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## CFTC Management Directive 715 (MD-715) Report for FY16

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\* Agencies with less than 1,000 employees are exempt from Part J, Tables A8-A14 and B8-B14.

EEOC FORM 715-01 PART A - D		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT			
Commodity Futures Trading Commission		For period covering October 1, 2015 to September 30, 2016			
<b>PART A Department or Agency Identifying Information</b>	<b>1. Agency</b>		Commodity Futures Trading Commission		
	1.a. 2nd level reporting component				
	1.b. 3rd level reporting component				
	1.c. 4th level reporting component				
	<b>2. Address</b>		1155 21st Street, NW		
	<b>3. City, State, Zip Code</b>		Washington	District of Columbia	20581
	<b>4. Agency Code</b>	<b>5. FIPS code(s)</b>	4173	011	
<b>PART B Total Employment</b>	1. Enter total number of permanent full-time and part-time employees			709	
	2. Enter total number of temporary employees			17	
	3. Enter total number employees paid from non-appropriated funds			0	
	<b>4. TOTAL EMPLOYMENT [add lines B 1 through 3]</b>			726	

Commodity Futures Trading Commission

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**PART C  
Agency  
Official(s)  
Responsible  
For Oversight  
of EEO  
Program(s)**

1. Agency Head

Chairman, CFTC Timothy Massad

2. Agency Head Designee

3. EEO Director

Director, Office of Minority and Women Inclusion (OMWI) Lorena McElwain

4. Affirmative Employment Manager

Diversity Program Manager Derrick Wilson

5. Complaint Processing Manager

Senior Equal Employment Specialist Sarah Summerville

6. Other EEO Staff

7. MD-715 Preparer

Director, OMWI Lorena McElwain

8. Diversity and Inclusion Officer

9. Disability Special Emphasis  
Program Manager

10. Hispanic Special Emphasis  
Program Manager

11. Women's Special Emphasis  
Program Manager

12. Anti-Harassment Program  
Manager

13. Reasonable Accommodation  
Program Manager

Chief Human Capital Officer Karen Leydon

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<b>PART D</b> <b>List of Subordinate Components Covered in This Report</b>	<b>Subordinate Component and Location (City/State)</b>	<b>CPDF and FIPS codes</b>	

Commodity Futures Trading Commission

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## EXECUTIVE SUMMARY

### I CFTC MISSION & MISSION-RELATED FUNCTIONS

Congress created the Commodity Futures Trading Commission (CFTC) in 1974 as an independent agency with the mandate to regulate commodity futures and option markets in the United States. The agency's mandate has been renewed and expanded several times since then, most recently by the Dodd-Frank Wall Street Reform and Consumer Protection Act, which includes regulating swaps and educating consumers about commodities fraud.

### II CFTC EEO PROGRAM

#### 1. Demonstrated Commitment from Agency Leadership

The CFTC Office of Minority and Women Inclusion (OMWI) partnered with the Human Resources Branch (HRB) to present a coordinated-approach to workforce diversification to the CFTC Chairman. The HRB reported updating the Commission's reasonable accommodation policy/procedures and is currently drafting an anti-harassment program outlining the Commission's current processes for investigating allegations of harassment. Once negotiations with unions are completed, the CFTC HRB plans to conduct training and implement the revised policies.

#### 2. Integration of EEO into Agency Mission

A key diversity measure was included in the 2014-2018 CFTC Strategic Plan, under Goal 5.1: A High-Performing, Diverse and Engaged Workforce. Specifically, Goal 5.1(f) number of diversity-related partnerships and alliances was included in the CFTC Strategic Plan with the goal of reaching 10 diversity-related partnerships by FY18. Prior to FY14, the CFTC OMWI did not have diversity partnerships with internal or external minority organizations. These partnerships represent an effective means for engaging internal and external stakeholders in the pursuit of CFTC diversity goals, as well as positioning CFTC as an employer of choice among minority job seekers. As of FY16, the CFTC OMWI has established 10 minority partnerships (four internal and six external). Through these partnerships, the CFTC OMWI has promoted employee engagement, disseminated employment and internship opportunities among target communities, and has implemented a number of career-enhancing programs for employees. The target goal of 10 diversity partnerships was met in FY16, two years ahead of schedule.

#### 3. Management and Program Accountability

As a follow up to EEOC's Technical Assistance Visit in March of 2016, the OMWI collaborated with key internal stakeholders to address Schedule A Hiring, enhance the Commission's reasonable accommodation and anti-harassment programs, and assess potential circumstances impacting the representation of women in executive-level positions. In FY16, CFTC HRB reported it began issuing Schedule A Certificates to Hiring Officials; the CFTC OMWI re-surveyed its workforce, and partnered with the EEOC to provide disability/accommodations training to supervisory staff in the fall of 2016. In FY16, persons with disabilities represented 9% of permanent hires.

#### 4. Proactive Prevention of Unlawful Discrimination

In FY16, the CFTC OMWI convened a Diversity Workgroup with 19 representatives from various divisions, employee affinity groups, and employee unions. The workgroup has begun providing stakeholder feedback into diversity and inclusion programs, and is collaborating with the OMWI on key diversity efforts in FY17. The OMWI also partnered with employee unions to conduct two brown bag lunches to raise awareness of EEO programs and services.

The CFTC OMWI conducted compliance reviews of the Commission's divisions through a three-year administrative review of EEO, diversity, and inclusion trends. Each division director received an individualized report outlining specific recommendations.

In order to promote a culture of proactive conflict management and resolution, the CFTC Chairman designated a second Resolving Official with settlement authority to participate in EEO settlement discussions in compliance with EEOC MD-110.

The CFTC OMWI played a leadership role in the Federal EEO community by Co-Chairing the EEOC's Proactive Prevention Workgroup. In this capacity, the CFTC OMWI led an inter-agency workgroup to identify and compile best practices for measuring early agency efforts to prevent discrimination and eliminate barriers to equal opportunity.

#### 5. Efficiency

The CFTC OMWI continues to exceed timeliness with regard to EEO investigations. Last year, the EEOC highlighted in its annual Report to Congress the CFTC OMWI's efforts to reduce the timeliness of investigations by 34%, averaging 178 days (below 180-day regulatory requirement and 523-day government average). In FY16, the CFTC OMWI further decreased investigations to 153 days while managing a caseload three times higher than in FY15.

A three-year trend analysis of EEO 462 complaint data showed 75% of CFTC complaints cases cited disability as a basis. In FY15, the OMWI conducted supervisory training with an emphasis on reasonable accommodation. Disability declined as a basis to 7% in FY16.

#### 6. Responsiveness and Legal Compliance

The CFTC had five cases at the hearing phase during FY16. Of these, one was settled and four remained before an EEOC Administrative Judge as of 9/30/16. The CFTC has worked diligently to participate and respond to EEOC AJ requests for information in a timely manner.

### III BARRIERS ADDRESSED IN FY16

The CFTC permanent workforce declined by -1.25% between FY15 and FY16. During this time, the participation rate of women (44%), Hispanics (3%), African Americans (17%), and Asian Americans/Pacific Islanders (10%) remained unchanged. Among these groups, the representation of Hispanics (3%) was lower than the Civilian Labor Force or CLF (10%), and the representation of women (44%) was also slightly lower than the CLF (48%). In FY16, the CFTC OMWI partnered with the League of United Latin American Citizens (LULAC) to conduct outreach to the Latino community through their annual conference in DC, where the CFTC distributed more than 7,500 outreach materials. In addition, the CFTC OMWI partnered with LULAC to design and implement a pilot mentoring program for aspiring executives in the Federal government.

With regard to women, the CFTC OMWI partnered with the Women in Derivatives (WIND) organization and held a panel on career advancement in the financial industry. The CFTC Training Office promoted its executive coaching program among women in positions CT14 and higher, resulting in a participation rate increase for women from 40% in FY15 to 81% in FY16. In addition, the CFTC HRB populated Table A11, Internal Selections for Senior-Level Positions. The CFTC HRB reported it is in the process of validating these data. The OMWI will use the validated data as a baseline to conduct a barrier analysis in FY17.

No individuals self-designated as American Indian/Alaska Native in FY15. As part of a concerted outreach effort, the CFTC OMWI took steps to begin advertising CFTC vacancies in the Journal of American Indian Higher Education. American Indians represented three percent (3%) of permanent hires in FY16, increasing the overall representation rate for American Indians from 0% to .14%.

### IV KEY PRIORITIES IN FY17

Key EEO, diversity and inclusion priorities in FY17 include:

- Conduct NoFEAR/EEO training for employees
- Assess factors influencing perception of fairness in the Employee Viewpoint Survey (EVS)
- Conduct New IQ training to enhance diversity and inclusion competencies
- Conduct barrier analysis for women in senior-level positions
- Provide disability/reasonable accommodation training for managers and supervisors
- Strengthen outreach to disabled, women, and minority partnership organizations by promoting employment and internship opportunities
- Negotiate reasonable accommodation and anti-harassment policies, and implement accordingly

<b>EEOC FORM 715-01 PART F</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>
<b>Commodity Futures Trading Commission</b>	<b>For period covering October 1, 2015 to September 30, 2016</b>

**CERTIFICATION of ESTABLISHMENT of CONTINUING  
EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS**

I, \_\_\_\_\_ Director, Office of Minority and Women Inclusion (OMWI) Lorena McElwain am the

(Insert name above) (Insert official  
title/series/grade above)

Principal EEO Director/Official for \_\_\_\_\_ Commodity Futures Trading Commission

(Insert Agency/Component Name above)

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

The agency has also analyzed its 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.

Signature of Agency Head or Agency Head Designee

Date

Signature of Principal EEO Director/Official

Date

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

EEOC FORM 715-01 PART G		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT					
Essential Element A: DEMONSTRATED COMMITMENT FROM AGENCY LEADERSHIP Requires the agency head to issue written policy statements ensuring a workplace free of discriminatory harassment and a commitment to equal employment opportunity.							
Commodity Futures Trading Commission			For period covering October 1, 2015 to September 30, 2016				
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	N/A	
The Agency Head was installed on <u>06/04/2014</u> The EEO policy statement was issued on <u>11/06/2014</u> Was the EEO policy statement issued within 6-9 of the installation of the Agency Head?			X				
During the current Agency Head's tenure, has the EEO policy Statement been re-issued annually? If no, provide an explanation.			X				
Are new employees provided a copy of the EEO policy statement during orientation?			X				
When an employee is promoted into the supervisory ranks, is s/he provided a copy of the EEO policy statement?			X				
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	N/A	
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? [see 29 CFR §1614.102(b)(5)]			X				



Commodity Futures Trading Commission		For period covering October 1, 2015 to September 30,			
Compliance Indicator	Agency EEO policy is vigorously enforced by agency management.	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	N/A	
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? Describe what means were utilized by the agency to so inform its workforce about the penalties for unacceptable behavior.		X			
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> <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>					
Commodity Futures Trading Commission		For period covering October 1, 2015 to September 30, 2016			
Compliance Indicator	<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>	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>
Measures		Yes	No	N/A	
Is the EEO Director under the direct supervision of the agency head? [see 29 CFR §1614.102(b)(4)] For subordinate level reporting components, is the EEO Director/Officer under the immediate supervision of the lower level component's head official? (For example, does the Regional EEO Officer report to the Regional Administrator?)		X			The CFTC Chairman placed the EEO Officer under his direct supervision effective 1/11/15.
Are the duties and responsibilities of EEO officials clearly defined?		X			
Do the EEO officials have the knowledge, skills, and abilities to carry out the duties and responsibilities of their positions?		X			
If the agency has 2nd level reporting components, are there organizational charts that clearly define the reporting structure for EEO programs?				X	
If the agency has 2nd level reporting components, does the agency-wide EEO Director have authority for the EEO programs within the subordinate reporting				X	
If not, please describe how EEO program authority is delegated to subordinate reporting components.				X	
Compliance Indicator	<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>	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>
Measures		Yes	No	N/A	
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?		X			
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?		X			
Are EEO program officials present during agency deliberations prior to decisions regarding recruitment strategies, vacancy projections, succession planning, selections		X			

Commodity Futures Trading Commission		For period covering October 1, 2015 to September 30, 2016			
Does the agency consider whether any group of employees or applicants might be negatively impacted prior to making human resource decisions such as reorganizations and re-alignments?		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		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>	<b>N/A</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		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>	<b>N/A</b>	

Commodity Futures Trading Commission	For period covering October 1, 2015 to September 30, 2016			
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			
Is there sufficient budget allocated to all employees to utilize, when desired, all EEO programs, including the complaint processing program and ADR, and to make a request for reasonable accommodation? (Including subordinate level reporting components?)	X			
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? [see 29 C.F.R. § 1614.102(b)(5)]	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:				
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			

**Essential Element C: MANAGEMENT AND PROGRAM ACCOUNTABILITY**

This element requires the Agency Head to hold all managers, supervisors, and EEO Officials responsible for the effective implementation of the agency's EEO Program and Plan.

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Compliance Indicator	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.	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	N/A	
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
Measures		Yes	No	N/A	
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
Measures		Yes	No	N/A	

Commodity Futures Trading Commission	For period covering October 1, 2015 to September 30, 2016			
Does the agency have a disciplinary policy and/or a table of penalties that covers employees found to have committed discrimination?	X			Agency policy prohibits discrimination and discipline is handled on a case-by-case basis

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			No findings in the past two years.
If so, cite number found to have discriminated and list penalty /disciplinary action				
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> <b>Requires that the agency head makes early efforts to prevent discriminatory actions and eliminate barriers to equal employment opportunity in the workplace.</b>					
Commodity Futures Trading Commission		For period covering October 1, 2015 to September 30, 2016			
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
Measures		Yes	No	N/A	
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			
Compliance Indicator	The use of Alternative Dispute Resolution (ADR) is encouraged by senior management.	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	N/A	
Are all employees encouraged to use ADR?		X			

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Is the participation of supervisors and managers in the ADR process required?		X		The CFTC Resolving Official engages in ADR on behalf of the Commission as needed, for example when a supervisor/manager is unavailable to participate

<b>Essential Element E: EFFICIENCY</b> <b>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>	
Commodity Futures Trading Commission	For period covering October 1, 2015 to September 30, 2016



Commodity Futures Trading Commission		For period covering October 1, 2015 to September 30, 2016			
<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>	<b>N/A</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			
Have sufficient resources been provided to conduct effective audits of field facilities' efforts to achieve a model EEO program and eliminate discrimination under Title VII and the Rehabilitation Act?			X		See Part H
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			
<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>	<b>N/A</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		See Part H.
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		See Part H.
Does the agency hold contractors accountable for delay in counseling and investigation processing times?		X			
If yes, briefly describe how:					
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			

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Compliance Indicator	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.	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	N/A	
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			
When a complainant requests a final agency decision, does the agency issue the decision within 60 days of the request?		X			
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			
Compliance Indicator	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.	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	N/A	
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		The CFTC Resolving Official engages in ADR on behalf of the Commission as needed

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Does the agency ensure that the responsible management official directly involved in the dispute does not have settlement authority?		X			The Chairman delegates settlement authority to the CFTC Resolving Official on a case-by-case basis in compliance with MD-110
<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 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>	<b>N/A</b>	
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		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		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?		X			
Does the agency consult with other agencies of similar size on the effectiveness of their EEO programs to identify best practices and share ideas?		X			
<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>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	
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		X			
If applicable, are processing time frames incorporated for the legal counsel's sufficiency review for timely processing of complaints?		X			
Does the agency discrimination complaint process ensure a neutral adjudication function?		X			

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**Essential Element F: RESPONSIVENESS AND LEGAL COMPLIANCE**

This element requires that federal agencies are in full compliance with EEO statutes and EEOC regulations, policy guidance, and other written instructions.

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<b>Compliance Indicator</b>	Agency personnel are accountable for timely compliance with orders issued by EEOC Administrative Judges.	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
<b>Measures</b>		Yes	No	N/A	
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				X	CFTC has not had a finding of discrimination
<b>Compliance Indicator</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.	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
<b>Measures</b>		Yes	No	N/A	
Does the agency have control over the payroll processing function of the agency? If Yes, answer the two questions below.			X		
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>	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.	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
<b>Measures</b>		Yes	No	N/A	
Is compliance with EEOC orders encompassed in the performance standards of any agency employees?		X			Performance Element 6 for managerial staff requires all supervisors to demonstrate adherence to EEO and diversity principles within the Agency and when representing the Agency
If so, please identify the employees by title in the comments section, and state how performance is measured.					

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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

<b>EEOC FORM 715-01 PART H-1</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
<b>Commodity Futures Trading Commission</b>		<b>For period covering October 1, 2015 to September 30, 2016</b>
<b>STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:</b>	The Agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the Agency's EEO Programs.	
<b>OBJECTIVE:</b>	Automate current manual process by acquiring complaint management software to track cases and conduct trend analyses.	
<b>RESPONSIBLE OFFICIAL:</b>	OMWI Director	
<b>DATE OBJECTIVE INITIATED:</b>	07/30/12	
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>	09/30/2018	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>		
Initiate unfunded requirement discussion for FY13 with Executive Director  <b>TARGET DATE: 08/30/2012</b>		
Conduct market research based on requirements  <b>TARGET DATE: 03/31/2014</b>		
Compete and select vendor  <b>TARGET DATE: 06/30/2014</b>		
Train OMWI staff on new system  <b>TARGET DATE: 08/05/2018</b>		
Begin uploading cases into electronic complaint management system.  <b>TARGET DATE: 09/30/2018</b>		
Award contract  <b>TARGET DATE: 05/31/2018</b>		
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
<p>As part of the consideration process to reduce costs in FY13 and avoid furloughs, the electronic complaint management system was placed on the list of unfunded requirements in FY14. The system was not funded in FY14 due to legislation impacting technology purchases.</p> <p>During FY14, ODI staff met with Procurement and IT staff, and conducted market research. This workgroup determined the system purchase and project management would be handled by the Office of Data and Technology. A vendor was selected during the fourth quarter of FY14; however the contract was not awarded due to legislative restrictions. The system has remained a high-priority item on the unfunded requirements list, and in FY16 was moved to the unfunded list for FY18.</p>		



<b>EEOC FORM 715-01 PART H-2</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
<b>Commodity Futures Trading Commission</b>		<b>For period covering October 1, 2015 to September 30, 2016</b>
<b>STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:</b>	The agency has sufficient staffing, funding, and authority to achieve the elimination of identified barriers.	
<b>OBJECTIVE:</b>	Develop a procedure for conducting effective audits of field facilities' efforts to achieve a model EEO program and eliminate discrimination under Title VII and the Rehabilitation Act	
<b>RESPONSIBLE OFFICIAL:</b>	Lorena McElwain	
<b>DATE OBJECTIVE INITIATED:</b>	01/01/2016	
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>	09/29/2017	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>		
Research best practices, procedures, and tools for conducting compliance reviews of field offices  <b>TARGET DATE: 03/31/2016</b>		
Prepare draft standard operating procedures (SOP) for conducting compliance reviews  <b>TARGET DATE: 01/31/2017</b>		
Pilot draft SOP in one regional office  <b>TARGET DATE: 06/30/2017</b>		
Finalize SOP based on results from pilot review  <b>TARGET DATE: 09/30/2017</b>		
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
In FY16, CFTC conducted research on methods for conducting compliance reviews and compiled best practices. CFTC expects to conduct a pilot review in one regional office in 2017, and finalize its SOP in FY17.		

EEOC FORM 715-01 PART I-1		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
Commodity Futures Trading Commission		For period covering October 1, 2015 to September 30, 2016	
STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:  Provide a brief narrative describing the condition at issue.  How was the condition recognized as a potential barrier?		The participation rate for women in women in senior-level positions (CT15+) has steadily increased (29% in FY14, 31% in FY15, and 33% in FY16), but continues to be below the proportion of women in the CFTC (44%).	
BARRIER ANALYSIS:  Provide a description of the steps taken and data analyzed to determine cause of the condition.		Conducted a longitudinal analysis using MD-715 Tables A3-1 for FY14, FY15, and FY16. Incorporated feedback from EEOC Technical Assistance memorandum dated 7/25/16 .	
STATEMENT OF IDENTIFIED BARRIER:  Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.		Funding to implement a comprehensive formal development strategy is needed to ensure a robust pool of individuals at the mid-career and senior level.	
OBJECTIVE:  State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.		Eliminate potential barriers to career advancement for internal candidates to senior-level positions.	
RESPONSIBLE OFFICIAL:		Anthony Thompson and Lorena McElwain	
DATE OBJECTIVE INITIATED:		08/01/2016	
TARGET DATE FOR COMPLETION OF OBJECTIVE:		09/30/2018	
OBJECTIVE:  State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.		Strengthen leadership and executive competencies of individuals at the CT14 levels and higher.	
RESPONSIBLE OFFICIAL:		Anthony Thompsons and Lorena McElwain	
DATE OBJECTIVE INITIATED:		10/01/2015	
TARGET DATE FOR COMPLETION OF OBJECTIVE:		09/30/2018	
EEOC FORM 715-01 PART I-1		EEO Plan To Eliminate Identified Barrier	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:		TARGET DATE (Must be specific)	
Validate data in Table A11, Internal Selections for Senior-Level Positions, to use FY16 as baseline data.		06/30/2017	
Conduct unconscious bias briefing for executives and training for employees		04/28/2017	
Pilot one Speed Mentoring session		09/30/2017	

Partner with the Women in Derivatives (WIND) organization to conduct a panel discussion about career advancement in the financial industry in conjunction with Women's History Month.	03/31/2016
Promote participation in FY16 Executive Coaching Program	10/31/2016
Assess demographic composition of Executive Coaching Program participants and establish FY15 as baseline.	12/31/2015
Analyze impact of outreach efforts on participation rate of women in Executive Coaching Program.	09/30/2016
Conduct barrier analysis using Table A11, Internal Selections for Senior-Level positions using FY16 and FY17 data.	11/30/2017
Coordinate populating Table A11, Internal Selections for Senior-Level Positions, with vendor.	09/30/2016
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>	
<p>The CFTC partnered with the Women in Derivatives (WIND) organization and held a panel on career advancement in the financial industry. The CFTC promoted its executive coaching training program among women in positions CT14 and higher, resulting in a participation rate increase for women from 40% in FY15 to 81% in FY16. In addition, the CFTC collaborated with our vendor to populate Table A11, Internal Selections for Senior-Level Positions. CFTC is in the process of validating these data and will use the FY16 Table A11 as a baseline to conduct a barrier analysis in FY17. As of FY16, the proportion of women in senior-level positions (CT15+) continued to steadily increase (29% in FY14, 31% in FY15, and 33% in FY16).</p>	

<b>EEOC FORM 715-01 PART J</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted</b>
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<b>Commodity Futures Trading Commission</b>	<b>For period covering October 1, 2015 to September 30, 2016</b>
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<b>PART I Department or Agency Information</b>	1. Agency	1. Commodity Futures Trading Commission
	1.a. 2nd Level Component	1. a.
	1.b. 3rd Level or lower	1. b.

<b>PART II Employment Trend and Special Recruitment for Individuals With Targeted Disabilities</b>	Enter Actual Number at the ...	... beginning of FY.		... end of FY.		Net Change	
		Number	%	Number	%	Number	Rate of Change
	Total Work Force	765	100%	709	100%	-56	-7.3 %
	Reportable Disability	28	3.7 %	29	4.1 %	1	3.6 %
	Targeted Disability*	1	0.1 %	1	0.1 %	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. Total Number of Applications Received From Persons With Targeted Disabilities during the reporting period.					0	
	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>
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Other Employment/Personnel Programs	TOTAL	Reportable Disability		Targeted Disability		Not Identified		No Disability	
		#	%	#	%	#	%	#	%
Competitive Promotions	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %
Non-Competitive Promotions	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %
Employee Career Development Programs	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %
a. Grades 5 - 12	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %
b. Grades 13 - 14	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %
c. Grade 15/SES	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %
Employee Recognition and Awards	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %
a. Time-Off Awards (Total hrs awarded)	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %
b. Cash Awards (total \$\$\$ awarded)	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %
c. Quality-Step Increase	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %

<b>EEOC FORM 715-01</b>		<b>Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities</b>	
<b>Commodity Futures Trading Commission</b>		<b>For period covering October 1, 2015 to September 30, 2016</b>	
<b>Part IV Identification and Elimination of Barriers</b>		Agencies with 1,000 or more permanent employees MUST conduct a barrier analysis to address any barriers to increasing employment opportunities for employees and applicants with targeted disabilities using FORM 715-01 PART I. Agencies should review their recruitment, hiring, career development, promotion, and retention of individuals with targeted disabilities in order to determine whether there are any barriers.	
<b>Part V Goals for Targeted Disabilities</b>		<p>Agencies with 1,000 or more permanent employees are to use the space provided below to describe the strategies and activities that will be undertaken during the coming fiscal year to maintain a special recruitment program for individuals with targeted disabilities and to establish specific goals for the employment and advancement of such individuals. For these purposes, targeted disabilities may be considered as a group. Agency goals should be set and accomplished in such a manner as will effect measurable progress from the preceding fiscal year. Agencies are encouraged to set a goal for the hiring of individuals with targeted disabilities that is at least as high as the anticipated losses from this group during the next reporting period, with the objective of avoiding a decrease in the total participation rate of employees with disabilities.</p> <p>Goals, objectives and strategies described below should focus on internal as well as external sources of candidates and include discussions of activities undertaken to identify individuals with targeted disabilities who can be (1) hired; (2) placed in such a way as to improve possibilities for career development; and (3) advanced to a position at a higher level or with greater potential than the position currently occupied.</p>	
Established a Numerical Goal?		Yes	
Goal		Established 2% goal for persons with targeted disabilities by FY19.	
Strategies		<p>Issue Schedule A Certificates to selecting officials when filling vacancies (FY16).  Re-survey workforce to allow employees to view and update demographic designations (FY16).  Provide reasonable accommodation training to managers and supervisors (FY17).  Recruit Gallaudet students to fulfill internship requirement at the CFTC (FY17).  Negotiate and implement Reasonable Accommodation Policy and Procedures (FY17-FY18).</p>	
Objectives		<p>Raise awareness of disability programs among employees, managers and supervisors.  Ensure workforce data accurately reflect self-designations and are and up-to-date.  Strengthen knowledge of disability laws among managers and supervisors by providing reasonable accommodation training.  Position CFTC as an employer of choice among the disabled community through community outreach.</p>	
Accomplishments		<p>In FY16, the CFTC began issuing Schedule A Certificates to selecting officials when filling vacancies. In addition, the CFTC re-surveyed its workforce during the last quarter of FY16. These efforts contributed to the proportion of persons with disabilities increasing from 3.6% in FY15 to 4.1% in FY16, accounting for 9% of permanent hires, and resulting in a net change of 11.5% for persons with disabilities despite a decline (-1.25% net change) in the permanent workforce during this timeframe.</p>	



**COMMODITY FUTURES TRADING COMMISSION  
COMMODITY FUTURES TRADING COMM**

**Table A2: Total Workforce By Component - Distribution by Race/Ethnicity and Sex**

Year = FY 2016 Employing Office Code = CTCF4173 and

ORGANIZATIONAL COMPONENT	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>TOTAL</b>	<b>709</b>	<b>399</b>	<b>310</b>	<b>16</b>	<b>9</b>	<b>311</b>	<b>184</b>	<b>38</b>	<b>79</b>	<b>34</b>	<b>37</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>
	100%	56.28%	43.72%	2.26%	1.27%	43.86%	25.95%	5.36%	11.14%	4.80%	5.22%	0%	0%	0%	0.14%	0%	0%
CLF (2010)		51.86%	48.14%	5.17%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%
<b>OFFICE OF THE EXECUTIVE DIRECTOR</b>	<b>82</b>	<b>30</b>	<b>52</b>	<b>2</b>	<b>1</b>	<b>23</b>	<b>25</b>	<b>4</b>	<b>20</b>	<b>1</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>
	100%	36.59%	63.41%	2.44%	1.22%	28.05%	30.49%	4.88%	24.39%	1.22%	6.10%	0%	0%	0%	1.22%	0%	0%
<b>OFFICE OF THE CHAIRMAN</b>	<b>21</b>	<b>12</b>	<b>9</b>	<b>1</b>	<b>0</b>	<b>6</b>	<b>3</b>	<b>3</b>	<b>5</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>1</b>
	100%	57.14%	42.86%	4.76%	0%	28.57%	14.29%	14.29%	23.81%	4.76%	0%	0%	0%	0%	0%	4.76%	4.76%
<b>OFFICE OF COMMISSIONER GIANCARLO</b>	<b>4</b>	<b>2</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	100%	50.00%	50.00%	0%	0%	25.00%	25.00%	0%	25.00%	25.00%	0%	0%	0%	0%	0%	0%	0%
<b>DIVISION OF SWAP DEALER AND INTERMEDIARY OVERSIGHT</b>	<b>86</b>	<b>51</b>	<b>35</b>	<b>2</b>	<b>1</b>	<b>41</b>	<b>19</b>	<b>4</b>	<b>8</b>	<b>4</b>	<b>6</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>
	100%	59.30%	40.70%	2.33%	1.16%	47.67%	22.09%	4.65%	9.30%	4.65%	6.98%	0%	0%	0%	0%	0%	1.16%
<b>DIVISION OF ENFORCEMENT</b>	<b>166</b>	<b>93</b>	<b>73</b>	<b>2</b>	<b>1</b>	<b>81</b>	<b>61</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>6</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	100%	56.02%	43.98%	1.20%	0.60%	48.80%	36.75%	3.01%	3.01%	3.01%	3.61%	0%	0%	0%	0%	0%	0%
<b>DIVISION OF MARKET OVERSIGHT</b>	<b>117</b>	<b>77</b>	<b>40</b>	<b>1</b>	<b>1</b>	<b>69</b>	<b>26</b>	<b>3</b>	<b>10</b>	<b>4</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	100%	65.81%	34.19%	0.85%	0.85%	58.97%	22.22%	2.56%	8.55%	3.42%	2.56%	0%	0%	0%	0%	0%	0%
<b>OFFICE OF COMMISSIONER BOWEN</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	100%	50.00%	50.00%	0%	0%	50.00%	0%	0%	50.00%	0%	0%	0%	0%	0%	0%	0%	0%
<b>OFFICE OF GENERAL COUNSEL</b>	<b>49</b>	<b>19</b>	<b>30</b>	<b>1</b>	<b>1</b>	<b>14</b>	<b>15</b>	<b>2</b>	<b>8</b>	<b>2</b>	<b>6</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	100%	38.78%	61.22%	2.04%	2.04%	28.57%	30.61%	4.08%	16.33%	4.08%	12.24%	0%	0%	0%	0%	0%	0%
<b>OFFICE OF THE CHIEF ECONOMIST</b>	<b>14</b>	<b>10</b>	<b>4</b>	<b>0</b>	<b>0</b>	<b>8</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	100%	71.43%	28.57%	0%	0%	57.14%	14.29%	7.14%	7.14%	7.14%	7.14%	0%	0%	0%	0%	0%	0%
<b>OFFICE OF DATA AND TECHNOLOGY</b>	<b>91</b>	<b>57</b>	<b>34</b>	<b>3</b>	<b>0</b>	<b>34</b>	<b>11</b>	<b>12</b>	<b>15</b>	<b>8</b>	<b>8</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	100%	62.64%	37.36%	3.30%	0%	37.36%	12.09%	13.19%	16.48%	8.79%	8.79%	0%	0%	0%	0%	0%	0%
<b>DIVISION OF CLEARING AND RISK</b>	<b>66</b>	<b>42</b>	<b>24</b>	<b>1</b>	<b>2</b>	<b>30</b>	<b>16</b>	<b>4</b>	<b>4</b>	<b>6</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>
	100%	63.64%	36.36%	1.52%	3.03%	45.45%	24.24%	6.06%	6.06%	9.09%	3.03%	0%	0%	0%	0%	1.52%	0%
<b>INTERNATIONAL AFFAIRS BRANCH</b>	<b>11</b>	<b>5</b>	<b>6</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>5</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>
	100%	45.45%	54.55%	0%	0%	27.27%	45.45%	0%	9.09%	9.09%	0%	0%	0%	0%	0%	9.09%	0%





**COMMODITY FUTURES TRADING COMMISSION**

**COMMODITY FUTURES TRADING COMM**

**Table A4-1: Participation Rates for General Schedule(CT) Grades by Race/Ethnicity and Sex (Perm)**

Year = FY 2016 Employing Office Code = CTCF4173 and

Pay Plans Grouped with CT/GM CT,EF,ES,EX	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
CT-01	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
CT-02	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
CT-03	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
CT-04	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
CT-05	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
CT-06	1	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0
	100%	0%	100%	0%	0%	0%	0%	0%	100%	0%	0%	0%	0%	0%	0%	0%	0%
CT-07	4	1	3	0	0	0	1	1	2	0	0	0	0	0	0	0	0
	100%	25.00%	75.00%	0%	0%	0%	25.00%	25.00%	50.00%	0%	0%	0%	0%	0%	0%	0%	0%
CT-08	7	0	7	0	1	0	1	0	5	0	0	0	0	0	0	0	0
	100%	0%	100%	0%	14.29%	0%	14.29%	0%	71.43%	0%	0%	0%	0%	0%	0%	0%	0%
CT-09	6	0	6	0	0	0	0	0	6	0	0	0	0	0	0	0	0
	100%	0%	100%	0%	0%	0%	0%	0%	100%	0%	0%	0%	0%	0%	0%	0%	0%
CT-10	2	0	2	0	0	0	0	0	2	0	0	0	0	0	0	0	0
	100%	0%	100%	0%	0%	0%	0%	0%	100%	0%	0%	0%	0%	0%	0%	0%	0%
CT-11	19	8	11	0	0	5	4	3	7	0	0	0	0	0	0	0	0
	100%	42.11%	57.89%	0%	0%	26.32%	21.05%	15.79%	36.84%	0%	0%	0%	0%	0%	0%	0%	0%
CT-12	34	21	13	1	0	15	5	3	7	2	1	0	0	0	0	0	0
	100%	61.76%	38.24%	2.94%	0%	44.12%	14.71%	8.82%	20.59%	5.88%	2.94%	0%	0%	0%	0%	0%	0%
CT-13	114	60	54	0	1	43	25	10	16	7	11	0	0	0	1	0	0
	100%	52.63%	47.37%	0%	0.88%	37.72%	21.93%	8.77%	14.04%	6.14%	9.65%	0%	0%	0%	0.88%	0%	0%
CT-14	338	193	145	8	6	154	93	13	24	18	22	0	0	0	0	0	0
	100%	57.10%	42.90%	2.37%	1.78%	45.56%	27.51%	3.85%	7.10%	5.33%	6.51%	0%	0%	0%	0%	0%	0%
CT-15	137	88	49	6	1	71	39	6	7	5	2	0	0	0	0	0	0
	100%	64.23%	35.77%	4.38%	0.73%	51.82%	28.47%	4.38%	5.11%	3.65%	1.46%	0%	0%	0%	0%	0%	0%
All other (unspecified CT)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
CT-16/18	47	28	19	1	0	23	16	2	2	2	1	0	0	0	0	0	0
	100%	59.57%	40.43%	2.13%	0%	48.94%	34.04%	4.26%	4.26%	4.26%	2.13%	0%	0%	0%	0%	0%	0%