



**U.S. Department of Energy**  
National Nuclear Security Administration

**Management Directive-715**

**Fiscal Year 2009**

*National Nuclear Security Administration*

**FY 2009 MD-715**

**EEO Program Status Report**

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| EEOC FORM<br>715-01<br>PART A - D  | U.S. Equal Employment Opportunity Commission<br>FEDERAL AGENCY ANNUAL<br>EEO PROGRAM STATUS REPORT |                 |   |                 |
|--|--|-----------------|---|-----------------|
| <b>For period covering October 1, 2008 to September 30, 2009</b>                               |  |                 |   |                 |
| <b>PART A</b><br>Department<br>or Agency<br>Identifying<br>Information                         | <b>1. Agency</b>   |                 | <b>1. U.S. Department of Energy</b>   |                 |
|  | 1.a. 2 <sup>nd</sup> level reporting component   |                 | <b>1.a. National Nuclear Security Administration</b>  |                 |
|  | 1.b. 3 <sup>rd</sup> level reporting component   |                 |   |                 |
|  | 1.c. 4 <sup>th</sup> level reporting component   |                 |   |                 |
|  | <b>2. Address</b>  |                 | <b>1000 Independence Avenue, S.W.</b>   |                 |
|  | <b>3. City, State, Zip Code</b>  |                 | <b>Washington, D.C. 20585</b>   |                 |
|  | 4. CPDF Code   | 5. FIPS code(s) | 4. 1785   | 5. 8840         |
| <b>PART B</b><br>Total<br>Employment   | 1. Enter total number of permanent full-time and part-time employees                               |                 |   | 1. 2,668        |
|  | 2. Enter total number of temporary employees   |                 |   | 2. 36           |
|  | 3. Enter total number employees paid from non-appropriated funds                                   |                 |   | 3. 0            |
|  | <b>4. TOTAL EMPLOYMENT [add lines B 1 through 3]</b>   |                 |   | <b>4. 2,704</b> |
| <b>PART C</b><br>Agency<br>Official(s)<br>Responsible<br>For Oversight<br>of EEO<br>Program(s) | 1. Head of Agency<br>Official Title  |                 | 1. Administrator for National Nuclear Security<br>Administration  |                 |
|  | 2. Agency Head Designee  |                 | 2. Thomas P. D'Agostino   |                 |
|  | 3. Principal EEO Director/Official<br>Official Title/series/grade                                  |                 | 3. Mary Ann Fresco, Director,<br>Office of Diversity and Outreach, NNSA,<br>Senior Executive Service<br><br>Yolanda Girón, EEO and Diversity Program<br>Manager, NNSA Service Center, Pay Band<br>NQ 260-04 (GS 260-15) |                 |
|  | 4. Title VII Affirmative EEO<br>Program Official   |                 | 4. Yolanda Girón, EEO and Diversity Program<br>Manager  |                 |
|  | 5. Section 501 Affirmative Action<br>Program Official  |                 | 5. Yolanda Girón, EEO and Diversity Program<br>Manager  |                 |
|  | 6. Complaint Processing Program<br>Manager   |                 | 6. William Lewis, Deputy Director, Office of Civil<br>Rights and Diversity, Complaint Processing<br>Manager for NNSA-HQ   |                 |

|  |                                |  |
|--|--------------------------------|--|
|  |                                | Debra Parrish, Deputy EEO Manager, Complaint Processing Program for NNSA Service Center, Site Offices, and Office of Secure Transportation |
|  | 7. Other Responsible EEO Staff | Debra Parrish, Deputy EEO Manager  |
|  |                                | Patricia Padilla, EEO and Diversity Specialist   |
|  |                                | Denise Ramos, EEO and Diversity Specialist   |

**Data contained in this report is current as of September 12, 2009.**

| EEOC FORM<br>715-01<br>PART A - D  | <i>U.S. Equal Employment Opportunity Commission</i><br><b>FEDERAL AGENCY ANNUAL<br/>EEO PROGRAM STATUS REPORT</b> |   |                     |
|--|---|---|---------------------|
| PART D<br>List of Subordinate Components Covered in<br>This Report   | Subordinate Component and Location<br>(City/State)  |   | CPDF and FIPS codes |
|  | National Nuclear Security<br>Administration   | 1785  | 8840                |
| EEOC FORMS and Documents Included With This Report   |   |   |                     |
| *Executive Summary [FORM 715-01 PART E],<br>that includes:   | X   | *Optional Annual Self-Assessment Checklist Against Essential<br>Elements [FORM 715-01PART G]  |                     |
| Brief paragraph describing the agency's<br>mission and mission-related functions                               | X   | *EEO Plan To Attain the Essential Elements of a Model EEO<br>Program [FORM 715-01PART H] for each programmatic essential<br>element requiring improvement                         |                     |
| Summary of results of agency's annual self-<br>assessment against MD-715 "Essential<br>Elements"               | X   | *EEO Plan To Eliminate Identified Barrier<br>[FORM 715-01 PART I] for each identified barrier   |                     |
| Summary of Analysis of Work Force Profiles<br>including net change analysis and comparison<br>to RCLF          | X   | *Special Program Plan for the Recruitment, Hiring, and<br>Advancement of Individuals With Targeted Disabilities for agencies<br>with 1,000 or more employees [FORM 715-01 PART J] |                     |
| Summary of EEO Plan objectives planned to<br>eliminate identified barriers or correct program<br>deficiencies  | X   | *Copy of Workforce Data Tables as necessary to support Executive<br>Summary and/or EEO Plans  |                     |
| Summary of EEO Plan action items<br>implemented or accomplished  | X   | *Copy of data from 462 Report as necessary to support action items<br>related to Complaint Processing Program deficiencies, ADR<br>effectiveness, or other compliance issues      |                     |
| *Statement of Establishment of Continuing<br>Equal Employment Opportunity Programs<br>[FORM 715-01 PART F]     | X   | *Copy of Facility Accessibility Survey results as necessary to<br>support EEO Action Plan for building renovation projects  |                     |
| *Copies of relevant EEO Policy Statement(s)<br>and/or excerpts from revisions made to EEO<br>Policy Statements | X   | *Organizational Chart   |                     |

|   |   |  |
|---|---|--|
| <b>EEOC FORM<br/>715-01<br/>PART E</b>  | <b>U.S. Equal Employment Opportunity Commission<br/>FEDERAL AGENCY ANNUAL<br/>EEO PROGRAM STATUS REPORT</b> |  |
| <b>U.S. Department of Energy<br/>National Nuclear Security Administration</b>   | <b>For period covering October 1, 2008, to September 30, 2009</b>   |  |
| <b>EXECUTIVE SUMMARY</b>  |   |  |
| <p><b>I. Mission:</b> Congress formally established the National Nuclear Security Administration (NNSA) as a separately organized agency within the U.S. Department of Energy (DOE) in 2000. The mission of the NNSA is <i>to strengthen United States' security through the military application of nuclear energy and reduce the global threat from terrorism and weapons of mass destruction.</i> To leverage resources in support of this mission, NNSA is preparing for a transformation and consolidation of missions and facilities within existing NNSA sites, known as distributed centers of excellence. NNSA's expectations for our nuclear security enterprise is to be a smaller, more efficient, enterprise that employs best business practices to maximize efficiency, minimize costs, and respond to national global security challenges.</p> <p>Managing a complex nuclear security enterprise program will continue to require a workforce that is "second to none." NNSA's ability to retain and regenerate these experts is essential to its mission. NNSA's vision for transformation includes a streamlined leadership and management structure that will enable the nuclear weapons complex to fully leverage the critical skills of our workforce. To accomplish this transformation, Office of Personnel Management approved NNSA's project plan to implement a Pay Banding and Performance-Based Pay Adjustments Demonstration (DEMO) Project. On March 16, 2008, NNSA implemented its DEMO Project. This DEMO Project is designed to give NNSA managers the state-of-art tools and flexibilities needed to gain and maintain a competitive edge in the current and future market place through use of higher entry salaries and faster pay progression of high performing employees. The first year evaluation of the DEMO Project is currently being conducted. Although the final data analysis is not complete, it is anticipated that this pay system will help attract highly qualified, diverse applicants for future job opportunities within the NNSA.</p> <p><b>II. Summary of Results of NNSA's Annual Self-Assessment Against MD-715 Essential Elements:</b></p> <p>The agency's self-assessment checklist measuring essential elements were completed. The NNSA has made several accomplishments toward the essential elements of a model EEO program. Overall, NNSA meets the six Essential Elements identified as necessary for a model EEO program. The following strengths and recommendations are noted. Additional information may be found in the EEOC Form, Part H and I:</p> <ol style="list-style-type: none"> <li>1. Element one: Demonstrated Commitment from Agency Leadership <p><b>Strength:</b> The EEO and Diversity Policy Statement and Prevention of Harassment Policy Statement, are well established, in place, and accessible to all employees 24/7 via World Wide Web. On January 21, 2009, Secretary of Energy Steven Chu was appointed. New EEO policy statements will be issued upon confirmation of the Director, Office of Civil Rights, DOE-HQ.</p> </li> </ol> |   |  |

Consistent with the Secretary of Energy's EEO and Diversity Policy statement and DOE Order 311B for training, the EEO and Diversity staff trained all Site Office, Service Center, and NNSA HQ Office of Secure Transportation (NA-15), including Eastern, Western, Central and Training Command managers and supervisors with an annual FY 2009 EEO update on the Amended American with Disabilities Act of 2008, which went in effect January 1, 2009. An overview of the NNSA Diversity workforce statistics was also provided to all Site Office, Service Center, and Office of Secure Transportation (NA-15) managers and supervisors.

**Recommendation:** Execute 2010 Policy Statements on EEO and Diversity and the Prevention of Harassment by Secretary of Energy Steven Chu.

2. Element two: Integration of EEO into the Agency's Strategic Mission

**Strength:** The NNSA EEO, Diversity, and Inclusion Strategic Framework has been developed. All NNSA employees were briefed in FY 2008. In FY 2009, NNSA began implementing its corporate EEO, Diversity, and Inclusion Strategic Framework, led by NNSA's Office of Diversity and Outreach (ODO) staff. ODO also developed, and submitted for HQ approval, a newly designed charter and structure for the corporate NNSA Administrator's Council for Strategic Diversity Leadership. This strategic framework is designed to support the transformation of NNSA into a more diverse and inclusive workplace, and to support the NNSA's Employer of Choice initiative.

NNSA's HQ ODO and EEO and Diversity Office at the Service Center are independently organized and report directly to the agency head, while also serving as key resources to managers and supervisors by providing direction and guidance on key initiatives to achieve a diverse workplace free of barriers to equal opportunity.

**Recommendation:** Report annual accomplishments.

3. Element three: Management and Program Accountability

**Strength:** Consistent with this performance element and the Secretary of Energy's EEO and Diversity Policy statement and DOE Order 311B for training, NNSA-HQ training was made available through various avenues through the Department of Energy's Office of Civil Rights. The EEO and Diversity staff also trained all Site Office, Service Center, and NNSA HQ Office of Secure Transportation (NA-15), including Eastern, Western, Central and Training Command, managers and supervisors with an annual FY 2009 EEO update on the Amended American with Disabilities Act of 2008, which went in effect January 1, 2009. An overview of the NNSA Diversity workforce statistics was also provided to all Site Office, Service Center, and Office of Secure Transportation (NA-15) managers and supervisors.

In response to FY 2008 customer feedback, employees requested computer-based EEO training in FY 2009. The EEO and Diversity Office, therefore, developed two computer-based training modules on Prevention of Harassment and an EEO Update, which included Amended American with Disabilities Act. In addition, employees are required to complete training bi-annually on the Federal Notification and Federal Employee Antidiscrimination and

Retaliation Act (“the No FEAR Act”). In FY 2009, 98.9% of Service Center Employees completed the No FEAR Act Training Course; the completion rate for NNSA-wide was 53.8%.

**Recommendation:** Provide training to all management officials and supervisors on special hiring authorities for individuals with Targeted disabilities and reasonable accommodations procedures.

#### 4. Element four: Proactive Prevention

**Strength:** All MD-715 Reports have been developed within required time frames. During FY 2009, NNSA acquired the MD-715 software and is in the process of implementing.

**Recommendation:** Implement MD-715 software at Service Center and train staff, where MD-715 is developed.

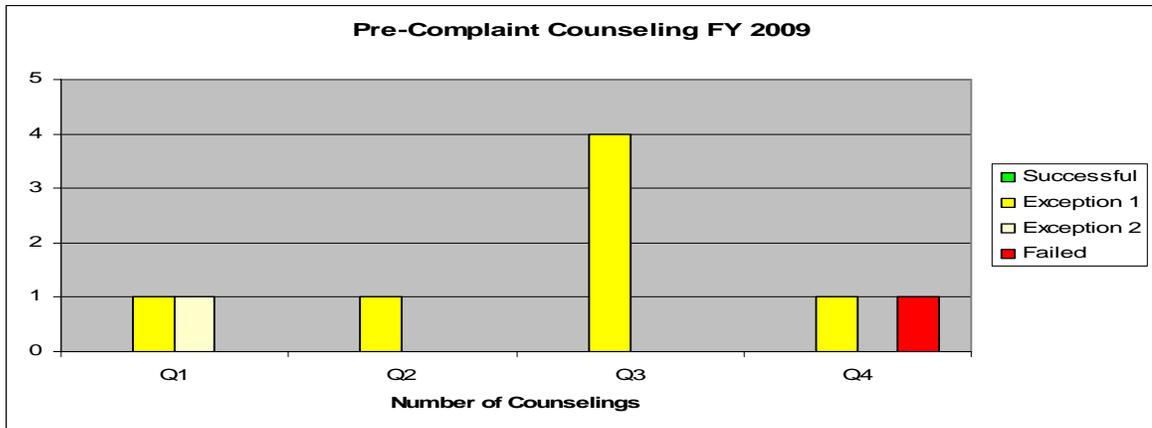
#### 5. Element five and six: Efficiency and Responsiveness/Legal Compliance

**Strength:** EEO and Diversity Program is in compliance with EEO laws, regulations, and policies. The EEO and Diversity Office uses a four color-coded system to measure EEO complaint activity: Green (successful); Bright Yellow (successful with a written extension); Pale Yellow (successful with verbal extension in place, beyond the 30-60 day timeframe); and Red (failure).

##### Informal/Pre-Complaints

In FY09, nine informal/pre-complaints were processed within 29 CFR 1614 and EEO Commission (EEOC) Management Directive-110 (MD-110). Of these, EEO Counselors received seven written extensions, and the limited inquiry was completed within the required 30-60 day time frame. One verbal extension was granted, and the limited inquiry was completed within the required 30-60 day time frame. One complaint failed the 30-60 day time frame, and no extension was requested.

The information in Figure 1.2 depicts the length of time to process a complaint at the informal/pre-complaint counseling stage within 29 CFR 1614 regulations and EEOC MD-110. Metrics measure progress to manage the informal complaint within 30-60 day time frame, per 29 CFR 1614 regulations and Equal Employment Opportunity Commission Management Directive-110.



**Figure 1.1** Number of Days to Process Informal/Pre-Complaints in Counseling Stage

- Green– EEO Counselor limited inquiry into EEO complaint completed within 30 calendar days of initial contact.
- Bright Yellow – EEO Counselor received complainant’s agreement, in writing, to extension of an additional 30 days, and the limited inquiry is completed within 60 days.
- Pale Yellow – EEO Counselor does not complete the inquiry within 30 calendar days of initial contact, has a verbal agreement to extend from complainant, and no documentation.
- Red – EEO Counselor does not complete the inquiry within 30 calendar days of initial contact, and there is no request made of the complainant to an extension.

**Successful:** Counseling completed within 30 days

**Exception 1:** Counseling completed beyond 30 days, less than 60, with written extension in place; mediation in place; or settled in mediation

**Exception 2:** Counseling completed beyond 30/60 days, w extension or other documented reason: mediation; travel; leave

**Failure:** Counseling completed beyond 30-60 days time frame with no valid explanation

### Formal Complaints

The EEO and Diversity Office processed nine new formal complaints in FY09. Of the carry-over case-load from FY08, two were Green indicating the case was managed within the required 180- day investigation period. Three were Bright Yellow and the case went beyond the 180-day investigation period, however, did not exceed the 270 days allowed with a written extension in place. Seven were Red and the case was not managed within the required 180-270 days because the contractor was unable to perform the investigation within the required timeframes.

**Recommendation:** Continue monitoring processing times to ensure compliance within 29 CFR 1614 and EEO Commission (EEOC) Management Directive-110 (MD-110).

**III. Summary of Results of Analysis of Workforce Profile:****A. Workforce Profile Summary, including net change analysis and comparison to Civilian Labor Force (CLF), Table A1/B1:**

The total workforce was compared to the 2000 Census Bureau's Civilian Labor Force (CLF) and targeted disabilities were compared to the federal high of 2.27% (from EEOC.gov). In addition, diversity and gender separations were compared to total workforce separations. Analysis of the workforce reflected the following:

- NNSA increased staffing by 35 FTEs or 1.3%; 2669 in FY 2008 and 2704 employees in FY 2009.
- Minorities comprise 31.8% of NNSA's workforce, an increase of 0.3% over FY 2008
- Female representation as of 9/12/2009 was 34.1%; a decrease of 0.1% from September 2008, which was 34.2%.
- Under represented groups include White females 18.5%, CLF 33.7%; African American males 3.6%, CLF 4.8%; and Asian females 1.2%, CLF 1.7%. Note: African American females increased .5% (14 FTEs) and are no longer under represented: 5.6%, CLF 5.7%.
- Individuals with targeted disabilities remains unchanged at .4% (11 FTEs) compared to the Federal high of 2.27%.

The five-year trend for White female, African American male, and Asian female follows:

- White females comprised 18.5%, 18.3%, 18.5%, 18.7% and 18.5% in the five-year period.
- African American males comprised 3.6%, 3.3%, 3.1%, 3% and 3% in the five-year period.
- Asian females comprised 1.2%, 1.3%, 1.1%, 1% and 1% in the five-year period.

The five-year trend for employees with targeted disabilities (deafness, blindness, missing limbs, partial or total paralysis, convulsive disorder, mental illness, and distortion of limb/spine) remains unchanged from 11 in FY 2008 to 11 in FY 2009. The five-year trend follows:

- 1% (14 FTEs); .5% (12 FTEs); .5% (12 FTEs); .4% (11 FTEs) and in FY 2009 .4% (11 FTEs) compared to the Federal high of 2.27%.

The five-year trend for White females indicates no movement for White females as a portion of the total NNSA workforce.

The five-year trend for African American males indicates an increase for African American male employee as a portion of the total NNSA workforce.

The five-year trend for Asian females indicates upward movement as a portion of the total NNSA workforce. The five-year trend for employees with targeted disabilities indicates slight

movement downward for employees with Targeted Disabilities.

The 2010 Census Bureau CLF will provide more current data regarding the CLF and NNSA's recruitment and retention efforts.

**B. Analysis of New Hires, Tables A-8 and B-8:**

The ratio of new hires was compared for each group against their Civilian Labor Force (CLF) and targeted disabilities were compared to the total number of new hires. Analysis of the workforce reflected the following:

- NNSA hired 218 permanent new employees in FY 2009.
- Forty one (18.8%) permanent new hires were White females as compared to the CLF which is 33.7%
- Twelve (5.5%) permanent new hires were African American males as compared to the CLF which is 4.8%.
- Two (.9%) permanent new hires were Asian females as compared to the CLF which is 1.7%.
- Of the 218 permanent new hires, 5 of the permanent new hires (2.3%) identified a disability; 0 had a targeted disability.
- NNSA hired 36 temporary new hires in FY 2009. Of the 36, thirty (83%) were women and minorities.

For permanent new hires:

- NNSA is below the CLF for hiring White females. White females 18.8% and CLF 33.7%. For FY08, White females was 15.5%
- NNSA is above the CLF for African American males. 5.5% and CLF 4.8%. For FY08, African American males were 4.8%.
- NNSA is below the CLF for Asian females. .9% and CLF 1.7%. For FY08, Asian female new hires were 2.5%.
- The five-year trend for new hires with targeted disabilities remains unchanged at 0.0% new hires for individuals with targeted disabilities.

Two-year (FY08 and FY09) analysis:

- Two-year trend for White females indicates increase in new hires.
- Two-year trend for African American males indicates increase in new hires.
- Two-year trend for Asian females indicates decrease in new hires.

Because the NNSA system used to hire does not require data gathering for applicants' gender, race/ethnicity and disability, a determination of the effectiveness of recruitment and advertising efforts cannot be established.

**C. Analysis of Internal Selections for Senior Level Positions, Tables A-11 and B-11:**

The total internal selections for Engineering & Scientific Career Paths(NN); Professional,

Technical & Administrative Career Paths (NQ); Nuclear Materials Couriers/Federal Agents Career Paths (NV); and Excepted Service positions (EJ/EK/EN/ES) at GS-13 and above were analyzed by gender, diversity and targeted disabilities for FY 2009:

- NN GS 13-15: 19 selections were made. Of the 19, 21.1% (4) were females, 5.3% (1) was a white female, 0% were African American males, and 5.3% (1) was an Asian female.
- NQ GS 13-15: 67 selections were made. Of the 67, 47.8% (32) were females, 32.8% (22) were White females, 1 (1.5%) was African American males and 1 (1.5%) was an Asian female.
- NV GS 13: 9 selections were made. Of the 9, 0.0% were females and 0.0% were African Americans.

Excepted Service Positions: 32 selections were made. Of the 32, 15.6% (5) were females, 6.3% (2) were White females and 12.6% (4) were African American. Of the total (127) NN, NQ, NV and Excepted Service positions, 0.0% of the selections identified a targeted disability and 2.4% (3) selections identified a disability.

#### **E. Analysis by Participation in Career Development Opportunities, Table A-12 and B-12:**

The participation rate in Pay Band I (GS 5-12), Pay Band II (GS 13-14), Pay Band III (GS-15), and Excepted Service (ES, EK, and EN) were analyzed by gender, diversity and targeted disabilities for FY 2009:

Participation rate in under represented groups follows:

- White females: Pay Band I 8.1% (3); Pay Band II 16.7% (4); Pay Band III 33.3% (2); and Excepted Service 14.3% (2).
- African American males: Pay Band I 27.0% (10); Pay Band II 12.5% (3); Pay Band III 0.0%; and Excepted Service 0.0%.
- Asian females: Pay Band I, II, III and Excepted Service 0.0%.  
Targeted Disability and Disabled participants = 0.0%.

#### **D. Analysis of Awards, Tables A-13 and B-13:**

**Cash Awards \$501+:** Females and minorities are below the average, with the exception of Asian males.

**Cash Awards <\$501:** African American males (\$273) and Total males (\$323) are below the average (\$338).

**Time-Off Awards 9+ hours:** Total males (16 hours) are below the average (18 hours). 14 time-off awards were awarded to employees with a disability (average 18 hours). This is equal to the average hours (18 hours) awarded. Zero hours were awarded to employee(s) with a targeted disability.

**Time-Off Awards 1-9 hours:** Total males (6 hours), American Indian females (6 hours), and Hispanic males (6 hours) are below the average (7 hours). Nine time-off awards were awarded to employees with a disability. This was equal to the average hours (7 hours) awarded. One time-off award (9 hours) was given to an employee with a targeted disability and exceeded the average.

Absent focus groups, survey, interview or some other method to determine supervisors' and managers' individual philosophies on the granting of awards to their employees, we cannot state a specific barrier that addresses those race/ethnicity, gender, or disability employee that did not achieve the average award for a particular award category.

**F. Analysis by Separations, Tables A-14 and B-14:**

There were 202 separations in FY 2009. Of the 202 separations, 17.8% were White females as compared to their total work force (separation) ratio of 18.5%; 5% were African American males as compared to their total work force (separation) ratio of 3.5%; and 6.9% were African American females as compared to their total work force (separation) ratio of 5.6%.

Of the 202 separations, retirements comprise 42%. Of the 42% of retirements, 51% of these retirements were White females and minorities and 68.4% of overall separations were White females and minorities.

Of the 202 separations, 38.1% are the result of resignations and transfers to other federal agencies. Of the 38.1%, 50.6% were White females and minorities.

There were 10 involuntary separations in FY 2009 and 16 involuntary separations in FY 2008. Of the 10 involuntary separations in FY 2009, 70% were women and minorities. Of the 16 involuntary separations in FY 2008, 38% were women and minorities. None of the separated employees identified a targeted disability and 9 separated employees identified a disability.

**G. Analysis of Major Occupations, Tables A-6 and B-6:**

Engineering and Scientific (NN): Low representation exists for White females 12.5% (CLF 32.2%); African American males 3.4% (CLF 4.0%); and African American females 1.6% (CLF 3.7%). Asian females are above the CLF (1.1%) at 1.3%. There is 1 employee with a Targeted Disability.

Professional, Technical and Administrative (NQ): Low representation exists for White females 26.6% (CLF 40.9%). All other women and minorities are at or above the CLF. There are 6 employees with Targeted Disabilities.

Future Leaders (NF): Low representation exists for White females 16.1% (CLF 34.1%), and 0.0% with Targeted Disabilities.

Nuclear Materials Couriers/Federal Agents: Low representation exists for Females .3% (CLF 38.6%), Asian males 1.3% (CLF 3.4%), and 0.0% employees with Targeted Disabilities.

Excepted Service Positions (EJ/EK/EN/EK): Low representation exists for Hispanic females 3.2% (CLF 5.0%); White females 11.0% (CLF 49.9%); African American males 2.9% (CLF 3.6%); African American females 2.7% (CLF 8.5%), and 2 employees with Targeted Disabilities.

Senior Executive Service: Low representation exists for Hispanic females 0.0% (CLF 2.1%);

White females 17.4% (CLF 27.4%); African American males 2.8% (CLF 6.5%); Asian males 0.9% (CLF 2.25), Asian females 0.9% (CLF 1.1%), and 0.0% employees with Targeted Disabilities.

CERTIFICATION of ESTABLISHMENT of CONTINUING  
EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS

I, **Mary Ann Fresco, Director**  
**Office of Diversity and Outreach**  
**NNSA**  
and  
**Yolanda Girón, Manager**  
**EEO and Diversity Office**  
**NNSA Service Center**

am the

Principal EEO Director/Official for **National Nuclear Security Administration**

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 work force profiles and conducted 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.

**Mary Ann Fresco, Director**  
**Office of Diversity and Outreach, NNSA**

Signature of Principal EEO Director/Official  
Certifies that this Federal Agency Annual EEO  
Program Status Report is in compliance with  
EEO MD-715

Mary Ann Fresco

Date 12/3/09

**Yolanda Girón, Manager**  
**EEO and Diversity Office**  
**NNSA Service Center**

Signature of Principal EEO Director/Official  
Certifies that this Federal Agency Annual EEO  
Program Status Report is in compliance with  
EEO MD-715

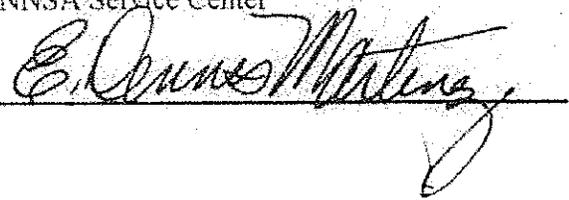
Yolanda Girón

Date December 1, 2009

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

Karen L. Boardman, Director  
NNSA Service Center

for: 

Signature of Agency Head or Agency Head  
Designee

Date 12/1/09

| EEOC FORM<br>715-01<br>PART G   |  | U.S. Equal Employment Opportunity Commission<br>FEDERAL AGENCY ANNUAL<br>EEO PROGRAM STATUS REPORT |                      |    |  |
|---|--|--|----------------------|----|--|
| Essential Element A: DEMONSTRATED COMMITMENT FROM AGENCY LEADERSHIP<br>Requires the agency head to issue written policy statements ensuring a workplace free of discriminatory harassment and a commitment to equal employment opportunity. |  |  |                      |    |  |
|  Compliance Indicator  | EEO policy statements are up-to-date.                          |  | Measure has been met |    | For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report |
|  Measures  |  |  | Yes                  | No |  |
| Was the EEO policy Statement issued within 6 - 9 months of the installation of the Agency Head?<br>If no, provide an explanation.   |  |  | X                    |    | The Agency Head was installed on January 21, 2009. The EEO policy statement has not yet been issued.   |
| During the current Agency Head's tenure, has the EEO policy Statement been re-issued annually?<br>If no, provide an explanation.  |  |  | X                    |    | Policy statements were last issued by DOE-HQ April 10, 2007.   |
| Are new employees provided a copy of the EEO policy statement during orientation?   |  |  | X                    |    | The NNSA New Employee orientation is under redesign. A segment of EEO is being incorporated to include the Agency's EEO policies.                      |
| When an employee is promoted into the supervisory ranks, is s/he provided a copy of the EEO policy statement?   |  |  | X                    |    | Policy statements are provided at the local level.   |
|  Compliance Indicator  | EEO policy statements have been communicated to all employees. |  | Measure has been met |    | For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report |
|  Measures  |  |  | Yes                  | No |  |
| Have the heads of subordinate reporting components communicated support of all agency EEO policies through the ranks?   |  | X  |                      |    |  |
| Has the agency made written materials available to all employees and applicants, informing them of the variety of EEO programs and administrative and judicial remedial procedures available to them?                                       |  | X  |                      |    |  |
| Has the agency prominently posted such written materials in all personnel offices, EEO offices, and on the agency's internal website? <b>[see 29 CFR §1614.102(b)(5)]</b>   |  | X  |                      |    |  |

|  <b>Compliance Indicator</b>  | <b>Agency EEO policy is vigorously enforced by agency management.</b> | Measure has been met |    | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|--|---|----------------------|----|---|
|  |   | Yes                  | No |   |
|  <b>Measures</b>  |   |                      |    |   |
| Are managers and supervisors evaluated on their commitment to agency EEO policies and principles, including their efforts to:  |   | X                    |    |   |
| resolve problems/disagreements and other conflicts in their respective work environments as they arise?  |   | X                    |    |   |
| address concerns, whether perceived or real, raised by employees and following-up with appropriate action to correct or eliminate tension in the workplace?  |   | X                    |    |   |
| support the agency's EEO program through allocation of mission personnel to participate in community out-reach and recruitment programs with private employers, public schools and universities?   |   | X                    |    |   |
| ensure full cooperation of employees under his/her supervision with EEO office officials such as EEO Counselors, EEO Investigators, etc.?  |   | X                    |    |   |
| ensure a workplace that is free from all forms of discrimination, harassment and retaliation?  |   | X                    |    |   |
| ensure that subordinate supervisors have effective managerial, communication and interpersonal skills in order to supervise most effectively in a workplace with diverse employees and avoid disputes arising from ineffective communications?   |   | X                    |    |   |
| ensure the provision of requested religious accommodations when such accommodations do not cause an undue hardship?  |   | X                    |    |   |
| ensure the provision of requested disability accommodations to qualified individuals with disabilities when such accommodations do not cause an undue hardship?  |   | X                    |    |   |
| Have all employees been informed about what behaviors are inappropriate in the workplace and that this behavior may result in disciplinary actions?  |   | X                    |    |   |
| Describe what means were utilized by the agency to so inform its workforce about the penalties for unacceptable behavior.  |   |                      |    |   |
| Have the procedures for reasonable accommodation for individuals with disabilities been made readily available/accessible to all employees by disseminating such procedures during orientation of new employees and by making such procedures available on the World Wide Web or Internet? |   | X                    |    |   |
| Have managers and supervisor been trained on their responsibilities under the procedures for reasonable accommodation?   |   | X                    |    |   |

| <b>Essential Element B: INTEGRATION OF EEO INTO THE AGENCY'S STRATEGIC MISSION</b><br><b>Requires that the agency's EEO programs be organized and structured to maintain a workplace that is free from discrimination in any of the agency's policies, procedures or practices and supports the agency's strategic mission.</b>  |  |                             |           |   |
|--|--|-----------------------------|-----------|---|
|  <b>Compliance Indicator</b>  | <b>The reporting structure for the EEO Program provides the Principal EEO Official with appropriate authority and resources to effectively carry out a successful EEO Program.</b>   | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  |  | <b>Yes</b>                  | <b>No</b> |   |
|  <b>Measures</b>  |  |                             |           |   |
| <b>Is the EEO Director under the direct supervision of the agency head? [see 29 CFR §1614.102(b)(4)]</b><br>For subordinate level reporting components, is the EEO Director/Officer under the immediate supervision of the lower level component's head official?<br>(For example, does the Regional EEO Officer report to the Regional Administrator?)  |  | X                           |           |   |
| <b>Are the duties and responsibilities of EEO officials clearly defined?</b>   |  | X                           |           |   |
| <b>Do the EEO officials have the knowledge, skills, and abilities to carry out the duties and responsibilities of their positions?</b>   |  | X                           |           |   |
| <b>If the agency has 2<sup>nd</sup> level reporting components, are there organizational charts that clearly define the reporting structure for EEO programs?</b>  |  | X                           |           |   |
| <b>If the agency has 2<sup>nd</sup> level reporting components, does the agency-wide EEO Director have authority for the EEO programs within the subordinate reporting components?</b>   |  | X                           |           |   |
| <b>If not, please describe how EEO program authority is delegated to subordinate reporting components.</b>   |  |                             |           |   |
|  <b>Compliance Indicator</b>  | <b>The EEO Director and other EEO professional staff responsible for EEO programs have regular and effective means of informing the agency head and senior management officials of the status of EEO programs and are involved in, and consulted on, management/personnel actions.</b> | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  |  | <b>Yes</b>                  | <b>No</b> |   |
|  <b>Measures</b>  |  |                             |           |   |
| <b>Does the EEO Director/Officer have a regular and effective means of informing the agency head and other top management officials of the effectiveness, efficiency and legal compliance of the agency's EEO program?</b>   |  | X                           |           |   |
| <b>Following the submission of the immediately preceding FORM 715-01, did the EEO Director/Officer present to the head of the agency and other senior officials the "State of the Agency" briefing covering all components of the EEO report, including an assessment of the performance of the agency in each of the six elements of the Model EEO Program and a report on the progress of the agency in completing its barrier analysis including any barriers it identified and/or eliminated or reduced the impact of?</b> |  | X                           |           |   |
| <b>Are EEO program officials present during agency deliberations prior to decisions regarding recruitment strategies, vacancy projections, succession planning, selections for training/career development opportunities, and other workforce changes?</b>   |  | X                           |           |   |
| <b>Does the agency consider whether any group of employees or applicants might be negatively impacted prior to making human resource decisions such as re-organizations and re-alignments?</b>   |  | X                           |           |   |

|  |   |                             |           |   |
|--|---|-----------------------------|-----------|---|
| Are management/personnel policies, procedures and practices examined at regular intervals to assess whether there are hidden impediments to the realization of equality of opportunity for any group(s) of employees or applicants? [see 29 C.F.R. § 1614.102(b)(3)]                                     |   | X                           |           |   |
| Is the EEO Director included in the agency's strategic planning, especially the agency's human capital plan, regarding succession planning, training, etc., to ensure that EEO concerns are integrated into the agency's strategic mission?  |   | X                           |           |   |
|  <b>Compliance Indicator</b>  | <b>The agency has committed sufficient human resources and budget allocations to its EEO programs to ensure successful operation.</b> | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  <b>Measures</b>  |   | <b>Yes</b>                  | <b>No</b> |   |
| Does the EEO Director have the authority and funding to ensure implementation of agency EEO action plans to improve EEO program efficiency and/or eliminate identified barriers to the realization of equality of opportunity?   |   | X                           |           |   |
| Are sufficient personnel resources allocated to the EEO Program to ensure that agency self-assessments and self-analyses prescribed by EEO MD-715 are conducted annually and to maintain an effective complaint processing system?   |   | X                           |           |   |
| Are statutory/regulatory EEO related Special Emphasis Programs sufficiently staffed?   |   | X                           |           |   |
| Federal Women's Program - 5 U.S.C. 7201; 38 U.S.C. 4214; Title 5 CFR, Subpart B, 720.204   |   | X                           |           |   |
| Hispanic Employment Program - Title 5 CFR, Subpart B, 720.204  |   | X                           |           |   |
| People With Disabilities Program Manager; Selective Placement Program for Individuals With Disabilities - Section 501 of the Rehabilitation Act; Title 5 U.S.C. Subpart B, Chapter 31, Subchapter I-3102; 5 CFR 213.3102(t) and (u); 5 CFR 315.709   |   | X                           |           |   |
| Are other agency special emphasis programs monitored by the EEO Office for coordination and compliance with EEO guidelines and principles, such as FEORP - 5 CFR 720; Veterans Employment Programs; and Black/African American; American Indian/Alaska Native, Asian American/Pacific Islander programs? |   | X                           |           |   |
|  <b>Compliance Indicator</b>  | <b>The agency has committed sufficient budget to support the success of its EEO Programs.</b>   | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  <b>Measures</b>  |   | <b>Yes</b>                  | <b>No</b> |   |
| Are there sufficient resources to enable the agency to conduct a thorough barrier analysis of its workforce, including the provision of adequate data collection and tracking systems  |   |                             | X         | Staff is adequate; however, MD-715 software would substantially reduce time and further enhance the office's ability to collect and track data.               |
| Is there sufficient budget allocated to all employees to utilize, when desired, all EEO  |   | X                           |           |   |

|   |   |  |  |
|---|---|--|--|
| programs, including the complaint processing program and ADR, and to make a request for reasonable accommodation? (Including subordinate level reporting components?)       |   |  |  |
| Has funding been secured for publication and distribution of EEO materials (e.g. harassment policies, EEO posters, reasonable accommodations procedures, etc.)?             | X |  |  |
| Is there a central fund or other mechanism for funding supplies, equipment and services necessary to provide disability accommodations?                                     | X |  |  |
| Does the agency fund major renovation projects to ensure timely compliance with Uniform Federal Accessibility Standards?  | X |  |  |
| Is the EEO Program allocated sufficient resources to train all employees on EEO Programs, including administrative and judicial remedial procedures available to employees? | X |  |  |
| Is there sufficient funding to ensure the prominent posting of written materials in all personnel and EEO offices? <b>[see 29 C.F.R. § 1614.102(b)(5)]</b>                  | X |  |  |
| Is there sufficient funding to ensure that all employees have access to this training and information?  | X |  |  |
| Is there sufficient funding to provide all managers and supervisors with training and periodic up-dates on their EEO responsibilities:                                      | X |  |  |
| for ensuring a workplace that is free from all forms of discrimination, including harassment and retaliation?   | X |  |  |
| to provide religious accommodations?  | X |  |  |
| to provide disability accommodations in accordance with the agency's written procedures?  | X |  |  |
| in the EEO discrimination complaint process?  | X |  |  |
| to participate in ADR?  | X |  |  |

| <b>Essential Element C: MANAGEMENT AND PROGRAM ACCOUNTABILITY</b>   |   |                             |           |   |
|---|---|-----------------------------|-----------|---|
| <b>This element requires the Agency Head to hold all managers, supervisors, and EEO Officials responsible for the effective implementation of the agency's EEO Program and Plan.</b>                                      |   |                             |           |   |
|  <b>Compliance Indicator</b>   | <b>EEO program officials advise and provide appropriate assistance to managers/supervisors about the status of EEO programs within each manager's or supervisor's area or responsibility.</b> | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|   |   | <b>Yes</b>                  | <b>No</b> |   |
|  <b>Measures</b>   |   |                             |           |   |
| Are regular (monthly/quarterly/semi-annually) EEO updates provided to management/supervisory officials by EEO program officials?  |   | X                           |           |   |
| Do EEO program officials coordinate the development and implementation of EEO Plans with all appropriate agency managers to include Agency Counsel, Human Resource Officials, Finance, and the Chief information Officer? |   | X                           |           |   |

|  Compliance Indicator           | The Human Resources Director and the EEO Director meet regularly to assess whether personnel programs, policies, and procedures are in conformity with instructions contained in EEOC management directives. [see 29 CFR § 1614.102(b)(3)] | Measure has been met |    | For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report |
|--|--|----------------------|----|--|
|  |  | Yes                  | No |  |
|  Measures                       |  |                      |    |  |
|  | Have time-tables or schedules been established for the agency to review its Merit Promotion Program Policy and Procedures for systemic barriers that may be impeding full participation in promotion opportunities by all groups?          | X                    |    |  |
|  | Have time-tables or schedules been established for the agency to review its Employee Recognition Awards Program and Procedures for systemic barriers that may be impeding full participation in the program by all groups?                 | X                    |    |  |
|  | Have time-tables or schedules been established for the agency to review its Employee Development/Training Programs for systemic barriers that may be impeding full participation in training opportunities by all groups?                  | X                    |    |  |
|  Compliance Indicator           | When findings of discrimination are made, the agency explores whether or not disciplinary actions should be taken.   | Measure has been met |    | For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report |
|  |  | Yes                  | No |  |
|  Measures                       |  |                      |    |  |
|  | Does the agency have a disciplinary policy and/or a table of penalties that covers employees found to have committed discrimination?   | X                    |    |  |
|  | Have all employees, supervisors, and managers been informed as to the penalties for being found to perpetrate discriminatory behavior or for taking personnel actions based upon a prohibited basis?                                       | X                    |    |  |
|  | Has the agency, when appropriate, disciplined or sanctioned managers/supervisors or employees found to have discriminated over the past two years?   | X                    |    |  |
| If so, cite number found to have discriminated and list penalty /disciplinary action for each type of violation. |  |                      |    |  |
|  | Does the agency promptly (within the established time frame) comply with EEOC, Merit Systems Protection Board, Federal Labor Relations Authority, labor arbitrators, and District Court orders?  | X                    |    |  |
|  | Does the agency review disability accommodation decisions/actions to ensure compliance with its written procedures and analyze the information tracked for trends, problems, etc.?   | X                    |    |  |

| <b>Essential Element D: PROACTIVE PREVENTION</b><br>Requires that the agency head makes early efforts to prevent discriminatory actions and eliminate barriers to equal employment opportunity in the workplace. |   |                      |    |  |
|--|---|----------------------|----|--|
|  Compliance Indicator   | Analyses to identify and remove unnecessary barriers to employment are conducted throughout the year. | Measure has been met |    | For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report |
|  |   | Yes                  | No |  |
|  Measures   |   |                      |    |  |

|   |  |                             |           |   |
|---|--|-----------------------------|-----------|---|
| Do senior managers meet with and assist the EEO Director and/or other EEO Program Officials in the identification of barriers that may be impeding the realization of equal employment opportunity? |  | X                           |           |   |
| When barriers are identified, do senior managers develop and implement, with the assistance of the agency EEO office, agency EEO Action Plans to eliminate said barriers?                           |  | X                           |           |   |
| Do senior managers successfully implement EEO Action Plans and incorporate the EEO Action Plan Objectives into agency strategic plans?  |  | X                           |           |   |
| Are trend analyses of workforce profiles conducted by race, national origin, sex and disability?  |  | X                           |           |   |
| Are trend analyses of the workforce's major occupations conducted by race, national origin, sex and disability?   |  | X                           |           |   |
| Are trends analyses of the workforce's grade level distribution conducted by race, national origin, sex and disability?   |  | X                           |           |   |
| Are trend analyses of the workforce's compensation and reward system conducted by race, national origin, sex and disability?  |  | X                           |           |   |
| Are trend analyses of the effects of management/personnel policies, procedures and practices conducted by race, national origin, sex and disability?  |  | X                           |           |   |
|  <b>Compliance Indicator</b>   | <b>The use of Alternative Dispute Resolution (ADR) is encouraged by senior management.</b> | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  <b>Measures</b>   |  | <b>Yes</b>                  | <b>No</b> |   |
| Are all employees encouraged to use ADR?  |  | X                           |           |   |
| Is the participation of supervisors and managers in the ADR process required?   |  |                             | X         | Participation is highly encouraged.   |

| <b>Essential Element E: EFFICIENCY</b><br>Requires that the agency head ensure that there are effective systems in place for evaluating the impact and effectiveness of the agency's EEO Programs as well as an efficient and fair dispute resolution process. |  |                             |           |   |
|--|--|-----------------------------|-----------|---|
|  <b>Compliance Indicator</b>  | <b>The agency has sufficient staffing, funding, and authority to achieve the elimination of identified barriers.</b> | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  <b>Measures</b>  |  | <b>Yes</b>                  | <b>No</b> |   |
| Does the EEO Office employ personnel with adequate training and experience to conduct the analyses required by MD-715 and these instructions?  |  | X                           |           |   |
| Has the agency implemented an adequate data collection and analysis systems that permit tracking of the information required by MD-715 and these instructions?   |  |                             | X         | NNSA has acquired MD-715 software and implementing at HQ and Service Center level.  |
| Have sufficient resources been provided to conduct effective audits of field facilities' efforts to achieve a model EEO program and eliminate discrimination   |  | X                           |           |   |

|  |   |                             |           |   |
|--|---|-----------------------------|-----------|---|
| under Title VII and the Rehabilitation Act?  |   |                             |           |   |
| Is there a designated agency official or other mechanism in place to coordinate or assist with processing requests for disability accommodations in all major components of the agency?  |   | X                           |           |   |
| Are 90% of accommodation requests processed within the time frame set forth in the agency procedures for reasonable accommodation?   |   |                             | X         | Tracking system has not been developed to monitor receipt date of reasonable accommodation requests and decision date.  |
|  <b>Compliance Indicator</b>  | <b>The agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the agency's EEO Programs.</b>  | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  <b>Measures</b>  |   | <b>Yes</b>                  | <b>No</b> |   |
| Does the agency use a complaint tracking and monitoring system that allows identification of the location, and status of complaints and length of time elapsed at each stage of the agency's complaint resolution process?                                     |   | X                           |           |   |
| Does the agency's tracking system identify the issues and bases of the complaints, the aggrieved individuals/complainants, the involved management officials and other information to analyze complaint activity and trends?                                   |   | X                           |           |   |
| Does the agency hold contractors accountable for delay in counseling and investigation processing times?   |   | X                           |           |   |
| <p>If yes, briefly describe how:</p> <p>As prescribed within the Statement of Work.</p>  |   |                             |           |   |
| Does the agency monitor and ensure that new investigators, counselors, including contract and collateral duty investigators, receive the 32 hours of training required in accordance with EEO Management Directive MD-110?                                     |   | X                           |           |   |
| Does the agency monitor and ensure that experienced counselors, investigators, including contract and collateral duty investigators, receive the 8 hours of refresher training required on an annual basis in accordance with EEO Management Directive MD-110? |   | X                           |           |   |
|  <b>Compliance Indicator</b>  | <b>The agency has sufficient staffing, funding and authority to comply with the time frames in accordance with the EEOC (29 C.F.R. Part 1614) regulations for processing EEO complaints of employment discrimination.</b> | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  <b>Measures</b>  |   | <b>Yes</b>                  | <b>No</b> |   |
| Are benchmarks in place that compare the agency's discrimination complaint processes with 29 C.F.R. Part 1614?   |   | X                           |           |   |
| Does the agency provide timely EEO counseling within 30 days of the initial request or within an agreed upon extension in writing, up to 60 days?  |   | X                           |           |   |
| Does the agency provide an aggrieved person with written notification of his/her rights and responsibilities in the EEO process in a timely fashion?   |   | X                           |           |   |

|   |  |                             |           |  |
|---|--|-----------------------------|-----------|--|
| Does the agency complete the investigations within the applicable prescribed time frame?  |  |                             | X         | During FY 2008 and FY 2009, investigations were delayed due to procurement issues in FY 2008 and investigator's failure to meet required time frames in FY 2009. Adjustments have been made to ensure investigations are conducted in a timely manner. |
| When a complainant requests a final agency decision, does the agency issue the decision within 60 days of the request?  |  |                             | X         | DOE-HQ Office of Civil Rights will ensure that Agency decisions are issued within 60 days of request.  |
| When a complainant requests a hearing, does the agency immediately upon receipt of the request from the EEOC AJ forward the investigative file to the EEOC Hearing Office?  |  | X                           |           |  |
| When a settlement agreement is entered into, does the agency timely complete any obligations provided for in such agreements?   |  | X                           |           |  |
| Does the agency ensure timely compliance with EEOC AJ decisions which are not the subject of an appeal by the agency?   |  | X                           |           |  |
|  <b>Compliance Indicator</b>   | <b>There is an efficient and fair dispute resolution process and effective systems for evaluating the impact and effectiveness of the agency's EEO complaint processing program.</b> | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>  |
|  <b>Measures</b>   |  | <b>Yes</b>                  | <b>No</b> |  |
| In accordance with 29 C.F.R. §1614.102(b), has the agency established an ADR Program during the pre-complaint and formal complaint stages of the EEO process?   |  | X                           |           |  |
| Does the agency require all managers and supervisors to receive ADR training in accordance with EEOC (29 C.F.R. Part 1614) regulations, with emphasis on the federal government's interest in encouraging mutual resolution of disputes and the benefits associated with utilizing ADR? |  | X                           |           |  |
| After the agency has offered ADR and the complainant has elected to participate in ADR, are the managers required to participate?   |  |                             | X         | Participation is highly encouraged.  |
| Does the responsible management official directly involved in the dispute have settlement authority?  |  |                             | X         | RMO has authority on non-monetary settlements. Monetary settlements require coordination and approval of Counsel, Office of Human Capital management Services, Site Manager and/or Director.   |
|  <b>Compliance Indicator</b>   | <b>The agency has effective systems in place for maintaining and evaluating the impact and effectiveness of its EEO programs.</b>  | <b>Measure has been met</b> |           | <b>For all unmet measures, provide a brief explanation in the space</b>  |

|  <b>Measures</b>   |  | Yes                         | No | below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report   |
|---|--|-----------------------------|----|---|
| Does the agency have a system of management controls in place to ensure the timely, accurate, complete and consistent reporting of EEO complaint data to the EEOC?  |  | X                           |    |   |
| Does the agency provide reasonable resources for the EEO complaint process to ensure efficient and successful operation in accordance with 29 C.F.R. § 1614.102(a)(1)?  |  | X                           |    |   |
| Does the agency EEO office have management controls in place to monitor and ensure that the data received from Human Resources is accurate, timely received, and contains all the required data elements for submitting annual reports to the EEOC? |  | X                           |    |   |
| Do the agency's EEO programs address all of the laws enforced by the EEOC?  |  | X                           |    |   |
| Does the agency identify and monitor significant trends in complaint processing to determine whether the agency is meeting its obligations under Title VII and the Rehabilitation Act?  |  | X                           |    |   |
| Does the agency track recruitment efforts and analyze efforts to identify potential barriers in accordance with MD-715 standards?   |  | XX                          |    |   |
| Does the agency consult with other agencies of similar size on the effectiveness of their EEO programs to identify best practices and share ideas?  |  |                             |    |   |
|  <b>Compliance Indicator</b>   | <b>The agency ensures that the investigation and adjudication function of its complaint resolution process are separate from its legal defense arm of agency or other offices with conflicting or competing interests.</b> | <b>Measure has been met</b> |    | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  <b>Measures</b>   |  | Yes                         | No |   |
| Are legal sufficiency reviews of EEO matters handled by a functional unit that is separate and apart from the unit which handles agency representation in EEO complaints?   |  | X                           |    |   |
| Does the agency discrimination complaint process ensure a neutral adjudication function?  |  | X                           |    |   |
| If applicable, are processing time frames incorporated for the legal counsel's sufficiency review for timely processing of complaints?  |  | X                           |    |   |

| <b>Essential Element F: RESPONSIVENESS AND LEGAL COMPLIANCE</b><br><b>This element requires that federal agencies are in full compliance with EEO statutes and EEOC regulations, policy guidance, and other written instructions.</b> |   |                             |    |  |
|---|---|-----------------------------|----|--|
|  <b>Compliance Indicator</b>   | <b>Agency personnel are accountable for timely compliance with orders issued by EEOC Administrative Judges.</b> | <b>Measure has been met</b> |    | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status</b> |
|  <b>Measures</b>   |   | Yes                         | No |  |
|   |   |                             |    |  |

|   |   |  |           |   |
|---|---|--|-----------|---|
|   |   |  |           | report  |
|   | Does the agency have a system of management control to ensure that agency officials timely comply with any orders or directives issued by EEOC Administrative Judges?                                 | X  |           |   |
|  <b>Compliance Indicator</b>                                 | <b>The agency's system of management controls ensures that the agency timely completes all ordered corrective action and submits its compliance report to EEOC within 30 days of such completion.</b> | <b>Measure has been met</b>  |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  <b>Measures</b>   |   | <b>Yes</b>   | <b>No</b> |   |
| Does the agency have control over the payroll processing function of the agency? If Yes, answer the two questions below.                      |   |  | X         | This function is performed by the Defense Finance and Accounting Service for NNSA.  |
| Are there steps in place to guarantee responsive, timely, and predictable processing of ordered monetary relief?                              |   | X  |           |   |
| Are procedures in place to promptly process other forms of ordered relief?  |   | X  |           |   |
|  <b>Compliance Indicator</b>                               | <b>Agency personnel are accountable for the timely completion of actions required to comply with orders of EEOC.</b>  | <b>Measure has been met</b>  |           | <b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b> |
|  <b>Measures</b>   |   | <b>Yes</b>   | <b>No</b> |   |
| Is compliance with EEOC orders encompassed in the performance standards of any agency employees?  |   | X  |           |   |
| If so, please identify the employees by title in the comments section, and state how performance is measured.                                 |   | EEO and Diversity Program Manager. EEOC orders are administered within the require time identified by EEOC. Performance is measured in days. |           |   |
| Is the unit charged with the responsibility for compliance with EEOC orders located in the EEO office?  |   | X  |           |   |
| If not, please identify the unit in which it is located, the number of employees in the unit, and their grade levels in the comments section. |   |  |           |   |
| Have the involved employees received any formal training in EEO compliance?   |   | X  |           |   |
| Does the agency promptly provide to the EEOC the following documentation for completing compliance:   |   |  |           |   |

|  |   |  |  |
|--|---|--|--|
| Attorney Fees: Copy of check issued for attorney fees and /or a narrative statement by an appropriate agency official, or agency payment order dating the dollar amount of attorney fees paid?   | X |  |  |
| Awards: A narrative statement by an appropriate agency official stating the dollar amount and the criteria used to calculate the award?  | X |  |  |
| Back Pay and Interest: Computer print-outs or payroll documents outlining gross back pay and interest, copy of any checks issued, narrative statement by an appropriate agency official of total monies paid?  | X |  |  |
| Compensatory Damages: The final agency decision and evidence of payment, if made?  | X |  |  |
| Training: Attendance roster at training session(s) or a narrative statement by an appropriate agency official confirming that specific persons or groups of persons attended training on a date certain?   | X |  |  |
| Personnel Actions (e.g., Reinstatement, Promotion, Hiring, Reassignment): Copies of SF-50s   | X |  |  |
| Posting of Notice of Violation: Original signed and dated notice reflecting the dates that the notice was posted. A copy of the notice will suffice if the original is not available.  | X |  |  |
| Supplemental Investigation: 1. Copy of letter to complainant acknowledging receipt from EEOC of remanded case. 2. Copy of letter to complainant transmitting the Report of Investigation (not the ROI itself unless specified). 3. Copy of request for a hearing (complainant's request or agency's transmittal letter). | X |  |  |
| Final Agency Decision (FAD): FAD or copy of the complainant's request for a hearing.   | X |  |  |
| Restoration of Leave: Print-out or statement identifying the amount of leave restored, if applicable. If not, an explanation or statement.   | X |  |  |
| Civil Actions: A complete copy of the civil action complaint demonstrating same issues raised as in compliance matter.   | X |  |  |
| Settlement Agreements: Signed and dated agreement with specific dollar amounts, if applicable. Also, appropriate documentation of relief is provided.  | X |  |  |

Footnotes:

1. See 29 C.F.R. § 1614.102.

2. When an agency makes modifications to its procedures, the procedures must be resubmitted to the Commission. See *EEOC Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation* (10/20/00), Question 28.

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| <b>U.S. Department of Energy National Nuclear Security Administration</b>   |   | <b>FY 2009</b> |
| <b>STATEMENT of<br/>MODEL PROGRAM<br/>ESSENTIAL ELEMENT<br/>DEFICIENCY:</b>   | <b>Element One – Demonstrated Commitment</b><br><br>On January 21, 2009, Secretary of Energy Steven Chu was appointed. New EEO policy statements will be issued upon confirmation of the Director, Office of Civil Rights, DOE-HQ.                          |                |
| <b>OBJECTIVE:</b>   | Issue written policy statement expressing agency’s commitment to EEO and a workplace free of discriminatory harassment.<br><br>Provide adequate training and funding to support Special Emphasis Programs (SEPs) and promote cultural awareness activities. |                |
| <b>RESPONSIBLE OFFICIAL:</b>  | Secretary Steven Chu  |                |
| <b>DATE OBJECTIVE<br/>INITIATED:</b>  | October 1, 2005   |                |
| <b>TARGET DATE FOR<br/>COMPLETION OF<br/>OBJECTIVE:</b>   | September 30, 2010  |                |
| <b>PLANNED ACTIVITIES<br/>TOWARD COMPLETION OF<br/>OBJECTIVE:</b>   | <b>TARGET DATE<br/>(Must be specific)</b>   |                |
| Director of Civil Rights and Diversity to coordinate issuance of EEO and Diversity policy statement and Prevention of Harassment Policy Statement by Secretary of Energy. | September 2010  |                |
| Rating of Managers and supervisors on EEO and Diversity performance element.  | September 2010  |                |
|   |   |                |
| <b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>   |   |                |
| 1. Secretary of Energy Samuel Bodman issued the DOE EEO and Diversity Policy Statement and  |   |                |

the Prevention of Harassment (including Sexual Harassment) and Retaliation April 10, 2007.

The policies were distributed to all employees via email and remains available via the DOE web page [http://www.civilrights.energy.gov/policy\\_statements.asp](http://www.civilrights.energy.gov/policy_statements.asp)

2. Special Emphasis and Recruitment Initiatives - NNSA participates in numerous recruitment conferences focusing on minorities. NNSA participated in the following career information programs and recruitment activities during FY09:

- Central New Mexico Community College Career Information Program, Albuquerque, New Mexico (NM)
- University of New Mexico (UNM) Career Information Program
- Congressional Job Fair
- Partnership for Public Service Job Fair
- Washington Post Job Fair
- UNM Scientific and Professional Job Fairs
- UNM Hispanic Engineering and Science Organization Career Fair
- NM Black Exposition
- Albuquerque, NM Hispanic Chamber of Commerce Recruitment Fair
- NM Federal Executive Board Career Fair
- Summer Student Intern Program
- Hispanic Consortium
- Hispanic College Fund - Hispanic Youth Symposium
- Second Annual Federal Hispanic Career Advancement Summit
- NNSA also sponsored a one-hour seminar entitled "Navigating USAJobs," and included a question-and-answer period.
- Central New Mexico Community College Career Information Program, Albuquerque, New Mexico (NM)
- University of New Mexico (UNM) Career Information Program
- UNM Hispanic Engineering and Science Organization Career Fair
- NM Black Exposition
- Albuquerque, NM Hispanic Chamber of Commerce Recruitment Fair
- NM Federal Executive Board Career Fair

Special Emphasis Programs (SEPs) are also provided training and funding to support individual development as well as promote cultural awareness activities. The SEPs sponsored the following EEO training and education programs during FY 2009:

- Annual Diversity Day.
- Self-defense Lunch-and-Learn sponsored by the Federal Women's Program titled Situational Awareness.
- Older Worker's Program Heritage Month event on fitness training guidelines.
- Lunch-and-Learn on Communication and Conflict Management.
- "One Nation, One Moment" to remember American soldiers who have died while serving their country.
- Asian Pacific American Program Heritage month which featured Congressional Medal of

Honor Recipient Hiroshi Miyamura.

- American Indian Program Heritage month event titled "Modern Movement-Ancient Wisdom."
- Federal Women's Program-sponsored event on personal safety.
- Black Employment Program "Reclaiming the Promise of Our Nation."
- Committee for People with Disabilities Heritage Month featured Keynote Speaker by Developmental Disabilities Coordinator.
- Veterans Day Celebration

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| STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:  | Element Two - Making EEO and Diversity an Integral Part of the Agency's Strategic Mission              |
| OBJECTIVE:  | Develop NNSA Strategic Plan for EEO and Diversity<br><br>Develop Diversity Council Strategic Structure |
| RESPONSIBLE OFFICIAL:   | Yolanda Girón, EEO and Diversity Program Manager   |
| DATE OBJECTIVE INITIATED:   | October 1, 2007  |
| TARGET DATE FOR COMPLETION OF OBJECTIVE:  | September 30, 2009   |
| PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:  | TARGET DATE<br>(Must be specific)  |
| 1. Develop NNSA Strategic Plan for EEO and Diversity and brief all NNSA employees. This plan will provide a framework to build a diverse work force prepared to meet the mission critical needs necessary to sustain NNSA's future. | September 30, 2009   |
| 2. Develop Diversity Council Strategic Structure for EEO and Diversity.   | September 30, 2009   |
| REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE  |  |

**Strength:** The NNSA EEO, Diversity, and Inclusion Strategic Framework has been developed. All NNSA employees were briefed in FY 2008. In FY 2009, NNSA began implementing its corporate EEO, Diversity, and Inclusion Strategic Framework, led by NNSA's Office of Diversity and Outreach (ODO) staff. ODO also developed, and submitted for HQ approval, a newly designed charter and structure for the corporate NNSA Administrator's Council for Strategic Diversity Leadership. This strategic framework is designed to support the transformation of NNSA into a more diverse and inclusive workplace, and to support the NNSA's Employer of Choice initiative.

NNSA's HQ ODO and EEO and Diversity Office at the Service Center are independently organized and report directly to the agency head, while also serving as key resources to managers and supervisors by providing direction and guidance on key initiatives to achieve a diverse workplace free of barriers to equal opportunity. In addition, EEO Officials participate in senior staff meetings, where agency decisions are made, and have regular access to senior staff.

**Recommendation:** Report annual accomplishments.

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| STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:  | Element Three – Management and Program Accountability   |
| OBJECTIVE:  | Rate managers and supervisors annually on an EEO performance element.<br><br>Provide annual training, per DOE Order 311B. |
| RESPONSIBLE OFFICIAL:   | Yolanda Girón, EEO and Diversity Program Manager  |
| DATE OBJECTIVE INITIATED:   | October 1, 2007   |
| TARGET DATE FOR COMPLETION OF OBJECTIVE:  | September 30, 2009  |
| PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:  | TARGET DATE<br>(Must be specific)   |
| 1. Rate all Managers and Supervisors on EEO performance element annually.   | September 30, 2009  |
| 2. Train all DOE nonsupervisory employees, 3 hours of required EEO/diversity training annually. Train all DOE supervisory employees, 4 hours of required EEO/diversity training annually. | September 30, 2009  |
| 3. Provide advisory services to all organizations, and as   | September 30, 2009  |

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|---|-----------------------|
| <p>appropriate, conduct training as a proactive measure to improve the work environment. Also continue to recommend mediation as a viable option to resolve workplace disputes.</p>   |                       |
| <p>4. Provide Notification and Federal Employee Antidiscrimination and Retaliation (No Fear) Training on a biannual basis.</p>  | <p>December 2009</p>  |
| <p>5. An analysis of workforce profiles (by occupations and pay bands) revealed individuals with Targeted disabilities represent less than one percent (.4%), compared to the Federal High of individuals with Targeted Disabilities (2.27%). Recommend training to all management officials and supervisors on special hiring authorities for individuals with Targeted disabilities and reasonable accommodations procedures.</p> | <p>September 2010</p> |

**REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE**

Managers and supervisors are rated on an EEO performance element each year. The element states “Take appropriate action in addressing performance and conduct issues, grievances, and/or EEO concerns... and ensures all direct reports complete required training in accordance with EEOC, DOE, and NNSA regulations and policy. (EEO, Diversity, No FEAR, Anti-Harassment, Safety, Security, Ethics, etc.). Display commitment of furthering the Agency’s objectives to create a workplace that embraces diversity and provides equal employment opportunity regardless of race, color, age, sex, national origin, religion, disabling condition, or sexual orientation and support the zero tolerance policy of discrimination and harassment.”

Sufficient staff resources and funding for mandatory EEO training is provided, as evidenced by completed training referenced below:

Consistent with this performance element and the Secretary of Energy’s EEO and Diversity Policy statement and DOE Order 311B for training, the EEO and Diversity staff trained all Site Office, Service Center, and NNSA HQ Office of Secure Transportation (NA-15), including Eastern,

Western, Central and Training Command, managers and supervisors with an annual FY 2009 EEO update on the Amended American with Disabilities Act of 2008, which went in effect January 1, 2009. An overview of the NNSA Diversity workforce statistics was also provided to all Site Office, Service Center, and Office of Secure Transportation (NA-15) managers and supervisors.

In response to FY 2008 customer feedback, employees requested computer-based EEO training in FY 2009. The EEO and Diversity Office, therefore, developed two computer-based training modules, which included training on the 2008 Amended American with Disabilities Act, the NNSA's Mediation Program, and the EEO complaint process.

In addition, employees are required to complete training bi-annually on the Federal Notification and Federal Employee Antidiscrimination and Retaliation Act ("the No FEAR Act"). In FY 2009, 98.9% of Service Center Employees completed the No FEAR Act Training Course; the completion rate for NNSA-wide was 53.8%.

Staff members also supported other NNSA customers by providing the following support: 1) Provided quarterly EEO Counselor training to meet annual requirements set forth by the EEO Commission, 2) provided Leadership School Training to NNSA's Office of Secure Transportation, 3) provided Federal Agent Training to all new Agents within the Office of Secure Transportation, and 4) participated in the development of the *DOE-wide* Diversity Framework and Strategic Plan for employee development and retention.

For FY 2009: Under represented groups include White females 18.5%, CLF 33.7%; African American males 3.6%, CLF 4.8%; and Asian females 1.2%, CLF 1.7%. Note: African American females increased .5% (14 FTEs) and are no longer under represented: 5.6%, CLF 5.7%.

The five-year trend for White female, African American male, and Asian female follows:

- White females comprised 18.5%, 18.3%, 18.5%, 18.7% and 18.5% in the five-year period.  
African American males comprised 3.6%, 3.3%, 3.1%, 3% and 3% in the five-year period.  
Asian females comprised 1.2%, 1.3%, 1.1%, 1% and 1% in the five-year period.

For 2010, recommendation to continue management officials' awareness of special hiring authorities to actively recruit qualified individuals with targeted disabilities, African Americans and White females. Continue collaborations between the Office of Human Capital Management Services' Selective Placement Coordinator and the Special Emphasis Program's Committee for People with disabilities to hire employees with targeted disabilities. Recommendation to management to discuss implementation of exit interviews to address employee separations.

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|---|---|
| STATEMENT of<br>MODEL PROGRAM<br>ESSENTIAL ELEMENT<br>DEFICIENCY: | Element Four – Proactive Prevention   |
| OBJECTIVE:  | <ol style="list-style-type: none"> <li>1. Complete MD-715 and acquire MD-715 data collection and analysis system to provide for more efficient self assessment on an annual basis (minimum) to monitor progress, identify areas where barriers may operate to exclude certain groups, and develop strategic plans to eliminate identified barriers.</li> <li>2. Ensure Reasonable Accommodation Policy is readily available to all NNSA employees.</li> <li>3. Ensure all employees are briefed on NNSA’s Mediation Program.</li> </ol> |
| RESPONSIBLE OFFICIAL:   | Mary Ann Fresco, Director, Office of Diversity and Outreach<br>Yolanda Girón, EEO and Diversity Program Manager   |
| DATE OBJECTIVE<br>INITIATED:                                      | October 1, 2008   |
| TARGET DATE FOR<br>COMPLETION OF<br>OBJECTIVE:                    | September 30, 2009  |
| PLANNED ACTIVITIES<br>TOWARD COMPLETION OF<br>OBJECTIVE:          | TARGET DATE<br>(Must be specific)   |
| Complete MD-715 for FY 2008<br>and acquire software.              | November 2009   |
| Brief Managers and Supervisors                                    | November 2009   |

|  |               |
|--|---------------|
| on Reasonable Accommodation Policy   |               |
| Provide Alternative Dispute Resolution Program Overview to NNSA employees. | November 2009 |

**REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE**

1. The FY 2008 MD-715 Report was completed in November 2008. NNSA has acquired the MD-715 software and is in the process of implementing.
  
2. The EEO and Diversity staff trained all Site Office, Service Center, and NNSA HQ Office of Secure Transportation (NA-15), including Eastern, Western, Central and Training Command, managers and supervisors with an annual FY 2009 EEO update on the Amended American with Disabilities Act of 2008, which went in effect January 1, 2009. Questions regarding Reasonable Accommodation Policy were also addressed and managers and supervisors were informed of the DOE Reasonable Accommodation Policy, which NNSA follows.
  
3. A formal Alternative Dispute Resolution Program (ADR) is available to all NNSA employees. NNSA employees were briefed on the Mediation Program while completing the mandatory computer-based EEO training for FY 2009.

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| STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:  | Element Five – Efficiency and Legal Compliance   |
| OBJECTIVE:  | Review EEO complaint resolution process to ensure efficiency and alignment with 29 C.F.R. Part 1614. |
| RESPONSIBLE OFFICIAL:   | Yolanda Girón, EEO and Diversity Program Manager   |
| DATE OBJECTIVE INITIATED:   | October 1, 2007  |
| TARGET DATE FOR COMPLETION OF OBJECTIVE:  | October 30, 2009   |
| PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:  | TARGET DATE<br>(Must be specific)  |
| 1. Review EEO Complaint processing times to ensure complaint processing timeframes do not exceed those provided for in 29 C.F.R. Part 1614. | October 30, 2009   |
| 2. Track and monitor EEO complaints process to ensure timely and complete compliance with Title VII requirements.                           | October 30, 2009   |
| 3. Review Alternative Dispute Resolution Processing   | October 30, 2009   |

times.

## REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE

The EEO and Diversity Office uses a four color-coded system to measure EEO complaint activity: Green (successful); Bright Yellow (successful with a written extension); Pale Yellow (successful with verbal extension in place, beyond the 30-60 day timeframe); and Red (failure).

### ***Informal/Pre-Complaints***

In FY09, nine informal/pre-complaints were processed within 29 CFR 1614 and EEO Commission (EEOC) Management Directive-110 (MD-110). Of these, EEO Counselors received seven written extensions, and the limited inquiry was completed within the required 30-60 day time frame. One verbal extension was granted, and the limited inquiry was completed within the required 30-60 day time frame. One complaint failed the 30-60 day time frame, and no extension was requested.

### ***Formal Complaints***

The EEO and Diversity Office processed nine new formal complaints in FY09. Of the carry-over case-load from FY08, two were Green indicating the case was managed within the required 180-day investigation period. Three were Bright Yellow and the case went beyond the 180-day investigation period, however, did not exceed the 270 days allowed with a written extension in place. Seven were Red and the case was not managed within the required 180-270 days because the contractor was unable to perform the investigation within the required timeframes.

### ***Mediation***

EEO and *non*-EEO related disputes are tracked for the success rate as defined by parties reaching settlement. The success rate for CY 2009 is 100%.

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|--|--|--|
| National Nuclear Security Administration<br>U.S. Department of Energy  | FY 2009  |  |
| <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>Tables A-1, B-1, A-14 and B-14:<br/>Total Workforce, Separations and Disabilities</p> <p>The total workforce was compared to the 2000 Census Bureau's Civilian Labor Force (CLF) and targeted disabilities were compared to the federal high of 2.27% (from EEOC.gov). In addition, diversity and gender separations were compared to total workforce separations. Analysis of the workforce reflected the following:</p> <ul style="list-style-type: none"> <li>• NNSA increased staffing by 35 FTEs or 1.3%; 2669 in FY 2008 and 2704 employees in FY 2009.</li> <li>• Under represented groups include White females 18.5%, CLF 33.7%; African American males 3.6%, CLF 4.8%; and Asian females 1.2%, CLF 1.7%. Note: African American females increased .5% (14 FTEs) and are no longer under represented: 5.6%, CLF 5.7%.</li> <li>• Individuals with targeted disabilities remains unchanged at .4% (11 FTEs) compared to the Federal high of 2.27%.</li> <li>• There were 202 separations in FY 2009. Of the 202 separations, 17.8% were White females as compared to their total work force (separation) ratio of 18.5%; 5% were African American males as compared to their total work force (separation) ratio of 3.5%; and 6.9% were African American females as compared to their total work force (separation) ratio of 5.6%.</li> <li>• Of the 202 separations, retirements comprise 42%. Of the 42% of retirements, 51% of these retirements were White females and minorities and 68.4% of overall separations were White females and minorities.</li> <li>• Of the 202 separations, 38.1% are the result of resignations and transfers to other federal agencies. Of the 38.1%, 50.6% were White females and minorities.</li> <li>• There were 10 involuntary separations in FY 2009 and 16 involuntary separations in FY 2008. Of the 10 involuntary separations in FY 2009, 70% were women and minorities. Of the 16 involuntary separations in FY 2008, 38% were women and minorities. None of the separated employees identified a targeted disability and 9 separated employees identified a disability.</li> </ul> |  |
| <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>FY 2009: White females, African American Males and Asian Females:</p> <ul style="list-style-type: none"> <li>• NNSA is below the CLF for White females 18.5% (CLF 33.7%). There was a .2% decrease from FY 2008.</li> <li>• NNSA is below the CLF for African American males 3.6% (CLF 4.8%). There was a .3% increase from FY 2009.</li> <li>• NNSA is below the CLF for Asian females 1.2% (CLF 1.7%). There was a .1% increase from FY 2009</li> </ul> <p>The five-year trend for White female, African American male, and Asian female follows:</p> <ul style="list-style-type: none"> <li>• White females comprised 18.5%, 18.3%, 18.5%, 18.7% and 18.5% in the five-year period.</li> <li>• African American males comprised 3.6%, 3.3%, 3.1%, 3% and 3% in the five-year period.</li> <li>• Asian females comprised 1.2%, 1.3%, 1.1%, 1% and 1% in the five-year period.</li> </ul>  |  |

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|   | <p>Individuals with targeted disabilities remains unchanged at .4% (11 FTEs) compared to the Federal high of 2.27%.<br/> The five-year trends for employees with targeted disabilities:</p> <ul style="list-style-type: none"> <li>• 1% (14 FTEs); .5% (12 FTEs); .5% (12 FTEs); .4% (11 FTEs) and in FY 2009 .4% (11 FTEs) compared to the Federal high of 2.27%.</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>The five-year trend for White females indicates no movement for White females as a portion of the total NNSA workforce.</p> <p>The five-year trend for African American males indicates an increase for African American male employee as a portion of the total NNSA workforce.</p> <p>The five-year trend for Asian females indicates upward movement as a portion of the total NNSA workforce.</p> <p>The five-year trend for employees with targeted disabilities indicates slight movement downward for employees with Targeted Disabilities.</p> <p>The 2010 Census Bureau CLF will provide more current data regarding the CLF and NNSA's recruitment and retention efforts.</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>   | <ol style="list-style-type: none"> <li>1. Continue management officials' awareness of special hiring authorities to actively recruit qualified individuals with targeted disabilities, African Americans and White females.</li> <li>2. Continue collaborations between the Office of Human Capital Management Services' Selective Placement Coordinator and the Special Emphasis Program's Committee for People with disabilities to hire employees with targeted disabilities.</li> <li>3. Recommendation to management to discuss implementation of exit interviews to address employee separations.</li> </ol>   |
| <p><b>RESPONSIBLE OFFICIAL:</b></p>   | <p>Office of Human Capital Management Services, EEO and Diversity Office, and Managers/Supervisors.</p>  |
| <p><b>DATE OBJECTIVE INITIATED:</b></p>   | <p>October 1, 2007</p>   |
| <p><b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b></p>  | <p>Ongoing</p>   |

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| National Nuclear Security Administration<br>U.S. Department of Energy  | FY 2009   |  |
| <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>Tables A-8 and B-8<br/>New Hires and Disabilities</p> <p>The ratio of new hires was compared for each group against their Civilian Labor Force (CLF) and targeted disabilities were compared to the total number of new hires. Analysis of the workforce reflected the following:</p> <ul style="list-style-type: none"> <li>• NNSA hired 218 permanent new employees in FY 2009.</li> <li>• Forty one (18.8%) permanent new hires were White females as compared to the CLF which is 33.7%</li> <li>• Twelve (5.5%) permanent new hires were African American males as compared to the CLF which is 4.8%.</li> <li>• Two (.9%) permanent new hires were Asian females as compared to the CLF which is 1.7%.</li> <li>• Of the 218 permanent new hires, 5 of the permanent new hires (2.3%) identified a disability; 0 had a targeted disability.</li> <li>• NNSA hired 36 temporary new hires in FY 2009. Of the 36, thirty (83%) were women and minorities.</li> </ul> |  |
| <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>For permanent new hires:</p> <ul style="list-style-type: none"> <li>• NNSA is below the CLF for hiring White females. White females 18.8% and CLF 33.7%. For FY08, White females was 15.5%</li> <li>• NNSA is above the CLF for African American males. 5.5% and CLF 4.8%. For FY08, African American males were 4.8%.</li> <li>• NNSA is below the CLF for Asian females. .9% and CLF 1.7%. For FY08, Asian female new hires were 2.5%.</li> </ul> <p>The five-year trend for new hires with targeted disabilities remains unchanged:</p> <ul style="list-style-type: none"> <li>• 0% (12); 0% (12); 0% (12); 0% (11) and in FY 2009 0% (5).</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>Two year (FY08 and FY09) analysis:</p> <p>Two-year trend for White females indicates increase in new hires.</p> <p>Two-year trend for African American males indicates increase in new hires.</p> <p>Two-year trend for Asian females indicates decrease in new hires.</p> <p>Because the NNSA system used to hire does not require data gathering for applicants' gender, race/ethnicity and disability, a determination of the effectiveness of recruitment and advertising efforts cannot be established.</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>  | <ol style="list-style-type: none"> <li>1. Continue management officials' awareness of diversity workforce statistics and low representation of White females, African American females and males, Asian females and individuals with targeted disabilities.</li> <li>2. Continue collaborations between the Office of Human Capital Management Services' Selective Placement Coordinator and the Special Emphasis Programs to recruit and retain women, minorities and individuals with targeted disabilities.</li> </ol>   |  |

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| <b>RESPONSIBLE OFFICIAL:</b>                    | Office of Human Capital Management Services, EEO and Diversity Office, and Managers/Supervisors. |
| <b>DATE OBJECTIVE INITIATED:</b>                | October 1, 2007  |
| <b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b> | Ongoing  |

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| <b>EEOC FORM<br/>715-01<br/>PART I</b>  | U.S. Equal Employment Opportunity Commission<br>FEDERAL AGENCY ANNUAL<br>EEO PROGRAM STATUS REPORT  |
| <b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b><br><br>Provide a brief narrative describing the condition at issue.<br><br>How was the condition recognized as a potential barrier? | Tables A-11 and B-11<br>Internal Selections for Senior Level Positions<br><br>The total internal selections for Engineering & Scientific Career Paths(NN); Professional, Technical & Administrative Career Paths (NQ); Nuclear Materials Couriers/Federal Agents Career Paths (NV); and Excepted Service positions (EJ/EK/EN/ES) at GS-13 and above were analyzed by gender, diversity and targeted disabilities for FY 2009: <ul style="list-style-type: none"> <li>• NN GS 13-15: 19 selections were made. Of the 19, 21.1% (4) were females, 5.3% (1) was a white female, 0% were African American males, and 5.3% (1) was an Asian female.</li> <li>• NQ GS 13-15: 67 selections were made. Of the 67, 47.8% (32) were females, 32.8% (22) were White females, 1 (1.5%) was African American males and 1 (1.5%) was an Asian female.</li> <li>• NV GS 13: 9 selections were made. Of the 9, 0.0% were females and 0.0% were African Americans.</li> <li>• Excepted Service Positions: 32 selections were made. Of the 32, 15.6% (5) were females, 6.3% (2) were White females and 12.6% (4) were African American.</li> <li>• Of the total (127) NN, NQ, NV and Excepted Service positions, 0.0% of the selections identified a targeted disability and 2.4% (3) selections identified a disability.</li> </ul> |
| <b>BARRIER ANALYSIS:</b><br><br>Provide a description of the steps taken and data analyzed to determine cause of the condition.   | Distribution ratios of relevant pools is listed below: <ul style="list-style-type: none"> <li>• NN: 40.3% (74) were females; 12.0% (48) were white females; 3.4% (13) were African American males, and 1.3% (5) were Asian females.</li> <li>• NQ: 49.8% (611) were females; 26.6% (327) were white females; 2.9% (36) were African American males; and 1.1% (14) were Asian females.</li> <li>• NV: .3% (1) was female; .3% (1) was white female; 4.8% (18) were African American males and 0% were Asian females.</li> <li>• Excepted Service positions: 18.8% (77) are females; 11.0% (45) White females; 2.9% (12) African American males; and 1.5% (6) are Asian females.</li> </ul>   |
| <b>STATEMENT OF IDENTIFIED BARRIER:</b><br><br>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.                | Because the NNSA system used to hire does not require data gathering for applicants' gender, race/ethnicity and disability, the distribution ratio of groups cannot be determined from applications received.<br><br>The distribution ratio of relevant pools indicates a sufficient pool for White females, African American males; and Asian females. However, absent specific applicant data, a more specific barrier on selections cannot be made.  |
| <b>OBJECTIVE:</b><br><br>State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.  | Continue analysis to determine who is applying, by race/ethnicity, gender and disability to assess the effectiveness of outreach to low represented groups.   |
| <b>RESPONSIBLE OFFICIAL:</b>  | Office of Human Capital Management Services and EEO and Diversity Office.   |
| <b>DATE OBJECTIVE INITIATED:</b>  | October 1, 2009   |
| <b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>   | Ongoing   |

| EEOC FORM<br>715-01<br>PART I  | U.S. Equal Employment Opportunity Commission<br>FEDERAL AGENCY ANNUAL<br>EEO PROGRAM STATUS REPORT  |  |
|--|---|--|
| National Nuclear Security Administration<br>U.S. Department of Energy  | FY 2009   |  |
| <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>Tables A-12 and B-12<br/>Participation in Career Development Opportunities</p> <p>The participation rate in Pay Band I (GS 5-12), Pay Band II (GS 13-14), Pay Band III (GS-15), and Excepted Service (ES, EK, and EN) were analyzed by gender, diversity and targeted disabilities for FY 2009:</p> <ul style="list-style-type: none"> <li>• Pay Band I (GS 5-12): 37 selections were made. Of the 37, 10.8% (4) were Hispanic males and 10.8% (4) were Hispanic females; 8.1% (3) were White females; 27.0% (10) were African American males; 8.1% (3) were African American females; 2.7% (1) was Asian male. Targeted Disability = 0.0% and disabled participants = 2.7% (1).</li> <li>• Pay Band II (GS 13-14): 24 selections were made. Of the 24, 4.2% (1) was Hispanic female; 16.7% (4) were White females; 12.5% (3) were African American Males; 4.2% (1) was Asian male. There was one (4.2%) disabled participant and 0.0% with Targeted Disability.</li> <li>• Pay Band III (GS-15): 6 selections were made. Of the 6, 33.3% (2) were White females; 0.0% were Targeted Disability and Disabled employees included 2.7% (1) Pay Band I (GS 5-12) and 4.2% (1) Pay Band II (GS- 13-14).</li> </ul> |  |
| <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>Participation rate in under represented groups follows:</p> <ul style="list-style-type: none"> <li>• White females: Pay Band I 8.1% (3); Pay Band II 16.7% (4); Pay Band III 33.3% (2); and Excepted Service 14.3% (2).</li> <li>• African American males: Pay Band I 27.0% (10); Pay Band II 12.5% (3); Pay Band III 0.0%; and Excepted Service 0.0%.</li> <li>• Asian females: Pay Band I, II, III and Excepted Service 0.0%.</li> <li>• Targeted Disability and Disabled participants = 0.0%.</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>When comparing eligible population, eligible employees are not applying for Career Development Opportunities. Additionally, NNSA has a limited amount of funding, commensurately, slots for participation in career development programs. Managers also reported, in 2009 EEO training, a misunderstanding of who was funding tuition, per diem and travel costs associated with career developing training.</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 Learning and Career Development Department subsequently sponsored LCDD training fairs in October 2009. Recommend continued marketing of Career Development Opportunities to NNSA employees and supervisors.</p>  |  |
| <p><b>RESPONSIBLE OFFICIAL:</b></p>  | <p>Office of Human Capital Management Services and EEO and Diversity Office</p>   |  |
| <p><b>DATE OBJECTIVE INITIATED:</b></p>  | <p>October 1, 2009</p>  |  |
| <p><b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b></p>   | <p>Ongoing</p>  |  |

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| EEOC FORM<br>715-01<br>PART I   | U.S. Equal Employment Opportunity Commission<br>FEDERAL AGENCY ANNUAL<br>EEO PROGRAM STATUS REPORT  |
| National Nuclear Security Administration<br>U.S. Department of Energy   | FY 2009   |
| <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>Tables A-13 and B-13<br/>Employee Recognition and Awards</p> <p><b>Cash Awards \$501+:</b> Females and minorities are below the average, with the exception of Asian males.<br/> <b>Cash Awards &lt;\$501:</b> African American males (\$273) and total males (\$323) are below the average (\$338).<br/> <b>Time-Off Awards 9+ hours:</b> Total males (16 hours) are below the average (18 hours). 14 time-off awards were awarded to employees with a disability (18 hours), which is equal to the average hours (18 hours) awarded. Zero hours were awarded to employee(s) with a targeted disability.<br/> <b>Time-Off Awards 1-9 hours:</b> Total males (6 hours), American Indian females (6 hours), and Hispanic males (6 hours) are below the average (7 hours). Nine time-off awards were awarded to employees with a disability. This was equal to the average hours (7 hours) awarded. One time-off award (9 hours) was given to an employee with a targeted disability and exceeded the average.</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>Absent focus groups, survey, interview or some other method to determine supervisors' and managers' individual philosophies on the granting of awards to their employees, we cannot state a specific barrier that addresses those race/ethnicity, gender, or disabled employees that did not achieve the average award for a particular award category.</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>Managers and supervisors may not be aware of the option to give awards throughout the year. Recommend leadership overview on workforce diversity within NNSA, including awards program, distribution and supervisor role regarding employee award recognition for FY 2010.</p>   |
| <p><b>RESPONSIBLE OFFICIAL:</b></p>   | <p>Office of Human Capital Management Services and EEO and Diversity Office</p>   |
| <p><b>DATE OBJECTIVE INITIATED:</b></p>   | <p>October 1, 2009</p>  |
| <p><b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b></p>  | <p>Ongoing</p>  |

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| <b>EEOC FORM<br/>715-01<br/>PART J</b>   | <b>U.S. Equal Employment Opportunity Commission<br/>FEDERAL AGENCY ANNUAL<br/>EEO PROGRAM STATUS REPORT<br/>Special Program Plan for the Recruitment, Hiring, and Advancement of<br/>Individuals With Targeted Disabilities</b> |   |      |                |      |             |                |
| <b>PART I<br/>Department<br/>or Agency<br/>Information</b>   | 1. Agency   | 1. U.S. Department of Energy                  |      |                |      |             |                |
|  | 1.a. 2 <sup>nd</sup> Level Component  | 1.a. National Nuclear Security Administration |      |                |      |             |                |
|  | 1.b. 3 <sup>rd</sup> Level or lower   | 1.b.  |      |                |      |             |                |
| <b>PART II<br/>Employment<br/>Trend and<br/>Special<br/>Recruitment<br/>for<br/>Individuals<br/>With<br/>Targeted<br/>Disabilities</b> | Enter Actual Number at the ...  | beginning of FY 2008                          |      | end of FY 2009 |      | Net Change  |                |
|  |   | Number  | %    | Number         | %    | Number      | Rate of Change |
|  | Total Work Force  | 2,669   | 100% | 2,704          | 100% | 35          | 1.3%           |
|  | Reportable Disability   | 126   | 100% | 126            | 100% | 0           | 0.0%           |
|  | Targeted Disability*  | 11  | 100% | 11             | 100% | 0           | 0.0%           |
|  | * 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.  |   |      |                |      | Not tracked |                |
| 2. Total Number of Selections of Individuals with Targeted Disabilities during the reporting period.                                   |   |   |      |                | 0    |             |                |
| <b>PART III Participation Rates In Agency Employment Programs</b>  |   |   |      |                |      |             |                |

| Other Employment/Personnel Programs      | TOTAL   | Reportable Disability |      | Targeted Disability |      | Not Identified |      | No Disability |       |
|--|---------|-----------------------|------|---------------------|------|----------------|------|---------------|-------|
|  |         | #                     | %    | #                   | %    | #              | %    | #             | %     |
| 3. Competitive Promotions                | 113     | 2                     | 1.7% | 0                   | 0    | 3              | 2.6% | 108           | 95.6% |
| 4. Non-Competitive Promotions            | 46      | 3                     | 6.5% | 1                   | 2.2% | 0              | 0    | 43            | 93.5% |
| 5. Employee Career Development Programs  | 79      | 2                     | 2.5% | 0                   | 0    | 0              | 0    | 77            | 97.4% |
| 5.a. Grades 5 - 12                       | 37      | 1                     | 2.7% | 0                   | 0    | 0              | 0    | 36            | 97.3% |
| 5.b. Grades 13 - 14                      | 24      | 1                     | 4.2% | 0                   | 0    | 0              | 0    | 23            | 95.8% |
| 5.c. Grade 15/SES                        | 18      | 0                     | 0    | 0                   | 0    | 0              | 0    | 18            | 100%  |
| 6. Employee Recognition and Awards       | 3977    | 194                   | 4.9% | 13                  | 0.3% | 120            | 3.0% | 3663          | 92.1% |
| 6.a. Time-Off Awards (Total hrs awarded) | 483     | 23                    | 4.7% | 1                   | 0.2% | 7              | 1.4% | 453           | 93.8% |
| 6.b. Cash Awards (total \$\$\$ awarded)  | 8793709 | 171                   | 4.9% | 12                  | 0.3% | 113            | 3.2% | 3210          | 91.8% |
| 6.c. Quality-Step Increase               | 0       |                       |      |                     |      |                |      |               |       |

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| EEOC FORM<br><b>715-01</b><br>Part J                         | Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities   |
| <b>Part IV</b><br>Identification and Elimination of Barriers | <p>Underrepresented groups include the Targeted Disabled workforce which is .4%. as compared to the Federal high of 2.27%. Also, a review of A-1 shows no changed in with Targeted Disabilities, 11 individuals in FY 2008 and 11 in FY 2009.</p> <p><b>Separations:</b></p> <p>The total workforce was compared to the 2000 Census Bureau's Civilian Labor Force (CLF) and targeted disabilities were compared to the federal high of 2.27% (from EEOC.gov). Analysis of the workforce reflected the following:</p> <ul style="list-style-type: none"> <li>• NNSA increased staffing by 35 FTEs or 1.3%; 2669 in FY 2008 and 2704 employees in FY 2009.</li> </ul> |

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|   | <ul style="list-style-type: none"> <li>• There were 202 separations in FY 2009 of which 38.1% are the result of resignations and transfers to other federal agencies. There were 10 involuntary separations in FY 2009 and 16 involuntary separations in FY 2008. None of the separated employees identified a targeted disability and 9 separated employees identified a disability.</li> <li>• The five-year trends for employees with targeted disabilities: 1% (14 FTEs); .5% (12 FTEs); .5% (12 FTEs); .4% (11 FTEs) and in FY 2009 .4% (11 FTEs) compared to the Federal high of 2.27%.</li> </ul> <p>The five-year trend for employees with targeted disabilities indicates slight movement downward for employees with Targeted Disabilities.</p>   |
| <p><b>Part V</b></p> <p>Goals for Targeted Disabilities</p> | <ul style="list-style-type: none"> <li>• Increase management officials' awareness of *special hiring authorities, and benefits of using these authorities, to actively recruit qualified individuals with targeted disabilities.</li> <li>• Continue collaborations between the Office of Human Capital Management Services' Selective Placement Coordinator and the Special Emphasis Program's Committee for People with Disabilities to hire employees with targeted disabilities.</li> <li>• Recommendation to management to discuss implementation of exit interviews to address employee separations.</li> </ul> <p><i>*Schedule A appointing authority, 5 CFR 213.3102(u), revised by consolidating 3 separate appointing authorities, expanding proof of disability and applicant's job readiness certification, and clarifying the following: appointment options, that agencies may also make temporary time-limited and permanent appointments, the distinction between proof of disability and certification of job readiness.</i></p> |

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| <p>EEOC FORM<br/><b>715-01</b><br/>Part J</p>                             | <p>Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities</p>   |
| <p><b>Part IV</b><br/><br/>Identification and Elimination of Barriers</p> | <p>Underrepresented groups include the Targeted Disabled workforce which is .4% as compared to the Federal high of 2.27%. Also, a review of A-1 shows no change in with Targeted Disabilities, 11 individuals in FY 2008 and 11 in FY 2009.</p> <p><b>Separations:</b></p> <p>The total workforce was compared to the 2000 Census Bureau’s Civilian Labor Force (CLF) and targeted disabilities were compared to the federal high of 2.27% (from EEOC.gov). Analysis of the workforce reflected the following:</p> <ul style="list-style-type: none"> <li>• NNSA increased staffing by 35 FTEs or 1.3%; 2669 in FY 2008 and 2704 employees in FY 2009.</li> <li>• There were 202 separations in FY 2009 of which 38.1% are the result of resignations and transfers to other federal agencies. There were 10 involuntary separations in FY 2009 and 16 involuntary separations in FY 2008. None of the separated employees identified a targeted disability and 9 separated employees identified a disability.</li> <li>• The five-year trends for employees with targeted disabilities: 1% (14 FTEs); .5% (12 FTEs); .5% (12 FTEs); .4% (11 FTEs) and in FY 2009 .4% (11 FTEs) compared to the Federal high of 2.27%.</li> </ul> <p>The five-year trend for employees with targeted disabilities indicates slight movement downward for employees with Targeted Disabilities.</p> |
| <p><b>Part V</b><br/><br/>Goals for Targeted Disabilities</p>             | <ul style="list-style-type: none"> <li>• Increase management officials’ awareness of *special hiring authorities, and benefits of using these authorities, to actively recruit qualified individuals with targeted disabilities.</li> <li>• Continue collaborations between the Office of Human Capital Management Services’ Selective Placement Coordinator and the Special Emphasis Program’s Committee for People with Disabilities to hire employees with targeted disabilities.</li> <li>• Recommendation to management to discuss implementation of exit interviews to address employee separations.</li> </ul> <p><i>*Schedule A appointing authority, 5 CFR 213.3102(u), revised by consolidating 3 separate appointing authorities, expanding proof of disability and applicant’s job readiness certification, and clarifying the following: appointment options, that agencies may also make temporary time-limited and permanent appointments, the distinction between proof of disability and certification of job readiness.</i></p>  |

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**Facility Accessibility Results**  
**(to support action plan for building renovation projects)**

The NNSA has no building enhancements/projects to report in regards to the American with Disability Act Facility Accessibility Report for the FY 2009 timeframe.

**Appendix 1:**

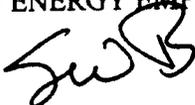
**EEO and Diversity Policy Statement**



**The Secretary of Energy**  
**Washington, D.C. 20585**

April 10, 2007

MEMORANDUM FOR ALL DEPARTMENT OF ENERGY EMPLOYEES

FROM: SAMUEL W. BODMAN   
SUBJECT: Equal Employment Opportunity and Diversity  
Policy Statement

The Department of Energy's (DOE) mission is of critical importance to this Nation. We are charged with the responsibility for advancing our country's national and energy security, promoting scientific and technical innovation, and ensuring the environmental cleanup of the national nuclear weapons complex.

I know that DOE Federal and Contractor employees are committed to excellence and have a strong record of performance. Indeed, I am continually impressed by the commitment that DOE Federal and Contractor employees show on a daily basis to accomplishing our missions. But if we are to be fully successful, we must constantly strive to attract and retain the best employees from all walks of life. To do so, we must embrace the concepts of Equal Employment Opportunity (EEO) and diversity, utilize those concepts to meet the professional aspirations of our employees and applicants for employment, and integrate them into the everyday culture of the Department.

Employees of DOE and its contractors are responsible not only for complying with EEO laws, but also for treating each other and all DOE stakeholders with respect and dignity. If we do so, and I believe we must do so, I am confident that we can maintain our world-class leadership, make DOE the employer of choice in the Federal Government, and more effectively accomplish the extraordinarily important and difficult missions that the President and the American people have entrusted to us.

In order to effectively abide by EEO and diversity concepts in their daily work, everyone must know what those concepts mean. Equal Employment Opportunity ensures that applicants and employees are not subjected to prohibited discrimination in any aspect of employment, including but not limited to recruitment, hiring, merit promotion, transfer, reassignment, training, career development, benefits, and separation. Prohibited discrimination includes discrimination or reprisal on the basis of race, color, sex, religion, national origin, age, disability (physical or mental), or sexual orientation. EEO mandates that all employment-related decisions be based on merit, and not on prohibited discriminatory factors. Prohibited discrimination is counterproductive to our mission and will not be tolerated at the Department of Energy.



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Where discrimination is found to have occurred, appropriate corrective and/or disciplinary action will be taken.

Diversity is a broader concept than compliance with EEO requirements. Diversity involves fostering an environment that promotes inclusion, equity and respect, and enhances the potential and contribution of all employees. It allows for enhanced creativity, new ideas, fresh approaches to problem-solving, and access to different points of view. Studies have shown that diverse groups of people, working together, solve problems more quickly, more efficiently, and at lower cost than non-diverse groups. Diversity allows us to better reflect the rich tapestry of our great Nation, and thereby better serve our stakeholders and the public. I am personally committed to fostering a culture of inclusion and respect that values, embraces, and promotes diversity within the Department, and I expect all DOE Federal and Contractor employees to have that same level of commitment.

In that regard, it is not enough to simply say that we are an equal opportunity employer; I expect managers and supervisors to be proactive in preventing unlawful discrimination and in identifying and reporting known incidents of discrimination to their superiors or to their local DOE Office of Civil Rights and Diversity. DOE managers and supervisors also must exercise leadership and innovation in ensuring that EEO and diversity are important considerations in every aspect of employment, including recruitment and hiring. To that end, all barriers to equality of opportunity must be eliminated, and we must make sure appropriate effort is made to recruit and retain employees from all different backgrounds. DOE's Chief Human Capital Officer and the Director of DOE's Office of Civil Rights and Diversity are jointly developing and implementing mandatory training for supervisors to ensure understanding and compliance with relevant laws and directives.

I call upon each of you to become a personal leader in attaining a workplace of respect and inclusion and in creating an environment where all employees have an equal opportunity to reach their full potential.

**Appendix 2:  
Policy Statement on Prevention of Harassment  
(including Sexual Harassment) and Retaliation**



**The Secretary of Energy**  
Washington, D.C. 20585

April 10, 2007

MEMORANDUM FOR ALL DEPARTMENT OF ENERGY EMPLOYEES

FROM: SAMUEL W. BODMAN 

SUBJECT: Prevention of Harassment (Including Sexual Harassment) and  
Retaliation Policy Statement

The purpose of this policy statement is to affirm the Department of Energy's responsibility to maintain a workplace free from harassment (including sexual harassment) and retaliation, and to ensure that all employees are aware of my personal commitment to this goal.

Harassment is any unwelcome verbal, written, or physical conduct that either denigrates or shows hostility or aversion towards a person on the basis of race, color, national origin, religion, sex, sexual orientation, disability, or age that: (1) has the purpose or effect of creating an intimidating, hostile, or offensive work environment; (2) has the purpose or effect of unreasonably interfering with an employee's work performance; or (3) affects an employee's employment opportunities or compensation.

Sexual harassment is defined as unwelcome behavior of a sexual nature, including but not limited to, unwelcome sexual advances, requests for sexual favors, physical conduct of a sexual nature, or other similar behavior. Sexual harassment is not limited to prohibited conduct by a male employee toward a female employee. A male, as well as a female, may be the victim of sexual harassment. Similarly, sexual harassment is not limited to the actions of a supervisory employee toward a non-supervisory employee; the harasser may be an agent of the employer, a supervisory employee who does not supervise the victim, a coworker or even a non-employee.

Employees who take action to report or stop prohibited harassment (sexual or non-sexual) are legally entitled to be free from retaliation. Retaliation is a form of discrimination where an employee is subjected to an adverse employment action or harassment that creates a hostile or abusive work environment, solely because he or she opposed an unlawful employment practice. "Opposing" an unlawful employment practice includes filing a charge of discrimination, participating in an investigation, proceeding or hearing, or taking other, similar action in opposition to the unlawful practice.

I strongly encourage employees to address harassment before it becomes severe or pervasive. An individual being harassed may confront the harasser directly if he or she feels comfortable doing so, but is never required to confront the harasser directly. In the alternative, the individual



being harassed may report the harassment to any management official, or directly to the Equal Employment Opportunity (EEO) Office at his or her workplace.

Employees who wish to file a formal complaint of discrimination regarding harassment or retaliation must contact an EEO Counselor within 45 days of the alleged discriminatory action, or within 45 days of the date on which they reasonably become aware of the discrimination. The complaint process provides for a prompt, thorough, and impartial investigation. The Department will seek to protect the confidentiality of harassment and retaliation allegations, to the extent possible, and will share information only with those who have a need to know in the performance of their official duties.

Supervisory employees are responsible for informing their respective management of any conduct that they know or have been informed may constitute harassment within the Department of Energy. Supervisory employees who have knowledge of an act of possible harassment should contact the Office of Civil Rights and Diversity for guidance, even if they have been asked to keep the matter confidential. They are also responsible for taking immediate and appropriate corrective action, including disciplinary action, with respect to any matter involving an allegation of harassment, as advised by their local EEO Office.

Every employee has the right to work in an environment free from unlawful harassment and unlawful retaliation. Any employee of the Department of Energy who engages in harassment or retaliation in violation of the law or of this policy is subject to disciplinary action, which may include suspension or dismissal.

For more information regarding harassment in the workplace, or information on how to file an EEO complaint, you may consult <http://civilrights.doe.gov>.

**Appendix 3:  
National Nuclear Security Administration  
Organizational Chart**

# Administrator & Under Secretary for Nuclear Security

Thomas P. D'Agostino

Chief of Staff

William L. Barker, Jr.

NA-1



Effective: August 2009

**Principal Deputy Administrator**  
(Vacant)

**Associate Principal Deputy Administrator**  
James Cavanagh

Executive Staff Director  
Chief Information Officer  
General Counsel  
Director, Policy Planning, Assessment, & Analysis  
Environment, Safety, & Health Advisor  
Science Advisor

## Administrator's Staff

Director, Congressional,  
Intergovernmental and Public Affairs  
Chief, Defense Nuclear Safety

**Deputy Under Secretary for Counterterrorism**

Steven Aoki

NA-4

**Deputy Admin. for Defense Programs**  
(Vacant)  
**Prin. Asst. Dep. Admin. for Military Application**  
Brig Gen Garrett Harencak  
**Science Advisor**  
Dr. Gregory Simonson  
NA-10

**Deputy Admin. for Defense Nuclear Nonproliferation**  
(Vacant)  
**Prin. Asst. Dep. Admin.**  
Kenneth Baker  
NA-20

**Deputy Admin. for Naval Reactors**  
ADM K. H. Donald, USN  
**Prin. Asst. Dep. Admin.**  
Stephen Trautman  
NA-30

**Associate Admin. for Emergency Operations**  
Joseph Krol  
**Dep. Assoc. Admin.**  
Carl Pavetto  
NA-40

**Associate Admin. for Infrastructure & Environment**  
Thad Konopnicki  
**Dep. Assoc. Admin.**  
Randal Scott  
NA-50

**Associate Admin. for Management & Administration**  
Michael Kane  
**Dep. Assoc. Admin.**  
James Lambert  
NA-60

**Associate Admin. for Defense Nuclear Security**  
Brad Peterson  
**Dep. Assoc. Admin.**  
Doug Fremont  
NA-70

**NNSA Service Center Director**  
Karen Boardman  
**Deputy Director**  
Dennis Martinez

**Asst. Dep. Admin. for Science, Engineering & Production Programs**  
W. Steven Goodrum  
NA-12

**Asst. Dep. Admin. for Global Threat Reduction**  
Andrew Bieniawski  
NA-21

**Asst. Dep. Admin. for Strategic Planning, Resources & Integration**  
Phillip A. Niedzielski-Eichner  
NA-14

**Asst. Dep. Admin. for Nonproliferation Research & Development**  
Jan Cerveny  
NA-22

**Asst. Dep. Admin. for Secure Transportation**  
Jeffrey Harrell (Acting)  
NA-15

**Asst. Dep. Admin. for Nuclear Risk Reduction**  
Trish Dedik  
NA-23

**Asst. Dep. Admin. for Nuclear Safety & Operations**  
Gerald L. Talbot, Jr.  
NA-17

**Asst. Dep. Admin. for Nonproliferation & International Security**  
Mark Whitney (Acting)  
NA-24

**Asst. Dep. Admin. for International Material Protection & Cooperation**  
David Huizenga  
NA-25

**Asst. Dep. Admin. for Fissile Materials Disposition**  
Ken Bromberg  
NA-26

**Office of Emergency Management**  
James Fairbent  
NA-41

**Office of Emergency Response**  
Deborah Wilber  
NA-42

**Office of Emergency Management Implementation**  
Jose Maisonet  
NA-43

**Office of Emergency Operations Support**  
Floyd McCloud  
NA-44

**Office of National Technical Nuclear Forensics**  
Thomas Black  
NA-45

**Office of International Emergency Management & Cooperation**  
Vincent McClelland  
NA-46

**Office of Nuclear Counterterrorism**  
Randall R. Weidman  
NA-47

**Office of Infrastructure & Facilities Management**  
Robert Herrera  
NA-52

**Office of Project Management & Systems Support**  
Michael Hickman (Acting)  
NA-54

**Office of Environmental Projects & Operations**  
John Lehr (Acting)  
NA-56

**Office of Nuclear Materials Integration**  
Xavier Ascanio (Acting)  
NA-58

**Office of Diversity Programs**  
Mary Ann Fresco  
NA-61

**Office of Planning, Programming, Budgeting & Evaluation**  
Kathleen Foley  
NA-62

**Office of Acquisition & Supply Management**  
David Boyd  
NA-63

**Office of Human Capital Management Programs**  
David Amaral  
NA-64

**Office of Integration and Assessments**  
Albert Starnes  
NA-65

**Office of Business Operations**  
Teresa Tyner  
NA-66

**Office of Security Operations & Performance Assurance**  
Ted Wyka  
NA-71

**Office of Field Support**  
Kevin Lelheit  
NA-72

**Kansas City Site Office**  
Mark Holecek (Acting)

**Livermore Site Office**  
Alice C. Williams

**Los Alamos Site Office**  
Donald L. Winchell, Jr.

**Nevada Site Office**  
Stephen A. Mellington

**Pantex Site Office**  
Steve Erhart

**Sandia Site Office**  
Patty Wagner

**Savannah River Site Office**  
Douglas Dearolph

**Y-12 Site Office**  
Theodore D. Sherry

**Appendix 4**  
**462 Report**

AGENCY OR DEPARTMENT: \_\_\_\_\_ REPORTING PERIOD: FY \_\_\_\_\_

**PART I - PRE-COMPLAINT COUNSELING**

| EEO COUNSELOR   | COUNSELINGS |  | INDIVIDUALS |  |
|---|-------------|--|-------------|--|
|   |             |  |             |  |
| <b>A. TOTAL COMPLETED/ENDED COUNSELINGS</b>   |             |  |             |  |
| 1. COUNSELED WITHIN 30 DAYS   |             |  |             |  |
| 2. COUNSELED WITHIN 31 TO 90 DAYS   |             |  |             |  |
| a. COUNSELED WITHIN WRITTEN EXTENSION PERIOD NO LONGER THAN 60 DAYS                                       |             |  |             |  |
| b. COUNSELED WITHIN 90 DAYS WHERE INDIVIDUAL PARTICIPATED IN ADR  |             |  |             |  |
| c. COUNSELED WITHIN 31-90 DAYS THAT WERE UNTIMELY   |             |  |             |  |
| 3. COUNSELED BEYOND 90 DAYS   |             |  |             |  |
| 4. COUNSELED DUE TO REMANDS   |             |  |             |  |
| <b>ADR INTAKE OFFICER</b>   |             |  |             |  |
| <b>B. TOTAL COMPLETED/ENDED COUNSELINGS</b>   |             |  |             |  |
| 1. COUNSELED WITHIN 30 DAYS   |             |  |             |  |
| 2. COUNSELED WITHIN 31 TO 90 DAYS   |             |  |             |  |
| a. COUNSELED WITHIN WRITTEN EXTENSION PERIOD NO LONGER THAN 60 DAYS                                       |             |  |             |  |
| b. COUNSELED WITHIN 90 DAYS WHERE INDIVIDUAL PARTICIPATED IN ADR  |             |  |             |  |
| c. COUNSELED WITHIN 31-90 DAYS THAT WERE UNTIMELY   |             |  |             |  |
| 3. COUNSELED BEYOND 90 DAYS   |             |  |             |  |
| 4. COUNSELED DUE TO REMANDS   |             |  |             |  |
| <b>COMBINED TOTAL</b>   |             |  |             |  |
| <b>C. TOTAL COMPLETED/ENDED COUNSELINGS</b>   |             |  |             |  |
| 1. COUNSELED WITHIN 30 DAYS   |             |  |             |  |
| 2. COUNSELED WITHIN 31 TO 90 DAYS   |             |  |             |  |
| a. COUNSELED WITHIN WRITTEN EXTENSION PERIOD NO LONGER THAN 60 DAYS                                       |             |  |             |  |
| b. COUNSELED WITHIN 90 DAYS WHERE INDIVIDUAL PARTICIPATED IN ADR  |             |  |             |  |
| c. COUNSELED WITHIN 31-90 DAYS THAT WERE UNTIMELY   |             |  |             |  |
| 3. COUNSELED BEYOND 90 DAYS   |             |  |             |  |
| 4. COUNSELED DUE TO REMANDS   |             |  |             |  |
| <b>D. COUNSELING ACTIVITIES</b>   |             |  |             |  |
| 1. ON HAND AT THE BEGINNING OF THE REPORTING PERIOD   |             |  |             |  |
| 2. INITIATED DURING THE REPORTING PERIOD  |             |  |             |  |
| 3. COMPLETED/ENDED COUNSELINGS  |             |  |             |  |
| a. SETTLEMENTS (MONETARY AND NON-MONETARY)  |             |  |             |  |
| b. WITHDRAWALS/NO COMPLAINT FILED   |             |  |             |  |
| c. COUNSELINGS COMPLETED/ENDED IN REPORTING PERIOD THAT RESULTED IN COMPLAINT FILINGS IN REPORTING PERIOD |             |  |             |  |
| d. DECISION TO FILE COMPLAINT PENDING AT THE END OF THE REPORTING PERIOD                                  |             |  |             |  |
| 4. COUNSELINGS PENDING AT THE END OF THE REPORTING PERIOD   |             |  |             |  |

| E. NON-ADR SETTLEMENTS WITH MONETARY BENEFITS |             |             |        |
|---|-------------|-------------|--------|
|   | COUNSELINGS | INDIVIDUALS | AMOUNT |
| <b>TOTAL</b>                                  |             |             | \$     |
| 1. COMPENSATORY DAMAGES                       |             |             | \$     |
| 2. BACKPAY/FRONTPAY                           |             |             | \$     |
| 3. LUMP SUM PAYMENT                           |             |             | \$     |
| 4. ATTORNEY FEES AND COSTS                    |             |             | \$     |
| 5.  |             |             | \$     |
| 6.  |             |             | \$     |
| 7.  |             |             | \$     |

| F. NON-ADR SETTLEMENTS WITH NON-MONETARY BENEFITS |             |             |  |
|---|-------------|-------------|--|
|   | COUNSELINGS | INDIVIDUALS |  |
| <b>TOTAL</b>                                      |             |             |  |
| 1. HIRES  |             |             |  |
| a. RETROACTIVE                                    |             |             |  |
| b. NON-RETROACTIVE                                |             |             |  |
| 2. PROMOTIONS                                     |             |             |  |
| a. RETROACTIVE                                    |             |             |  |
| b. NON-RETROACTIVE                                |             |             |  |
| 3. EXPUNGEMENTS                                   |             |             |  |
| 4. REASSIGNMENTS                                  |             |             |  |
| 5. REMOVALS RESCINDED                             |             |             |  |
| a. REINSTATEMENT                                  |             |             |  |
| b. VOLUNTARY RESIGNATION                          |             |             |  |
| 6. ACCOMMODATIONS                                 |             |             |  |
| 7. TRAINING                                       |             |             |  |
| 8. APOLOGY  |             |             |  |
| 9. DISCIPLINARY ACTIONS                           |             |             |  |
| a. RESCINDED                                      |             |             |  |
| b. MODIFIED                                       |             |             |  |
| 10. PERFORMANCE EVALUATION MODIFIED               |             |             |  |
| 11. LEAVE RESTORED                                |             |             |  |
| 12.   |             |             |  |
| 13.   |             |             |  |

| G. ADR SETTLEMENTS WITH MONETARY BENEFITS |             |             |        |
|---|-------------|-------------|--------|
|   | COUNSELINGS | INDIVIDUALS | AMOUNT |
| <b>TOTAL</b>                              |             |             | \$     |
| 1. COMPENSATORY DAMAGES                   |             |             | \$     |
| 2. BACKPAY/FRONTPAY                       |             |             | \$     |
| 3. LUMP SUM PAYMENT                       |             |             | \$     |
| 4. ATTORNEY FEES AND COSTS                |             |             | \$     |
| 5.  |             |             | \$     |
| 6.  |             |             | \$     |
| 7.  |             |             | \$     |

| H. ADR SETTLEMENTS WITH NON-MONETARY BENEFITS |             |             |  |
|---|-------------|-------------|--|
|   | COUNSELINGS | INDIVIDUALS |  |
| <b>TOTAL</b>                                  |             |             |  |
| 1. HIRES                                      |             |             |  |
| a. RETROACTIVE                                |             |             |  |
| b. NON-RETROACTIVE                            |             |             |  |
| 2. PROMOTIONS                                 |             |             |  |
| a. RETROACTIVE                                |             |             |  |
| b. NON-RETROACTIVE                            |             |             |  |
| 3. EXPUNGEMENTS                               |             |             |  |
| 4. REASSIGNMENTS                              |             |             |  |
| 5. REMOVALS RESCINDED                         |             |             |  |
| a. REINSTATEMENT                              |             |             |  |
| b. VOLUNTARY RESIGNATION                      |             |             |  |
| 6. ACCOMMODATIONS                             |             |             |  |
| 7. TRAINING                                   |             |             |  |
| 8. APOLOGY                                    |             |             |  |
| 9. DISCIPLINARY ACTIONS                       |             |             |  |
| a. RESCINDED                                  |             |             |  |
| b. MODIFIED                                   |             |             |  |
| 10. PERFORMANCE EVALUATION MODIFIED           |             |             |  |
| 11. LEAVE RESTORED                            |             |             |  |
| 12.   |             |             |  |
| 13.   |             |             |  |

| I. NON-ADR SETTLEMENTS |             |             |  |
|------------------------|-------------|-------------|--|
|                        | COUNSELINGS | INDIVIDUALS |  |
| <b>TOTAL</b>           |             |             |  |

# ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

**AGENCY OR DEPARTMENT:**

**REPORTING PERIOD: FY**

**PART II - FORMAL COMPLAINT ACTIVITIES**

**PART III - AGENCY RESOURCES, TRAINING, REPORTING LINE**

A. COMPLAINTS ON HAND AT THE BEGINNING OF THE REPORTING PERIOD

B. COMPLAINTS FILED

C. REMANDS (sum of lines C1+C2+C3)

C.1. REMANDS (NOT INCLUDED IN A OR B)

C.2. REMANDS (INCLUDED IN A OR B)

C.3. NUMBER OF ADDITIONAL REMANDS IN THIS REPORTING PERIOD THAT ARE NOT CAPTURED IN C.1 OR C.2 ABOVE

C.4. ADDITIONAL CLOSURES IN THIS REPORTING PERIOD NOT REFLECTED IN F OR H THAT RESULTED FROM REMANDS

D. TOTAL COMPLAINTS (sum of lines A+B+C1)

E. COMPLAINTS IN LINE D THAT WERE NOT CONSOLIDATED

F. COMPLAINTS IN LINE E CLOSED DURING REPORT PERIOD

G. COMPLAINTS IN LINE D THAT WERE CONSOLIDATED

H. COMPLAINTS IN LINE G CLOSED DURING REPORT PERIOD

I. COMPLAINTS ON HAND AT THE END OF THE REPORTING PERIOD (Line D - (F+H)) + [(C2 + C3) - C4]

J. INDIVIDUALS FILING COMPLAINTS

K. NUMBER OF JOINT PROCESSING UNITS FROM CONSOLIDATION OF COMPLAINTS

**A. AGENCY & CONTRACT RESOURCES**

|                                  | AGENCY |         | CONTRACT |         |
|----------------------------------|--------|---------|----------|---------|
|                                  | NUMBER | PERCENT | NUMBER   | PERCENT |
| <b>1. WORK FORCE</b>             |        |         |          |         |
| a. TOTAL WORK FORCE              |        |         |          |         |
| b. PERMANENT EMPLOYEES           |        |         |          |         |
| <b>2. COUNSELOR</b>              |        |         |          |         |
| a. FULL-TIME                     |        |         |          |         |
| b. PART-TIME                     |        |         |          |         |
| c. COLLATERAL DUTY               |        |         |          |         |
| <b>3. INVESTIGATOR</b>           |        |         |          |         |
| a. FULL-TIME                     |        |         |          |         |
| b. PART-TIME                     |        |         |          |         |
| c. COLLATERAL DUTY               |        |         |          |         |
| <b>4. COUNSELOR/INVESTIGATOR</b> |        |         |          |         |
| a. FULL-TIME                     |        |         |          |         |
| b. PART-TIME                     |        |         |          |         |
| c. COLLATERAL DUTY               |        |         |          |         |

**B. AGENCY & CONTRACT STAFF TRAINING**

|  | COUNSELORS |          | INVESTIGATORS |          | COUNS/INVESTIG |          |
|--|------------|----------|---------------|----------|----------------|----------|
|  | AGENCY     | CONTRACT | AGENCY        | CONTRACT | AGENCY         | CONTRACT |
| <b>1. NEW STAFF - TOTAL</b>  |            |          |               |          |                |          |
| a. STAFF RECEIVING REQUIRED 32 OR MORE HOURS                           |            |          |               |          |                |          |
| b. STAFF RECEIVING 8 OR MORE HOURS, USUALLY GIVEN TO EXPERIENCED STAFF |            |          |               |          |                |          |
| c. STAFF RECEIVING NO TRAINING AT ALL                                  |            |          |               |          |                |          |
| <b>2. EXPERIENCED STAFF - TOTAL</b>                                    |            |          |               |          |                |          |
| a. STAFF RECEIVING REQUIRED 8 OR MORE HOURS                            |            |          |               |          |                |          |
| b. STAFF RECEIVING 32 OR MORE HOURS, GENERALLY GIVEN TO NEW STAFF      |            |          |               |          |                |          |
| c. STAFF RECEIVING NO TRAINING AT ALL                                  |            |          |               |          |                |          |

**C. REPORTING LINE**

1 EEO DIRECTOR'S NAME:

|  |     |    |
|--|-----|----|
| 1a. DOES THE EEO DIRECTOR REPORT TO THE AGENCY HEAD? | YES | NO |
|--|-----|----|

2. IF NO, WHO DOES THE EEO DIRECTOR REPORT TO?  
PERSON:  
TITLE:

3. WHO IS RESPONSIBLE FOR THE DAY-TO-DAY OPERATION OF THE EEO PROGRAM IN YOUR DEPARTMENT/AGENCY/ORGANIZATION?  
PERSON:  
TITLE:

4. WHO DOES THAT PERSON REPORT TO?  
PERSON:  
TITLE:



# ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT:

REPORTING PERIOD: FY

## PART V - SUMMARY OF CLOSURES BY STATUTE

**A. STATUTE** (IF A SINGLE COMPLAINT HAS MULTIPLE STATUTES RECORD EACH ON THE APPROPRIATE LINE.)

1. TITLE VII
2. AGE DISRIMINATION IN EMPLOYMENT ACT (ADEA)
3. REHABILITATION ACT
4. EQUAL PAY ACT (EPA)

**B. TOTAL BY STATUTES**

THIS NUMBER MAY BE LARGER THAN THE TOTAL NUMBER OF COMPLAINTS CLOSED.

(A1+A2+A3+A4)

## PART VI - SUMMARY OF CLOSURES BY CATEGORY

|  | TOTAL<br>NUMBER | TOTAL<br>DAYS | AVERAGE<br>DAYS |
|--|-----------------|---------------|-----------------|
| A. TOTAL NUMBER OF CLOSURES (1+2+3)  |                 |               |                 |
| 1. WITHDRAWALS   |                 |               |                 |
| a. NON-ADR WITHDRAWALS   |                 |               |                 |
| b. ADR WITHDRAWALS   |                 |               |                 |
| 2. SETTLEMENTS   |                 |               |                 |
| a. NON-ADR SETTLEMENTS   |                 |               |                 |
| b. ADR SETTLEMENTS   |                 |               |                 |
| 3. FINAL AGENCY ACTIONS (B+C)  |                 |               |                 |
| B. FINAL AGENCY DECISIONS WITHOUT AN ADMINISTRATIVE JUDGE DECISION (1+2+3) |                 |               |                 |
| 1. FINDING DISCRIMINATION  |                 |               |                 |
| 2. FINDING NO DISCRIMINATION   |                 |               |                 |
| 3. DISMISSAL OF COMPLAINTS   |                 |               |                 |
| C. FINAL AGENCY ORDERS WITH AN ADMINISTRATIVE JUDGE (AJ) DECISION (1+2)    |                 |               |                 |
| 1. AJ DECISION FULLY IMPLEMENTED (a+b+c)                                   |                 |               |                 |
| (a) FINDING DISCRIMINATION   |                 |               |                 |
| (b) FINDING NO DISCRIMINATION  |                 |               |                 |
| (c) DISMISSAL OF COMPLAINTS  |                 |               |                 |
| 2. AJ DECISION NOT FULLY IMPLEMENTED (a+b+c)                               |                 |               |                 |
| (a) FINDING DISCRIMINATION (i+ii+iii)                                      |                 |               |                 |
| i. AGENCY APPEALED FINDING BUT NOT REMEDY                                  |                 |               |                 |
| ii. AGENCY APPEALED REMEDY BUT NOT FINDING                                 |                 |               |                 |
| iii. AGENCY APPEALED BOTH FINDING AND REMEDY                               |                 |               |                 |
| (b) FINDING NO DISCRIMINATION  |                 |               |                 |
| (c) DISMISSAL OF COMPLAINTS  |                 |               |                 |

**ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY  
 STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS  
 (REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)**

**AGENCY OR DEPARTMENT:**

**REPORTING PERIOD: FY**

**PART VI - SUMMARY OF CLOSURES BY CATEGORY (Continued)**

|   | TOTAL NUMBER | TOTAL DAYS | AVERAGE DAYS |
|---|--------------|------------|--------------|
| <b>D. FINAL AGENCY MERIT DECISIONS (FAD) ISSUED</b> (1+2+3+4)                             |              |            |              |
| 1. COMPLAINANT REQUESTED IMMEDIATE FAD (1a+1b)  |              |            |              |
| a. AGENCY ISSUED FAD WITHIN 60 DAYS OF RECEIPT OF FAD REQUEST                             |              |            |              |
| b. AGENCY ISSUED FAD MORE THAN 60 DAYS BEYOND RECEIPT OF FAD REQUEST                      |              |            |              |
| 2. COMPLAINANT DID NOT ELECT HEARING OR FAD (2a+2b)                                       |              |            |              |
| a. AGENCY ISSUED FAD WITHIN 60 DAYS OF END OF 30-DAY ELECTION PERIOD                      |              |            |              |
| b. AGENCY ISSUED FAD MORE THAN 60 DAYS BEYOND END OF 30-DAY ELECTION PERIOD               |              |            |              |
| 3. HEARING REQUESTED; AJ RETURNED CASE TO AGENCY FOR FAD WITHOUT AJ DECISION (3a+3b)      |              |            |              |
| a. AGENCY ISSUED FAD WITHIN 60 DAYS OF RECEIPT OF AJ RETURNED CASE FOR FAD ISSUANCE       |              |            |              |
| b. AGENCY ISSUED FAD MORE THAN 60 DAYS AFTER RECEIPT OF AJ RETURNED CASE FOR FAD ISSUANCE |              |            |              |
| 4. FINAL AGENCY DECISION ISSUED ON A MIXED CASE (4a+4b)                                   |              |            |              |
| a. AGENCY ISSUED FAD WITHIN 45 DAYS AFTER INVESTIGATION                                   |              |            |              |
| b. AGENCY ISSUED FAD MORE THAN 45 DAYS AFTER INVESTIGATION                                |              |            |              |

**PART VII - SUMMARY OF FORMAL COMPLAINTS CLOSED BY TYPES OF BENEFITS**

|  | NUMBER                                    | AMOUNT                                       |
|--|---|--|
| <b>A. TOTAL COMPLAINTS CLOSED WITH BENEFITS</b>          |   |  |
| <b>B. CLOSURES WITH MONETARY BENEFITS TO COMPLAINANT</b> |   | \$   |
| 1. BACK PAY/FRONT PAY                                    |   | \$   |
| 2. LUMP SUM PAYMENT                                      |   | \$   |
| 3. COMPENSATORY DAMAGES                                  |   | \$   |
| 4. ATTORNEY FEES AND COSTS                               |   | \$   |
| INTENTIONALLY LEFT BLANK                                 |   |  |
| <b>E. CLOSURES WITH NON-MONETARY BENEFITS</b>            |   |  |
| <b>F. TYPES OF BENEFITS</b>                              | NUMBER OF CLOSURES WITH MONETARY BENEFITS | NUMBER OF CLOSURES WITH NONMONETARY BENEFITS |
| 1. HIRES   |   |  |
| a. RETROACTIVE   |   |  |
| b. NON-RETROACTIVE                                       |   |  |
| 2. PROMOTIONS  |   |  |
| a. RETROACTIVE   |   |  |
| b. NON-RETROACTIVE                                       |   |  |
| 3. EXPUNGEMENTS  |   |  |
| 4. REASSIGNMENTS   |   |  |
| 5. REMOVALS RESCINDED                                    |   |  |
| a. REINSTATEMENT   |   |  |
| b. VOLUNTARY RESIGNATION                                 |   |  |
| 6. ACCOMMODATIONS  |   |  |
| 7. TRAINING  |   |  |
| 8. APOLOGY   |   |  |
| 9. DISCIPLINARY ACTIONS                                  |   |  |
| a. RESCINDED   |   |  |
| b. MODIFIED  |   |  |
| 10. PERFORMANCE EVALUATION MODIFIED                      |   |  |
| 11. LEAVE RESTORED                                       |   |  |
| 12.  |   |  |
| 13.  |   |  |
| 14.  |   |  |

# ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

**AGENCY OR DEPARTMENT:**

**REPORTING PERIOD: FY**

## PART VIII - SUMMARY OF PENDING COMPLAINTS BY CATEGORY

| A. TOTAL COMPLAINTS PENDING (SAME AS PART II Line I)<br>(1+2+3+4)      | NUMBER<br>PENDING | NUMBER<br>OF DAYS | AVERAGE<br>DAYS | NUMBER OF DAYS PENDING<br>FOR OLDEST CASE |
|--|-------------------|-------------------|-----------------|---|
| 1. COMPLAINTS PENDING WRITTEN NOTIFICATION<br>(Acknowledgement Letter) |                   |                   |                 |   |
| 2. COMPLAINTS PENDING IN INVESTIGATION                                 |                   |                   |                 |   |
| 3. COMPLAINTS PENDING IN HEARINGS                                      |                   |                   |                 |   |
| 4. COMPLAINTS PENDING A FINAL AGENCY ACTION                            |                   |                   |                 |   |

## PART IX - SUMMARY OF INVESTIGATIONS COMPLETED

|   | TOTAL | TOTAL DAYS | AVERAGE DAYS |
|---|-------|------------|--------------|
| A. INVESTIGATIONS COMPLETED DURING REPORTING PERIOD (1+3) |       |            |              |
| 1. INVESTIGATIONS COMPLETED BY AGENCY PERSONNEL (a+b+c)   |       |            |              |
| a. INVESTIGATIONS COMPLETED IN 180 DAYS OR LESS           |       |            |              |
| b. INVESTIGATIONS COMPLETED IN 181 - 360 DAYS             |       |            |              |
| 1. TIMELY COMPLETED INVESTIGATIONS                        |       |            |              |
| 2. UNTIMELY COMPLETED INVESTIGATIONS                      |       |            |              |
| c. INVESTIGATIONS COMPLETED IN 361 OR MORE DAYS           |       |            |              |
| 2. AGENCY INVESTIGATION COSTS                             | \$    |            | \$           |
| 3. INVESTIGATIONS COMPLETED BY CONTRACTORS (a+b+c)        |       |            |              |
| a. INVESTIGATIONS COMPLETED IN 180 DAYS OR LESS           |       |            |              |
| b. INVESTIGATIONS COMPLETED IN 181 - 360 DAYS             |       |            |              |
| 1. TIMELY COMPLETED INVESTIGATIONS                        |       |            |              |
| 2. UNTIMELY COMPLETED INVESTIGATIONS                      |       |            |              |
| c. INVESTIGATIONS COMPLETED IN 361 OR MORE DAYS           |       |            |              |
| 4. CONTRACTOR INVESTIGATION COSTS                         | \$    |            | \$           |

# ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT:

REPORTING PERIOD: FY

## PART X - SUMMARY OF ADR PROGRAM ACTIVITIES

### INFORMAL PHASE (PRE-COMPLAINT)

|  |             |             |      |              |
|--|-------------|-------------|------|--------------|
| A. INTENTIONALLY LEFT BLANK  |             |             |      |              |
| B. ADR ACTIONS IN COMPLETED/ENDED COUNSELINGS  |             |             |      |              |
|  | COUNSELINGS | INDIVIDUALS |      |              |
| 1. ADR OFFERED BY AGENCY   |             |             |      |              |
| 2. REJECTED BY COUNSELEE   |             |             |      |              |
| 3. INTENTIONALLY LEFT BLANK  |             |             |      |              |
| 4. TOTAL ACCEPTED INTO ADR PROGRAM   |             |             |      |              |
| C. ADR RESOURCES USED IN COMPLETED/ENDED COUNSELINGS (TOTALS)  |             |             |      |              |
| 1. INHOUSE   |             |             |      |              |
| 2. ANOTHER FEDERAL AGENCY  |             |             |      |              |
| 3. PRIVATE ORGANIZATIONS, (e.g., CONTRACTORS, BAR ASSOCIATIONS, INDIVIDUAL VOLUNTEERS OR COLLEGE/UNIVERSITY PERSONNEL) |             |             |      |              |
| 4. MULTIPLE RESOURCES USED (Please specify in a comment box)   |             |             |      |              |
| 5. FEDERAL EXECUTIVE BOARD   |             |             |      |              |
| 6.   |             |             |      |              |
| 7.   |             |             |      |              |
|  | COUNSELINGS | INDIVIDUALS | DAYS | AVERAGE DAYS |
| D. ADR TECHNIQUES USED IN COMPLETED/ENDED COUNSELINGS (TOTALS)   |             |             |      |              |
| 1. MEDIATION   |             |             |      |              |
| 2. SETTLEMENT CONFERENCES  |             |             |      |              |
| 3. EARLY NEUTRAL EVALUATIONS   |             |             |      |              |
| 4. FACTFINDING   |             |             |      |              |
| 5. FACILITATION  |             |             |      |              |
| 6. OMBUDSMAN   |             |             |      |              |
| 7. PEER REVIEW   |             |             |      |              |
| 8. MULTIPLE TECHNIQUES USED (Please specify in a comment box)  |             |             |      |              |
| 9.   |             |             |      |              |
| 10.  |             |             |      |              |
| 11.  |             |             |      |              |
| E. STATUS OF ADR CASES IN COMPLETED/ENDED COUNSELINGS  |             |             |      |              |
|  | COUNSELINGS | INDIVIDUALS | DAYS | AVERAGE DAYS |
| 1. TOTAL CLOSED  |             |             |      |              |
| a. SETTLEMENTS WITH BENEFITS (Monetary and Non-monetary)   |             |             |      |              |
| b. NO FORMAL COMPLAINT FILED   |             |             |      |              |
| c. COMPLAINT FILED   |             |             |      |              |
| i. NO RESOLUTION   |             |             |      |              |
| ii. NO ADR ATTEMPT (aka Part X.E.1.d)  |             |             |      |              |
| e. DECISION TO FILE COMPLAINT PENDING AT THE END OF THE REPORTING PERIOD   |             |             |      |              |
| 2. INTENTIONALLY LEFT BLANK  |             |             |      |              |

**ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY  
STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS**

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT:

REPORTING PERIOD: FY

**PART XI - SUMMARY OF ADR PROGRAM ACTIVITIES**

**FORMAL PHASE**

|   |   |              |        |              |
|---|---|--------------|--------|--------------|
| A. INTENTIONALLY LEFT BLANK                           |   |              |        |              |
| B. ADR ACTIONS IN COMPLAINT CLOSURES                  |   |              |        |              |
|   | COMPLAINTS  | COMPLAINANTS |        |              |
| 1.  | ADR OFFERED BY AGENCY   |              |        |              |
| 2.  | REJECTED BY COMPLAINANT   |              |        |              |
| 3.  | INTENTIONALLY LEFT BLANK  |              |        |              |
| 4.  | TOTAL ACCEPTED INTO ADR PROGRAM   |              |        |              |
| C. ADR RESOURCES USED IN COMPLAINT CLOSURES (TOTALS)  |   |              |        |              |
| 1.  | INHOUSE   |              |        |              |
| 2.  | ANOTHER FEDERAL AGENCY  |              |        |              |
| 3.  | PRIVATE ORGANIZATIONS, (e.g., CONTRACTORS,<br>BAR ASSOCIATIONS, INDIVIDUAL VOLUNTEERS<br>OR COLLEGE/UNIVERSITY PERSONNEL) |              |        |              |
| 4.  | MULTIPLE RESOURCES USED (Please specify in a comment box)   |              |        |              |
| 5.  | FEDERAL EXECUTIVE BOARD   |              |        |              |
| 6.  |   |              |        |              |
| 7.  |   |              |        |              |
|   | COMPLAINTS  | COMPLAINANTS | DAYS   | AVERAGE DAYS |
| D. ADR TECHNIQUES USED IN COMPLAINT CLOSURES (TOTALS) |   |              |        |              |
| 1.  | MEDIATION   |              |        |              |
| 2.  | SETTLEMENT CONFERENCES  |              |        |              |
| 3.  | EARLY NEUTRAL EVALUATIONS   |              |        |              |
| 4.  | FACTFINDING   |              |        |              |
| 5.  | FACILITATION  |              |        |              |
| 6.  | OMBUDSMAN   |              |        |              |
| 7.  | MINI-TRIALS   |              |        |              |
| 8.  | PEER REVIEW   |              |        |              |
| 9.  | MULTIPLE TECHNIQUES USED (Please specify in a comment box)  |              |        |              |
| 10.   |   |              |        |              |
| 11.   |   |              |        |              |
| 12.   |   |              |        |              |
| E. STATUS OF CASES IN COMPLAINT CLOSURES              |   |              |        |              |
|   | COMPLAINTS  | COMPLAINANTS | DAYS   | AVERAGE DAYS |
| 1.  | TOTAL CLOSED  |              |        |              |
| a.  | SETTLEMENTS WITH BENEFITS (Monetary and Non-monetary)   |              |        |              |
| b.  | WITHDRAWAL FROM EEO PROCESS   |              |        |              |
| c.  | NO RESOLUTION   |              |        |              |
| d.  | NO ADR ATTEMPT  |              |        |              |
| 2.  | INTENTIONALLY LEFT BLANK  |              |        |              |
| F. BENEFITS RECEIVED                                  |   |              |        |              |
|   | COMPLAINTS  | COMPLAINANTS | AMOUNT |              |
| 1.  | MONETARY (INSERT TOTALS)  |              | \$     |              |
| a.  | COMPENSATORY DAMAGES  |              | \$     |              |
| b.  | BACKPAY/FRONTPAY  |              | \$     |              |
| c.  | LUMP SUM  |              | \$     |              |
| d.  | ATTORNEY FEES AND COSTS   |              | \$     |              |
| e.  |   |              | \$     |              |
| f.  |   |              | \$     |              |
| g.  |   |              | \$     |              |
| 2.  | NON-MONETARY (INSERT TOTALS)  |              |        |              |
| a.  | HIRES   |              |        |              |
| i.  | RETROACTIVE   |              |        |              |
| ii.   | NON-RETROACTIVE   |              |        |              |
| b.  | PROMOTIONS  |              |        |              |
| i.  | RETROACTIVE   |              |        |              |
| ii.   | NON-RETROACTIVE   |              |        |              |
| c.  | EXPUNGEMENTS  |              |        |              |
| d.  | REASSIGNMENTS   |              |        |              |
| e.  | REMOVALS RESCINDED  |              |        |              |
| i.  | REINSTATEMENT   |              |        |              |
| ii.   | VOLUNTARY RESIGNATION   |              |        |              |
| f.  | ACCOMMODATIONS  |              |        |              |
| g.  | TRAINING  |              |        |              |
| h.  | APOLOGY   |              |        |              |
| i.  | DISCIPLINARY ACTIONS  |              |        |              |
| i.  | RESCINDED   |              |        |              |
| ii.   | MODIFIED  |              |        |              |
| j.  | PERFORMANCE EVALUATION MODIFIED   |              |        |              |
| k.  | LEAVE RESTORED  |              |        |              |
| l.  |   |              |        |              |
| m.  |   |              |        |              |

**ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY  
STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS**

**(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)**

**AGENCY OR DEPARTMENT:** \_\_\_\_\_

**REPORTING PERIOD: FY** \_\_\_\_\_

**PART XII - SUMMARY OF EEO ADR PROGRAM ACTIVITIES**

**EEO ADR TRAINING AND RESOURCES**

| A. BASIC EEO ADR ORIENTATION TRAINING  | NUMBER IN TOTAL WORKFORCE | CUMULATIVE TOTAL WORKFORCE TRAINED |
|--|---------------------------|------------------------------------|
| 1. MANAGERS  |                           |                                    |
| 2. EMPLOYEES   |                           |                                    |
|  |                           |                                    |
| B. EMPLOYEES THAT CAN PARTICIPATE IN EEO ADR   |                           |                                    |
|  |                           |                                    |
| C. RESOURCES THAT MANAGE ADR PROGRAM (DOES NOT INCLUDE NEUTRALS AS REPORTED IN PARTS X. & XI.) |                           |                                    |
| 1. IN-HOUSE FULL TIME (40 HOURS EEO ADR ONLY)  |                           |                                    |
| 2. IN-HOUSE PART TIME (32 HOURS EEO ADR ONLY)  |                           |                                    |
| 3. IN-HOUSE COLLATERAL DUTY (OTHERS/NON-CONTRACT)  |                           |                                    |
| 4. CONTRACT (ANOTHER FEDERAL AGENCY/PRIVATE ORGANIZATIONS)                                     |                           |                                    |
|  |                           |                                    |
| D. ADR FUNDING SPENT   | AMOUNT                    |                                    |
|  | \$                        |                                    |

**E. ADR CONTACT INFORMATION**

1. NAME OF ADR PROGRAM DIRECTOR / MANAGER \_\_\_\_\_

2. TITLE \_\_\_\_\_

3. TELEPHONE NUMBER \_\_\_\_\_ 4. EMAIL \_\_\_\_\_

**F. ADR PROGRAM INFORMATION**

|   | YES | NO |
|---|-----|----|
| 1. Does the agency require the alleged responsible management official to participate in ADR?                   |     |    |
| 1a. If yes, is there a written policy requiring the participation?  |     |    |
| 2. Does the alleged responsible management official have a role in deciding if the case is appropriate for ADR? |     |    |

**CERTIFICATION AND CONTACT INFORMATION**

I certify that the EEO complaint data contained in this report, EEOC Form 462, Annual Federal Equal Employment Opportunity Statistical Report of Discrimination Complaints, for the reporting period October 1, through September 30, 2009 are accurate and complete.

NAME AND TITLE OF EEO DIRECTOR/CERTIFYING OFFICIAL: \_\_\_\_\_

SIGNATURE OF EEO DIRECTOR/CERTIFYING OFFICIAL: (Enter PIN here to serve as your electronic signature)

DATE: \_\_\_\_\_ TELEPHONE NUMBER: \_\_\_\_\_ E-MAIL: \_\_\_\_\_

NAME AND TITLE OF PREPARER: \_\_\_\_\_

DATE: \_\_\_\_\_ TELEPHONE NUMBER: \_\_\_\_\_ E-MAIL: \_\_\_\_\_

**This report (with the PIN entered) is due on or before November 2, 2009.**

**Appendix A - Comments**

## Appendix 5

### Definitions

The following definitions apply to this Directive:

1. **Applicant:** A person who applies for employment.
2. **Applicant Flow Data:** Information reflecting characteristics of the pool of individuals applying for an employment opportunity.
3. **Barrier:** An agency policy, principle, practice or condition that limits or tends to limit employment opportunities for members of a particular gender, race or ethnic background or for an individual (or individuals) based on disability status.
4. **Disability:** For the purpose of statistics, recruitment, and targeted goals, the number of employees in the workforce who have indicated having a disability on an Office of Personnel Management Standard Form (SF) 256. For all other purposes, the definition contained in 29 C.F.R. § 1630.2 applies.
5. **Civilian Labor Force (CLF):** Persons 16 years of age and over, except those in the armed forces, who are employed or are unemployed and seeking work.
6. **Employees:** Members of the agency's permanent or temporary work force, whether full or part-time and whether in competitive or excepted service positions.
7. **Employment Decision:** Any decision affecting the terms and conditions of an individual's employment, including but not limited to hiring, promotion, demotion, disciplinary action and termination.
8. **Feeder Group or Pool:** Occupational group(s) from which selections to a particular job are typically made.
9. **Fiscal Year:** The period from October 1 of one year to September 30 of the following year.
10. **Goal:** Under the Rehabilitation Act, an identifiable objective set by an agency to address or eliminate barriers to equal employment opportunity or to address the lingering effects of past discrimination.
11. **Major Occupations:** Agency occupations that are mission related and heavily populated, relative to other occupations within the agency.
12. **Onsite Program Review:** Visit by EEOC representatives to an agency to evaluate the agency's compliance with the terms of this Directive and/or to provide technical assistance.
13. **Reasonable Accommodation:** Generally, any modification or adjustment to the work environment, or to the manner or circumstances under which work is customarily performed, that enables an individual with a disability to perform the essential functions of a position or enjoy equal benefits and privileges of employment as are enjoyed by similarly situated individuals without a disability. For a more complete definition, see 29 C.F.R. § 1630.2(o). See also, EEOC's Enforcement Guidance on Reasonable Accommodation and Undue Hardship under the Americans with Disabilities Act, No. 915.002 (October 17, 2002).
14. **Relevant Labor Force:** The source from which an agency draws or recruits applicants for employment or an internal selection such as a promotion.
15. **Section 501 Program:** The affirmative program plan that each agency is required to maintain under Section 501 of the Rehabilitation Act to provide individuals with disabilities adequate hiring, placement, and advancement opportunities.

16. **Section 717 Program:** The affirmative program of equal employment opportunity that each agency is required to maintain for all employees and applicants for employment under Section 717 of Title VII.
17. **Selection Procedure:** Any employment policy or practice that is used as a basis for an employment decision.
18. **Special Recruitment Program:** A program designed to monitor recruitment of, and track applications from, persons with targeted disabilities.
19. **Targeted Disabilities:** Disabilities that the federal government, as a matter of policy, has identified for special emphasis in affirmative action programs. They are: 1) deafness; 2) blindness; 3) missing extremities; 4) partial paralysis; 5) complete paralysis; 6) convulsive disorders; 7) mental retardation; 8) mental illness; and 9) distortion of limb and/or spine.
20. **Technical Assistance:** Training, assistance or guidance provided by the EEOC in writing, over the telephone or in person.

## Appendix 6

### NNSA Career Path Band Structure

| NNSA Demonstration Project – Career Path Band Structure |              |              |               |               |            |
|---|--------------|--------------|---------------|---------------|------------|
| Career Path   | Pay Band I   | Pay Band II  | Pay Band III  | Pay Band IV   | Pay Band V |
| Engineering & Scientific (NN)                           | GS-5 – GS-8  | GS-9 – GS-11 | GS-12 – GS-13 | GS-14 – GS-15 | NA         |
| Professional, Technical & Administrative (NQ)           | GS-5 – GS-8  | GS-9 – GS-12 | GS-13 – GS-14 | GS-15         | NA         |
| Nuclear Materials Couriers/Federal Agents (NV)          | GS-8 – GS-10 | GS-11        | GS-12         | GS-13         | NA         |
| Technician & Administrative Support (NU)                | GS-1 – GS-4  | GS-5 – GS-8  | GS-9          | NA            | NA         |
| Future Leaders (NF)                                     | GS-5 – GS-8  | GS-9 – GS-11 | GS-12 – GS-13 | NA            | NA         |
| Excepted Service (EN, EJ, and EK)                       | NA           | GS-5 – GS-11 | GS-12 – GS-13 | GS-14 – GS-15 | >GS-15     |
| Senior Executive Service (ES)                           | NA           | NA           | NA            | NA            | NA         |

NNSA has established career paths that reflect actual career patterns and grade level progression in the existing NNSA workforce, and group one or more occupational series together in a banding structure, e.g., set of work levels and rate range, specific to the occupations within a given career path.

Engineering and Scientific Career Path (NN): Encompasses all professional positions classified in the GS-800 and GS-1300 job series.

Professional, Technical, and Administrative Career Path (NQ): Encompasses all OPM-recognized professional occupations (except GS-800 Engineers and GS-1300 Physical Scientists) requiring positive education requirements, and all other subject-matter, business, and administrative occupations characterized by a traditional two-grade interval pattern of grade progression. Examples of the occupational series in this career path are: 018 Safety and Occupational Health Specialist, 080 Security Specialist, 130 Foreign Affairs Specialist, 343 Management and Program Analyst, 510 Accountant, 560 Budget Analyst, 905 Attorney, 1102 Contract Specialist, 2101 Transportation.

Technician and Administrative Support Career Path (NU): Encompasses technicians, administrative assistants, secretarial, and clerical occupations characterized by a traditional one-grade interval pattern of grade progression, including positions in the following job series: 318 Secretary, 303 Program Assistant, 802 Engineering Technician, and similar positions .

Nuclear Materials Couriers Career Path (NV): Encompasses all positions classified into the GS-084 job series responsible for the secure transportation of special nuclear materials and weapons components.

Future Leaders Career Path (NF): Encompasses the positions of all interns during their enrollment in the NNSA 2-year Future Leaders Program (FLP), in various engineering, scientific, business, and administrative occupations.

Excepted Service Path/Positions (EJ, EK and EN): Encompasses Excepted Service positions authorized under Title 32 of the National Defense Authorization Act for FY 2000. Public Law 106-65, Section 3241 (NNSA Act). ES positions are Senior Executive Service (SES) positions managed by the U.S. Office of Personnel Management.

**MD-715 Data Tables  
A1-A14  
and  
B1-B14**



**Table A8: NEW HIRES BY TYPE OF APPOINTMENT - Distribution by Race/Ethnicity and Sex**

| <b>Table A8: NEW HIRES BY TYPE OF APPOINTMENT - Distribution by Race/Ethnicity and Sex</b> |                        |             |               |                           |               |                                  |               |              |               |  |               |   |               |                          |               |             |               |      |
|--|------------------------|-------------|---------------|---------------------------|---------------|----------------------------------|---------------|--------------|---------------|--|---------------|---|---------------|--------------------------|---------------|-------------|---------------|------|
| <b>Employment Tenure</b>   | <b>TOTAL WORKFORCE</b> |             |               | <b>RACE/ETHNICITY</b>     |               |                                  |               |              |               |  |               |   |               |                          |               |             |               |      |
|  |                        |             |               | <b>Hispanic or Latino</b> |               | <b>Non- Hispanic or Latino</b>   |               |              |               |  |               |   |               |                          |               |             |               |      |
|  |                        |             | <b>White</b>  |                           |               | <b>Black or African American</b> |               | <b>Asian</b> |               | <b>Native Hawaiian or Other Pacific Islander</b> |               | <b>American Indian or Alaska Native</b> |               | <b>Two or more races</b> |               |             |               |      |
|  | <b>All</b>             | <b>male</b> | <b>female</b> | <b>male</b>               | <b>female</b> | <b>male</b>                      | <b>female</b> | <b>male</b>  | <b>female</b> | <b>male</b>                                      | <b>female</b> | <b>male</b>                             | <b>female</b> | <b>male</b>              | <b>female</b> | <b>male</b> | <b>female</b> |      |
| <b>Permanent</b>   | <b>#</b>               | 218         | 148           | 70                        | 18            | 15                               | 111           | 41           | 12            | 12   | 3             | 2                                       | 0             | 0                        | 4             | 0           | 0             | 0    |
|  | <b>%</b>               | 100.0%      | 67.9%         | 32.1%                     | 8.3%          | 6.9%                             | 50.9%         | 18.8%        | 5.5%          | 5.5%   | 1.4%          | 0.9%                                    | 0.0%          | 0.0%                     | 1.8%          | 0.0%        | 0.0%          | 0.0% |
| <b>Temporary</b>   | <b>#</b>               | 36          | 13            | 23                        | 0             | 1                                | 6             | 10           | 5             | 11   | 2             | 1                                       | 0             | 0                        | 0             | 0           | 0             | 0    |
|  | <b>%</b>               | 100.0%      | 36.1%         | 63.9%                     | 0.0%          | 2.8%                             | 16.7%         | 27.8%        | 13.9%         | 30.6%  | 5.6%          | 2.8%                                    | 0.0%          | 0.0%                     | 0.0%          | 0.0%        | 0.0%          | 0.0% |
| <b>NON-Appropriated</b>  | <b>#</b>               | 0           |               |                           |               |                                  |               |              |               |  |               |   |               |                          |               |             |               |      |
|  | <b>%</b>               | 100.0%      | 0.0%          | 0.0%                      | 0.0%          | 0.0%                             | 0.0%          | 0.0%         | 0.0%          | 0.0%   | 0.0%          | 0.0%                                    | 0.0%          | 0.0%                     | 0.0%          | 0.0%        | 0.0%          | 0.0% |
| <b>CLF</b>   | <b>%</b>               | 100.0%      | 53.2%         | 46.8%                     | 6.2%          | 4.5%                             | 39.0%         | 33.7%        | 4.8%          | 5.7%   | 1.9%          | 1.7%                                    | 0.1%          | 0.1%                     | 0.3%          | 0.3%        | 0.8%          | 0.8% |

**Table A11: INTERNAL SELECTIONS FOR SENIOR LEVEL POSITIONS (GS 13/14, GS 15, AND SES) by Race/Ethnicity and Sex**

| Employment Tenure                               | TOTAL WORKFORCE |        |                           | RACE/ETHNICITY     |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
|---|-----------------|--------|---------------------------|--------------------|--------|-------------------------|--------|---|--------|----------------------------------|--------|-------------------|--------|------|--------|------|--------|------|
|   |                 |        |                           | Hispanic or Latino |        | Non- Hispanic or Latino |        |   |        |                                  |        |                   |        |      |        |      |        |      |
|   | White           |        | Black or African American |                    |        | Asian                   |        | Native Hawaiian or Other Pacific Islander |        | American Indian or Alaska Native |        | Two or more races |        |      |        |      |        |      |
|   | All             | male   | female                    | male               | female | male                    | female | male                                      | female | male                             | female | male              | female | male | female | male | female |      |
| <b>Grade(s) of Vacancy: NN (GS 13-15)</b>       |                 |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
| Total Applications Received*                    | #               |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
|   | %               | 100.0% | 0.0%                      | 0.0%               | 0.0%   | 0.0%                    | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   | 0.0% | 0.0%   | 0.0% | 0.0%   | 0.0% |
| Qualified*                                      | #               |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
|   | %               | 100.0% | 0.0%                      | 0.0%               | 0.0%   | 0.0%                    | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   | 0.0% | 0.0%   | 0.0% | 0.0%   | 0.0% |
| Selected  | #               | 19     | 15                        | 4                  | 1      | 2                       | 14     | 1   | 0      | 0                                | 0      | 1                 | 0      | 0    | 0      | 0    | 0      | 0    |
|   | %               | 100.0% | 78.9%                     | 21.1%              | 5.3%   | 10.5%                   | 73.7%  | 5.3%                                      | 0.0%   | 0.0%                             | 0.0%   | 5.3%              | 0.0%   | 0.0% | 0.0%   | 0.0% | 0.0%   | 0.0% |
| Relevant Applicant Pool*                        |                 |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
| <b>Grade(s) of Vacancy: NQ (GS 13-15)</b>       |                 |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
| Total Applications Received &                   | #               |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
|   | %               | 100.0% | 0.0%                      | 0.0%               | 0.0%   | 0.0%                    | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   | 0.0% | 0.0%   | 0.0% | 0.0%   | 0.0% |
| Qualified*                                      | #               |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
|   | %               | 100.0% | 0.0%                      | 0.0%               | 0.0%   | 0.0%                    | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   | 0.0% | 0.0%   | 0.0% | 0.0%   | 0.0% |
| Selected  | #               | 67     | 35                        | 32                 | 5      | 8                       | 27     | 22  | 1      | 1                                | 1      | 1                 | 0      | 0    | 1      | 0    | 0      | 0    |
|   | %               | 100.0% | 52.2%                     | 47.8%              | 7.5%   | 11.9%                   | 40.3%  | 32.8%                                     | 1.5%   | 1.5%                             | 1.5%   | 1.5%              | 0.0%   | 0.0% | 1.5%   | 0.0% | 0.0%   | 0.0% |
| Relevant Applicant Pool*                        |                 |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
| <b>Grade(s) of Vacancy: NV (GS 13)</b>          |                 |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
| Total Applications Received*                    | #               |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
|   | %               | 100.0% | 0.0%                      | 0.0%               | 0.0%   | 0.0%                    | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   | 0.0% | 0.0%   | 0.0% | 0.0%   | 0.0% |
| Qualified*                                      | #               |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
|   | %               | 100.0% | 0.0%                      | 0.0%               | 0.0%   | 0.0%                    | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   | 0.0% | 0.0%   | 0.0% | 0.0%   | 0.0% |
| Selected  | #               | 9      | 9                         | 0                  | 1      | 0                       | 8      | 0   | 0      | 0                                | 0      | 0                 | 0      | 0    | 0      | 0    | 0      | 0    |
|   | %               | 100.0% | 100.0%                    | 0.0%               | 11.1%  | 0.0%                    | 88.9%  | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   | 0.0% | 0.0%   | 0.0% | 0.0%   | 0.0% |
| Relevant Applicant Pool*                        |                 |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
| <b>Grade(s) of Vacancy: Other (EJ/EK/EN/ES)</b> |                 |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
| Total Applications Received*                    | #               |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
|   | %               | 100.0% | 0.0%                      | 0.0%               | 0.0%   | 0.0%                    | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   | 0.0% | 0.0%   | 0.0% | 0.0%   | 0.0% |
| Qualified*                                      | #               |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |
|   | %               | 100.0% | 0.0%                      | 0.0%               | 0.0%   | 0.0%                    | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   | 0.0% | 0.0%   | 0.0% | 0.0%   | 0.0% |
| Selected  | #               | 32     | 27                        | 5                  | 1      | 0                       | 19     | 2   | 2      | 2                                | 4      | 1                 | 0      | 0    | 1      | 0    | 0      | 0    |
|   | %               | 100.0% | 84.4%                     | 15.6%              | 3.1%   | 0.0%                    | 59.4%  | 6.3%                                      | 6.3%   | 6.3%                             | 12.5%  | 3.1%              | 0.0%   | 0.0% | 3.1%   | 0.0% | 0.0%   | 0.0% |
| Relevant Applicant Pool*                        |                 |        |                           |                    |        |                         |        |   |        |                                  |        |                   |        |      |        |      |        |      |

\*"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**

| Employment Tenure | TOTAL WORKFORCE |      |                           | RACE/ETHNICITY     |        |                         |        |                                  |        |                                  |        |                   |        |      |        |      |        |
|-------------------|-----------------|------|---------------------------|--------------------|--------|-------------------------|--------|----------------------------------|--------|----------------------------------|--------|-------------------|--------|------|--------|------|--------|
|                   |                 |      |                           | Hispanic or Latino |        | Non- Hispanic or Latino |        |                                  |        |                                  |        |                   |        |      |        |      |        |
|                   | White           |      | Black or African American |                    |        | Asian                   |        | Native Hawaiian or Other Pacific |        | American Indian or Alaska Native |        | Two or more races |        |      |        |      |        |
|                   | All             | male | female                    | male               | female | male                    | female | male                             | female | male                             | female | male              | female | male | female | male | female |

**Career Development Programs for Pay Band I: (GS 5-12)**

|               |   |      |       |       |       |       |       |      |       |      |      |      |      |      |      |      |      |      |
|---------------|---|------|-------|-------|-------|-------|-------|------|-------|------|------|------|------|------|------|------|------|------|
| Slots         | # |      |       |       |       |       |       |      |       |      |      |      |      |      |      |      |      |      |
| Relevant Pool | % |      |       |       |       |       |       |      |       |      |      |      |      |      |      |      |      |      |
| Applied*      | # |      |       |       |       |       |       |      |       |      |      |      |      |      |      |      |      |      |
|               | % | 0%   | 0.0%  | 0.0%  | 0.0%  | 0.0%  | 0.0%  | 0.0% | 0.0%  | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |
| Participants  | # | 37   | 27    | 10    | 4     | 4     | 12    | 3    | 10    | 3    | 1    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
|               | % | 100% | 72.9% | 27.0% | 10.8% | 10.8% | 32.4% | 8.1% | 27.0% | 8.1% | 2.7% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |

**Career Development Programs for Pay Band II: (GS 13-14)**

|               |   |      |       |       |      |      |       |       |       |      |      |      |      |      |      |      |      |      |
|---------------|---|------|-------|-------|------|------|-------|-------|-------|------|------|------|------|------|------|------|------|------|
| Slots         | # |      |       |       |      |      |       |       |       |      |      |      |      |      |      |      |      |      |
| Relevant Pool | % |      |       |       |      |      |       |       |       |      |      |      |      |      |      |      |      |      |
| Applied*      | # |      |       |       |      |      |       |       |       |      |      |      |      |      |      |      |      |      |
|               | % | 100% | 0.0%  | 0.0%  | 0.0% | 0.0% | 0.0%  | 0.0%  | 0.0%  | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |
| Participants  | # | 24   | 19    | 5     | 0    | 1    | 15    | 4     | 3     | 0    | 1    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
|               | % | 100% | 79.2% | 20.8% | 0.0% | 4.2% | 62.5% | 16.7% | 12.5% | 0.0% | 4.2% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |

**Career Development Programs for Pay Band III: (GS-15)**

|               |   |      |       |       |      |      |       |       |      |      |      |      |      |      |      |      |      |      |
|---------------|---|------|-------|-------|------|------|-------|-------|------|------|------|------|------|------|------|------|------|------|
| Slots         | # |      |       |       |      |      |       |       |      |      |      |      |      |      |      |      |      |      |
| Relevant Pool | % |      |       |       |      |      |       |       |      |      |      |      |      |      |      |      |      |      |
| Applied*      | # |      |       |       |      |      |       |       |      |      |      |      |      |      |      |      |      |      |
|               | % | 100% | 0.0%  | 0.0%  | 0.0% | 0.0% | 0.0%  | 0.0%  | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |
| Participants  | # | 6    | 4     | 2     | 0    | 0    | 4     | 2     | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
|               | % | 100% | 66.7% | 33.3% | 0.0% | 0.0% | 66.7% | 33.3% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |

**Career Development Programs for Pay Band IV:\*\* (ES, EK, EN)**

|               |   |      |       |       |       |      |       |       |      |      |      |      |      |      |      |      |      |      |
|---------------|---|------|-------|-------|-------|------|-------|-------|------|------|------|------|------|------|------|------|------|------|
| Slots         | # |      |       |       |       |      |       |       |      |      |      |      |      |      |      |      |      |      |
| Relevant Pool | % |      |       |       |       |      |       |       |      |      |      |      |      |      |      |      |      |      |
| Applied*      | # |      |       |       |       |      |       |       |      |      |      |      |      |      |      |      |      |      |
|               | % | 100% | 0.0%  | 0.0%  | 0.0%  | 0.0% | 0.0%  | 0.0%  | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |
| Participants  | # | 14   | 12    | 2     | 3     | 0    | 9     | 2     | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
|               | % | 100% | 85.7% | 14.3% | 21.4% | 0.0% | 37.5% | 14.3% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |

**"Relevant Pool" includes all employees in pay grades eligible for the career development program.**

\*Data not available

\*\*Includes ES (6), EN (5) & EK (3)





**Table A14: SEPARATIONS BY TYPE OF SEPARATION - Distribution by Race/Ethnicity and Sex**

| Employment Tenure |      | TOTAL WORKFORCE |       |        | RACE/ETHNICITY     |        |                         |        |                           |        |       |        |   |        |                                  |        |                   |        |
|-------------------|------|-----------------|-------|--------|--------------------|--------|-------------------------|--------|---------------------------|--------|-------|--------|---|--------|----------------------------------|--------|-------------------|--------|
|                   |      |                 |       |        | Hispanic or Latino |        | Non- Hispanic or Latino |        |                           |        |       |        |   |        |                                  |        |                   |        |
|                   |      |                 |       |        |                    |        | White                   |        | Black or African American |        | Asian |        | Native Hawaiian or Other Pacific Islander |        | American Indian or Alaska Native |        | Two or more races |        |
|                   |      |                 |       |        |                    |        | male                    | female | male                      | female | male  | female | male                                      | female | male                             | female | male              | female |
| All               | male | female          | male  | female | male               | female | male                    | female | male                      | female | male  | female | male                                      | female | male                             | female | male              | female |
| Voluntary         | #    | 192             | 126   | 66     | 14                 | 14     | 95                      | 34     | 9                         | 14     | 6     | 3      | 0   | 0      | 2                                | 1      | 0                 | 0      |
|                   | %    | 100%            | 65.6% | 34.4%  | 7.3%               | 7.3%   | 49.5%                   | 17.7%  | 4.7%                      | 7.3%   | 3.1%  | 1.6%   | 0.0%                                      | 0.0%   | 1.0%                             | 0.5%   | 0.0%              | 0.0%   |
| Involuntary       | #    | 10              | 6     | 4      | 1                  | 2      | 3                       | 2      | 1                         | 0      | 0     | 0      | 0   | 0      | 1                                | 0      | 0                 | 0      |
|                   | %    | 100%            | 60.0% | 40.0%  | 10.0%              | 20.0%  | 30.0%                   | 20.0%  | 10.0%                     | 0.0%   | 0.0%  | 0.0%   | 0.0%                                      | 0.0%   | 10.0%                            | 0.0%   | 0.0%              | 0.0%   |
| Total Separations | #    | 202             | 132   | 70     | 15                 | 16     | 98                      | 36     | 10                        | 14     | 6     | 3      | 0   | 0      | 3                                | 1      | 0                 | 0      |
|                   | %    | 100%            | 65.3% | 34.7%  | 7.4%               | 7.9%   | 48.5%                   | 17.8%  | 5.0%                      | 6.9%   | 3.0%  | 1.5%   | 0.0%                                      | 0.0%   | 1.5%                             | 0.5%   | 0.0%              | 0.0%   |
| Total Workforce   | #    | 2704            | 1783  | 921    | 235                | 206    | 1346                    | 499    | 97                        | 151    | 82    | 32     | 0   | 0      | 23                               | 33     | 0                 | 0      |
|                   | %    | 100%            | 65.9% | 34.1%  | 8.7%               | 7.6%   | 49.8%                   | 18.5%  | 3.6%                      | 5.6%   | 3.0%  | 1.2%   | 0.0%                                      | 0.0%   | 0.9%                             | 1.2%   | 0.0%              | 0.0%   |





**ilities**

| (90) Mental Retardation | (91) Mental Illness | (92) Distortion of Limb/Spine |
|-------------------------|---------------------|-------------------------------|
| 0                       | 0                   | 0                             |
| 0.0%                    | 0.0%                | 0.0%                          |
| 0                       | 0                   | 0                             |
| 0.0%                    | 0.0%                | 0.0%                          |
| 0.0%                    | 0.0%                | 0.0%                          |
| 0                       | 0                   | 0                             |
| 0.0%                    | 0.0%                | 0.0%                          |
| 0.0%                    | 0.0%                | 0.0%                          |

**Table A11: INTERNAL SELECTIONS FOR SENIOR LEVEL POSITIONS (GS 13/14, GS 15, AND SES) by Race/Ethnicity and Sex**

| Employment Tenure                               | TOTAL WORKFORCE |        |        | RACE/ETHNICITY     |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
|---|-----------------|--------|--------|--------------------|--------|-------|--------|---------------------------|--------|-------|--------|---|--------|----------------------------------|--------|-------------------|--------|
|   |                 |        |        | Hispanic or Latino |        | White |        | Black or African American |        | Asian |        | Native Hawaiian or Other Pacific Islander |        | American Indian or Alaska Native |        | Two or more races |        |
|   | All             | male   | female | male               | female | male  | female | male                      | female | male  | female | male                                      | female | male                             | female | male              | female |
|   |                 |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
| <b>Grade(s) of Vacancy: NN (GS 13-15)</b>       |                 |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
| Total Applications Received*                    | #               |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
|   | %               | 100.0% | 0.0%   | 0.0%               | 0.0%   | 0.0%  | 0.0%   | 0.0%                      | 0.0%   | 0.0%  | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   |
| Qualified*                                      | #               |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
|   | %               | 100.0% | 0.0%   | 0.0%               | 0.0%   | 0.0%  | 0.0%   | 0.0%                      | 0.0%   | 0.0%  | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   |
| Selected  | #               | 19     | 15     | 4                  | 1      | 2     | 14     | 1                         | 0      | 0     | 0      | 1   | 0      | 0                                | 0      | 0                 | 0      |
|   | %               | 100.0% | 78.9%  | 21.1%              | 5.3%   | 10.5% | 73.7%  | 5.3%                      | 0.0%   | 0.0%  | 0.0%   | 5.3%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   |
| Relevant Applicant Pool*                        |                 |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
| <b>Grade(s) of Vacancy: NQ (GS 13-15)</b>       |                 |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
| Total Applications Received &                   | #               |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
|   | %               | 100.0% | 0.0%   | 0.0%               | 0.0%   | 0.0%  | 0.0%   | 0.0%                      | 0.0%   | 0.0%  | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   |
| Qualified*                                      | #               |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
|   | %               | 100.0% | 0.0%   | 0.0%               | 0.0%   | 0.0%  | 0.0%   | 0.0%                      | 0.0%   | 0.0%  | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   |
| Selected  | #               | 67     | 35     | 32                 | 5      | 8     | 27     | 22                        | 1      | 1     | 1      | 1   | 0      | 0                                | 1      | 0                 | 0      |
|   | %               | 100.0% | 52.2%  | 47.8%              | 7.5%   | 11.9% | 40.3%  | 32.8%                     | 1.5%   | 1.5%  | 1.5%   | 1.5%                                      | 0.0%   | 0.0%                             | 1.5%   | 0.0%              | 0.0%   |
| Relevant Applicant Pool*                        |                 |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
| <b>Grade(s) of Vacancy: NV (GS 13)</b>          |                 |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
| Total Applications Received*                    | #               |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
|   | %               | 100.0% | 0.0%   | 0.0%               | 0.0%   | 0.0%  | 0.0%   | 0.0%                      | 0.0%   | 0.0%  | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   |
| Qualified*                                      | #               |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
|   | %               | 100.0% | 0.0%   | 0.0%               | 0.0%   | 0.0%  | 0.0%   | 0.0%                      | 0.0%   | 0.0%  | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   |
| Selected  | #               | 9      | 9      | 0                  | 1      | 0     | 8      | 0                         | 0      | 0     | 0      | 0   | 0      | 0                                | 0      | 0                 | 0      |
|   | %               | 100.0% | 100.0% | 0.0%               | 11.1%  | 0.0%  | 88.9%  | 0.0%                      | 0.0%   | 0.0%  | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   |
| Relevant Applicant Pool*                        |                 |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
| <b>Grade(s) of Vacancy: Other (EJ/EK/EN/ES)</b> |                 |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
| Total Applications Received*                    | #               |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
|   | %               | 100.0% | 0.0%   | 0.0%               | 0.0%   | 0.0%  | 0.0%   | 0.0%                      | 0.0%   | 0.0%  | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   |
| Qualified*                                      | #               |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |
|   | %               | 100.0% | 0.0%   | 0.0%               | 0.0%   | 0.0%  | 0.0%   | 0.0%                      | 0.0%   | 0.0%  | 0.0%   | 0.0%                                      | 0.0%   | 0.0%                             | 0.0%   | 0.0%              | 0.0%   |
| Selected  | #               | 32     | 27     | 5                  | 1      | 0     | 19     | 2                         | 2      | 2     | 4      | 1   | 0      | 0                                | 1      | 0                 | 0      |
|   | %               | 100.0% | 84.4%  | 15.6%              | 3.1%   | 0.0%  | 59.4%  | 6.3%                      | 6.3%   | 6.3%  | 12.5%  | 3.1%                                      | 0.0%   | 0.0%                             | 3.1%   | 0.0%              | 0.0%   |
| Relevant Applicant Pool*                        |                 |        |        |                    |        |       |        |                           |        |       |        |   |        |                                  |        |                   |        |

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



**Table B12: PARTICIPATION IN CAREER DEVELOPMENT - Distribution by Disability**

|   | Total by Disability Status |                    |                     |                    |                     | Detail for Targeted Disabilities |                    |                           |                           |                         |                          |                         |                     |                               |  |
|---|----------------------------|--------------------|---------------------|--------------------|---------------------|----------------------------------|--------------------|---------------------------|---------------------------|-------------------------|--------------------------|-------------------------|---------------------|-------------------------------|--|
|   | Total                      | (05) No Disability | (01) Not Identified | (06-94) Disability | Targeted Disability | (16, 17) Deafness                | (23, 25) Blindness | (28, 32-38) Missing Limbs | (64-68) Partial Paralysis | (71-78) Total Paralysis | (82) Convulsive Disorder | (90) Mental Retardation | (91) Mental Illness | (92) Distortion of Limb/Spine |  |
| <b>Career Development Programs for Pay Band I: (GS 5-12)</b>      |                            |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
| Slots   | #                          |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
| Relevant Pool   | %                          |                    | 0.0%                | 0.0%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| Applied*  | #                          |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
|   | %                          |                    | 0.0%                | 0.0%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| Participants  | #                          | 37                 | 36                  | 0                  | 1                   | 0                                |                    |                           |                           |                         |                          |                         |                     |                               |  |
|   | %                          | 100                | 97%                 | 0.0%               | 2.7%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| <b>Career Development Programs for Pay Band II: (GS 13-14)</b>    |                            |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
| Slots   | #                          |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
| Relevant Pool   | %                          |                    | 0.0%                | 0.0%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| Applied*  | #                          |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
|   | %                          |                    | 0.0%                | 0.0%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| Participants  | #                          | 24                 | 23                  | 0                  | 1                   | 0                                |                    |                           |                           |                         |                          |                         |                     |                               |  |
|   | %                          | 100                | 95.8%               | 0.0%               | 4.2%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| <b>Career Development Programs for Pay Band III: (GS 15)</b>      |                            |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
| Slots   | #                          |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
| Relevant Pool   | %                          |                    | 0.0%                | 0.0%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| Applied*  | #                          |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
|   | %                          |                    | 0.0%                | 0.0%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| Participants  | #                          | 6                  | 6                   | 0                  | 0                   | 0                                |                    |                           |                           |                         |                          |                         |                     |                               |  |
|   | %                          |                    | 100.0%              | 0.0%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| <b>Career Development Programs for Pay Band IV** (ES, EK, EN)</b> |                            |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
| Slots   | #                          |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
| Relevant Pool   | %                          |                    | 0.0%                | 0.0%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| Applied*  | #                          |                    |                     |                    |                     |                                  |                    |                           |                           |                         |                          |                         |                     |                               |  |
|   | %                          |                    | 0.0%                | 0.0%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |
| Participants  | #                          | 14                 | 14                  | 0                  | 0                   | 0                                |                    |                           |                           |                         |                          |                         |                     |                               |  |
|   | %                          |                    | 100.0%              | 0.0%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |  |

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

\*Data not available  
 \*\*Includes ES (6), EN (5) & EK (3)



**Table B14: SEPARATIONS By Type of Separation- Distribution by Disability**

| Type of Separation |   | Total | Total by Disability Status |                     |                    |                     | Detail for Targeted Disabilities |                    |                           |                           |                         |                          |                         |                     |                               |
|--------------------|---|-------|----------------------------|---------------------|--------------------|---------------------|----------------------------------|--------------------|---------------------------|---------------------------|-------------------------|--------------------------|-------------------------|---------------------|-------------------------------|
|                    |   |       | (05) No Disability         | (01) Not Identified | (06-94) Disability | Targeted Disability | (16, 17) Deafness                | (23, 25) Blindness | (28, 32-38) Missing Limbs | (64-68) Partial Paralysis | (71-78) Total Paralysis | (82) Convulsive Disorder | (90) Mental Retardation | (91) Mental Illness | (92) Distortion of Limb/Spine |
| Voluntary          | # | 192   | 171                        | 12                  | 9                  | 0                   | 0                                | 0                  | 0                         | 0                         | 0                       | 0                        | 0                       | 0                   | 0                             |
|                    | % | 100%  | 89.1%                      | 6.3%                | 4.7%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |
| Involuntary        | # | 10    | 10                         | 0                   | 0                  | 0                   | 0                                | 0                  | 0                         | 0                         | 0                       | 0                        | 0                       | 0                   | 0                             |
|                    | % | 100%  | 100.0%                     | 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 Separations  | # | 202   | 181                        | 12                  | 9                  | 0                   | 0                                | 0                  | 0                         | 0                         | 0                       | 0                        | 0                       | 0                   | 0                             |
|                    | % | 100%  | 89.6%                      | 5.9%                | 4.5%               | 0.0%                | 0.0%                             | 0.0%               | 0.0%                      | 0.0%                      | 0.0%                    | 0.0%                     | 0.0%                    | 0.0%                | 0.0%                          |
| Total Workforce    | # | 2704  | 2510                       | 68                  | 126                | 11                  | 1                                | 1                  | 0                         | 2                         | 3                       | 2                        | 0                       | 2                   | 0                             |
|                    | % | 100%  | 92.8%                      | 2.5%                | 4.7%               | 0.4%                | 0.04%                            | 0.04%              | 0.00%                     | 0.07%                     | 0.11%                   | 0.07%                    | 0.00%                   | 0.07%               | 0.00%                         |