%	4.76%	2.38%	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	#	32	28	3	1	0	0	0	0	0	0	0	0	0	0
	%	100%	87.50%	9.38%	3.13%	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	#	8	8	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%
Senior Officer, EX	#	8	6	2	0	0	0	0	0	0	0	0	0	0	0
	%	100%	75.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total	#	130	114	10	6	1	1	0	0	0	0	1	0	0	0
	%	100%	87.69%	7.69%	4.62%	0.77%	0.00%	0.00%	0.00%	0.00%	0.77%	0.00%	0.00%	0.00%	0.00%

Table B4-2: PARTICIPATION RATES FOR SK GRADES BY DISABILITY—PERMANENT WORKFORCE FOR PAY PERIOD 201521

SK, SO, and Related Grades	TOTAL		Total by Disability Status					Detail for Targeted Disabilities									
	#	%	No Disability [05]	Not Identified [01]	Disability [06-98]	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]		
SK-03	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%	0.00%		
SK-04	4	0.09%	2	1	1	0	0	0	0	0	0	0	0	0	0		
	%	0.09%	0.05%	0.45%	0.41%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-05	5	0.12%	2	0	3	1	1	0	0	0	0	0	0	0	0		
	%	0.12%	0.05%	0.00%	1.24%	2.44%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-06	12	0.28%	6	0	6	2	2	0	0	0	0	0	0	0	0		
	%	0.28%	0.16%	0.00%	2.49%	4.88%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-07	81	1.88%	62	5	14	3	1	0	0	0	0	0	1	1	0		
	%	1.88%	1.61%	2.26%	5.81%	7.32%	12.50%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	7.14%	0.00%		
SK-08	24	0.56%	20	3	1	0	0	0	0	0	0	0	0	0	0		
	%	0.56%	0.52%	1.36%	0.41%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-09	79	1.83%	66	8	5	1	1	0	0	0	0	0	0	0	0		
	%	1.83%	1.72%	3.62%	2.07%	2.44%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-10	2	0.05%	0	0	1	1	1	0	0	0	0	0	0	0	0		
	%	0.05%	0.03%	0.00%	0.41%	2.44%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-11	141	3.27%	118	6	17	4	0	0	0	1	1	0	0	2	0		
	%	3.27%	3.07%	2.71%	7.05%	9.76%	0.00%	0.00%	50.00%	33.33%	0.00%	0.00%	0.00%	14.29%	0.00%		
SK-12	250	5.80%	207	19	24	5	2	0	0	0	0	0	0	3	0		
	%	5.80%	5.38%	8.60%	9.96%	12.20%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	21.43%	0.00%		
SK-13	449	10.42%	397	25	27	3	0	0	0	0	0	2	0	1	0		
	%	10.42%	10.32%	11.31%	11.20%	7.32%	0.00%	0.00%	0.00%	0.00%	33.33%	0.00%	0.00%	7.14%	0.00%		
SK-14	1934	44.87%	1748	95	91	13	0	4	1	1	1	1	0	5	0		
	%	44.87%	45.43%	42.99%	37.76%	31.71%	0.00%	100.00%	50.00%	33.33%	16.67%	0.00%	0.00%	35.71%	0.00%		
SK-15	347	8.05%	322	9	16	2	0	0	0	0	0	0	0	1	0		
	%	8.05%	8.37%	4.07%	6.64%	4.88%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	7.14%	0.00%		
SK-16	461	10.70%	419	26	16	4	0	0	0	0	0	3	0	1	0		
	%	10.70%	10.89%	11.76%	6.64%	9.76%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	7.14%	0.00%		
SK-17	373	8.65%	352	10	11	1	0	0	0	0	0	0	0	0	1		
	%	8.65%	9.15%	4.52%	4.56%	2.44%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%		
Other	5	0.12%	5	0	0	0	0	0	0	0	0	0	0	0	0		
	%	0.12%	0.13%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
Senior Officer	143	3.32%	121	14	8	1	0	0	0	0	1	0	0	0	0		
	%	3.32%	3.14%	6.33%	3.32%	2.44%	0.00%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%		
Total Workforce	4310	100%	3848	221	241	41	8	4	2	3	6	1	14	1	1		
	%	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 201521

SK, SO, and Related Grades	TOTAL		Total by Disability Status					Detail for Targeted Disabilities							
	#	%	No Disability [05]	Not Identified [01]	Disability [06-98]	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]
SK-03	3	2.31%	2	1	0	0	0	0	0	0	0	0	0	0	0
			1.75%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	3	2.31%	3	0	0	0	0	0	0	0	0	0	0	0	0
			2.63%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-05	7	5.38%	6	0	1	0	0	0	0	0	0	0	0	0	0
			5.26%	0.00%	16.67%	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	1	0.77%	1	0	0	0	0	0	0	0	0	0	0	0	0
			0.88%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-08	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-09	1	0.77%	1	0	0	0	0	0	0	0	0	0	0	0	0
			0.88%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	2	1.54%	2	0	0	0	0	0	0	0	0	0	0	0	0
			1.75%	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	16	12.31%	13	1	2	1	0	0	0	0	0	1	0	0	0
			11.40%	10.00%	33.33%	100.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%
SK-12	3	2.31%	2	1	0	0	0	0	0	0	0	0	0	0	0
			1.75%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	4	3.08%	3	0	1	0	0	0	0	0	0	0	0	0	0
			2.63%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	42	32.31%	39	2	1	0	0	0	0	0	0	0	0	0	0
			34.21%	20.00%	16.67%	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	32	24.62%	28	3	1	0	0	0	0	0	0	0	0	0	0
			24.56%	30.00%	16.67%	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	8	6.15%	8	0	0	0	0	0	0	0	0	0	0	0	0
			7.02%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer, EX	8	6.15%	6	2	0	0	0	0	0	0	0	0	0	0	0
			5.26%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total Workforce	130	100%	114	10	6	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 201521

Job Title/Series	TOTAL		Total by Disability Status					Detail for Targeted Disabilities							
	#	%	No Disability [05]	Not Identified [01]	Disability [06-98]	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]
0110 Economist	80		72	8	0	0	0.00%	0	0	0	0	0	0	0	0
		%	10.00%	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	946		874	30	42	5	0	0	1	0	0	2	0	2	0
		%	92.39%	3.17%	4.44%	0.53%	0.00%	0.00%	0.11%	0.00%	0.00%	0.21%	0.00%	0.21%	0.00%
0905 General Attorney	1840		1680	92	68	13	0	2	1	1	3	3	0	3	0
		%	91.30%	5.00%	3.70%	0.71%	0.00%	0.11%	0.05%	0.05%	0.16%	0.16%	0.00%	0.16%	0.00%
1831 Securities Compliance Examining	215		193	17	5	1	0	0	0	0	0	0	0	0	1
		%	89.77%	7.91%	2.33%	0.47%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.47%

Table B6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS—DISTRIBUTION BY DISABILITY—  
TEMPORARY WORKFORCE PAY PERIOD 201521

Job Title/Series	TOTAL		Total by Disability Status				Detail for Targeted Disabilities							
	No Disability [05]	Not Identified [01]	Disability [06-98]	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]	
0110 Economist	# 30	2	0	0	0	0	0	0	0	0	0	0	0	
	% 93.75%	6.25%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
0510 Accountant	# 18	1	0	0	0	0	0	0	0	0	0	0	0	
	% 94.74%	5.26%	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	# 13	2	0	0	0	0	0	0	0	0	0	0	0	
	% 86.67%	13.33%	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	# 5	1	1	0	0	0	0	0	0	0	0	0	0	
	% 71.43%	14.29%	14.29%	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 2015)

		Total by Disability Status				Detail for Targeted Disabilities										
		No Disability [05]	Not Identified [01]	Disability [06-98]	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]	
<b>Schedule A</b>																
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%	0.00%
Hires	#	7	0	1	6	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	14.29%	85.71%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%
<b>Voluntarily Identified (Outside of Schedule A Applicants)</b>																
Applications	#	48557	46974	1583	601	71	80	10			54	54	16	312	4	
	%	100%	96.74%	0.00%	1.24%	0.15%	0.16%	0.02%	0.00%	0.00%	0.11%	0.11%	0.03%	0.64%	0.01%	
Hires	#	725	723	0	2	0	0	0	0	0	0	0	0	0	0	
	%	100%	99.72%	0.00%	0.28%	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 both permanent and temporary positions. No Disability and Not Identified are combined in Cognos Applicant Flow Data.

Table B8: NEW HIRES BY TYPE OF APPOINTMENT—DISTRIBUTION BY DISABILITY  
FOR PERIOD 2014-10-01 TO 2015-09-30

Type of Appointment	Total by Disability Status				Detail for Targeted Disabilities									
	No Disability [05]	Not Identified [01]	Disability [06-98]	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]	
Permanent	#	42	22	2	0	0	0	0	0	1	0	1	0	
	%	83.76%	5.58%	0.51%	0.00%	0.00%	0.00%	0.00%	0.00%	0.25%	0.00%	0.25%	0.00%	
Temporary	#	5	5	0	0	0	0	0	0	0	0	0	0	
	%	83.87%	8.06%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Total	#	47	27	2	0	0	0	0	0	1	0	1	0	
	%	83.77%	5.92%	0.44%	0.00%	0.00%	0.00%	0.00%	0.00%	0.22%	0.00%	0.22%	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 [06-98]	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]	
<b>Job Title/Series: General Attorney (0905)</b>														
Total Applications Received	# 387	336	40	11	1	0	0	0	0	0	0	0	1	0
	% 100%	86.82%	10.34%	2.84%	0.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.26%	0.00%
Qualified	# 359	312	36	11	1	0	0	0	0	0	0	0	1	0
	% 100%	86.91%	10.03%	3.06%	0.28%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.28%	0.00%
Selected	# 48	45	3	0	0	0	0	0	0	0	0	0	0	0
	% 100%	93.75%	6.25%	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%	91.28%	5.02%	3.70%	0.79%	0.00%	0.13%	0.07%	0.13%	0.20%	0.00%	0.00%	0.20%	0.00%
<b>Job Title/Series: Accounting (0510)</b>														
Total Applications Received	# 129	120	5	4	0	0	0	0	0	0	0	0	0	0
	% 100%	93.02%	3.88%	3.10%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	# 112	105	5	2	0	0	0	0	0	0	0	0	0	0
	% 100%	93.75%	4.46%	1.79%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	# 42	40	0	2	0	0	0	0	0	0	0	0	0	0
	% 100%	95.24%	0.00%	4.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	% 100%	92.03%	3.94%	4.03%	0.47%	0.00%	0.09%	0.00%	0.19%	0.00%	0.00%	0.00%	0.19%	0.00%
<b>Job Title/Series: Securities Compliance Examining (1831)</b>														
Total Applications Received	# 102	97	3	2	0	0	0	0	0	0	0	0	0	0
	% 100%	95.10%	2.94%	1.96%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	# 79	76	1	2	0	0	0	0	0	0	0	0	0	0
	% 100%	96.20%	1.27%	2.53%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	# 13	13	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%
Relevant Applicant Pool	% 100%	86.61%	10.71%	2.68%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Job Title/Series: Economist (0110)</b>														
Total Applications Received	# 9	8	1	0	0	0	0	0	0	0	0	0	0	0
	% 100%	88.89%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	# 3	2	1	0	0	0	0	0	0	0	0	0	0	0
	% 100%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	# 3	2	1	0	0	0	0	0	0	0	0	0	0	0
	% 100%	66.67%	33.33%	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%	88.33%	11.67%	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 201521

	Total by Disability Status		Detail for Targeted Disabilities											
	No Disability [05]	Not Identified [01]	Disability [06-98]	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]	
<b>TOTAL</b>														
Total Employees in Career Ladder	#	41	18	4	0	0	0	0	1	0	0	2	0	
	%	9.43%	4.14%	0.92%	0.00%	0.00%	0.00%	0.00%	0.23%	0.00%	0.00%	0.46%	0.00%	
<b>Time in Grade in excess of minimum</b>														
1-12 months	#	9	2	0	0	0	0	0	0	0	0	0	0	
	%	81.82%	18.18%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
13-24 months	#	2	1	0	0	0	0	0	0	0	0	0	0	
	%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
25+ months	#	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%	

Table B11: INTERNAL SELECTIONS FOR SENIOR LEVEL (SK-13 - SK-17) POSITIONS BY DISABILITY\* FOR FY 2015

	TOTAL		Total by Disability Status					Detail for Targeted Disabilities						
	No Disability [05]	Not Identified [01]	Disability [06-98]	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]	
<b>Grade of Vacancy: SK-13</b>														
Relevant Pool	100%	82.61%	7.91%	9.49%	1.98%	0.79%	0.00%	0.00%	0.00%	0.00%	0.00%	1.19%	0.00%	
Total Applications Received	# 71	55	8	8	2	2	0	0	0	0	0	0	0	
	% 100%	77.46%	11.27%	11.27%	2.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Qualified	# 41	33	4	4	1	1	0	0	0	0	0	0	0	
	% 100%	80.49%	9.76%	9.76%	2.44%	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	
	% 100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
<b>Job Series/Grade of Vacancy: SK-14</b>														
Relevant Pool	100%	88.30%	5.52%	6.18%	0.66%	0.00%	0.00%	0.00%	0.00%	0.44%	0.00%	0.22%	0.00%	
Total Applications Received	# 175	163	7	5	0	0	0	0	0	0	0	0	0	
	% 100%	93.14%	4.00%	2.86%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Qualified	# 137	127	6	4	0	0	0	0	0	0	0	0	0	
	% 100%	92.70%	4.38%	2.92%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Selected	# 43	40	1	2	0	0	0	0	0	0	0	0	0	
	% 100%	93.02%	2.33%	4.65%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
<b>Job Series/Grade of Vacancy: SK-16</b>														
Relevant Pool	100%	90.79%	4.56%	4.65%	0.65%	0.00%	0.17%	0.09%	0.04%	0.04%	0.00%	0.26%	0.00%	
Total Applications Received	# 295	265	21	9	0	0	0	0	0	0	0	0	0	
	% 100%	89.83%	7.12%	3.05%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Qualified	# 256	231	18	7	0	0	0	0	0	0	0	0	0	
	% 100%	90.23%	7.03%	2.73%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Selected	# 31	29	2	0	0	0	0	0	0	0	0	0	0	
	% 100%	93.55%	6.45%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
<b>Job Series/Grade of Vacancy: SK-15 &amp; SK-17</b>														
Relevant Pool	100%	90.77%	4.79%	4.44%	0.67%	0.00%	0.14%	0.07%	0.04%	0.04%	0.00%	0.25%	0.00%	
Total Applications Received	# 449	397	32	20	1	0	0	0	0	0	0	1	0	
	% 100%	88.42%	7.13%	4.45%	0.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.22%	0.00%	
Qualified	# 369	329	26	14	1	0	0	0	0	0	0	1	0	
	% 100%	89.16%	7.05%	3.79%	0.27%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.27%	0.00%	
Selected	# 67	63	2	2	0	0	0	0	0	0	0	0	0	
	% 100%	94.03%	2.99%	2.99%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	

\*There were no internal vacancy announcements for Senior Officer Positions in FY 2015. "Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify for the position announced.

TABLE B12: PARTICIPATION IN CAREER DEVELOPMENT—DISTRIBUTION BY DISABILITY FOR FY 2015

	Total by Disability Status				Detail for Targeted Disabilities								
	No Disability [05]	Not Identified [01]	Disability [06-98]	Targeted Disability [18]	Hearing [16/17 or 21]	Vision [23/25 or 30]	Missing Extremities [28, 32-38 or 39]	Partial Paralysis [64-68 or 69]	Complete Paralysis [71-78 or 79]	Epilepsy [82]	Severe Intellectual Disability [90]	Psychiatric Disability [91]	Dwarfism [92]
<b>Career Development Programs for SK 5-12</b>													
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%
Applied	#	54	48	5	1	0	0	0	0	0	0	0	0
	%	100%	88.89%	9.26%	1.85%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	7	7	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%
<b>Career Development Programs for SK 13-14</b>													
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%
Applied	#	49	44	3	2	0	0	0	0	0	0	0	0
	%	100%	90%	6.12%	4.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	36	32	2	2	0	0	0	0	0	0	0	0
	%	100%	88.89%	5.56%	5.56%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs for SK 15-17</b>													
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%
Applied	#	17	17	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%
Participants	#	9	9	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%
"Relevant Pool" includes all employees in the next lower pay grade and in all series that qualify them for the career development program.													

TABLE B13: EMPLOYEE RECOGNITION AND AWARDS—DISTRIBUTION BY DISABILITY FOR PERIOD 2014-10-01 TO 2015-09-30

Awards	Total by Disability Status				Detail for Targeted Disabilities									
	No Disability [05]	Not Identified [01]	Disability [06-98]	Targeted Disability [99]	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]	
<b>Time-Off Awards: 1-9 hours</b>														
Total Time-Off Awards Given	1373	1203	83	87	10	2	2	0	0	1	0	0	4	1
	100%	87.62%	6.05%	6.34%	0.73%	0.15%	0.15%	0.00%	0.00%	0.07%	0.00%	0.00%	0.29%	0.07%
Total Hours	9266	8166	571	529	60	12	12	0	0	4	0	0	24	8
Average Hours	7	7	7	6	6	6	6	0	0	4	0	0	6	4
<b>Time-Off Awards: 9+ hours</b>														
Total Time-Off Awards Given	1286	1149	68	69	15	4	4	0	0	0	6	0	4	0
	100%	89.35%	5.29%	5.37%	1.17%	0.31%	0.31%	0.00%	0.00%	0.00%	0.47%	0.00%	0.31%	0.00%
Total Hours	24396	21866	1242	1288	268	64	64	0	0	0	116	0	72	0
Average Hours	19	19	18	19	18	16	16	0	0	0	19	0	18	0
<b>Cash Awards: \$100 - \$500</b>														
Total Cash Awards Given	1331	1108	94	129	28	6	6	1	0	0	6	0	6	0
	100%	83.25%	7.06%	9.69%	2.10%	0.45%	0.45%	0.08%	0.00%	0.00%	0.45%	0.00%	0.45%	0.00%
Total Amount	\$499,827	423,558	32,245	44,024	8,794	1,837	250	250	0	0	2,275	0	2,175	0
Average Amount	\$376	382	343	341	314	306	250	250	0	0	379	0	363	0
<b>Cash Awards: \$501+</b>														
Total Cash Awards Given	3944	3604	177	163	23	2	2	2	1	0	1	0	12	2
	100%	91.38%	4.49%	4.13%	0.58%	0.05%	0.05%	0.05%	0.03%	0.00%	0.03%	0.00%	0.30%	16.67%
Total Amount	\$5,143,119	4,719,575	214,771	208,773	33,882	1,770	1,500	1,000	1,000	0	1,000	0	19,250	5,400
Average Amount	\$1,304	1,310	1,213	1,281	1,473	885	750	1,000	1,000	0	1,000	0	1,604	2,700
<b>Quality Step Increases (N/A)</b>														
Total QSI Award	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%

TABLE B14: SEPARATIONS BY TYPE OF SEPARATION—DISTRIBUTION BY DISABILITY FOR FY 2015

Type of Separation	TOTAL		Total by Disability Status					Detail for Targeted Disabilities							
	#	%	No Disability [05]	Not Identified [01]	Disability [06-98]	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]
Voluntary	#	214	183	13	18	2	0	0	0	1	0	0	0	1	0
	%	100%	85.51%	6.07%	8.41%	0.93%	0.00%	0.00%	0.00%	0.47%	0.00%	0.00%	0.00%	0.47%	0.00%
Involuntary	#	7	5	1	1	0	0	0	0	0	0	0	0	0	0
	%	100%	71.43%	14.29%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total Separations	#	221	187	14	19	2	0	0	0	1	0	0	0	1	0
	%	100%	84.62%	6.33%	8.60%	0.90%	0.00%	0.00%	0.00%	0.45%	0.00%	0.00%	0.00%	0.45%	0.00%
Total Workforce	#	4440	3962	231	247	42	8	4	2	2	3	7	1	14	1
	%	100%	89.23%	5.20%	5.56%	0.95%	0.18%	0.09%	0.05%	0.05%	0.07%	0.16%	0.02%	0.32%	0.02%





OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY  
U.S. Securities and Exchange Commission  
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Washington, DC 20549

