

Affirmative Action Plan for the Recruitment, Hiring, Advancement, and Retention of Persons with Disabilities

To capture agencies' affirmative action plan for persons with disabilities (PWD) and persons with targeted disabilities (PWTD), EEOC regulations (29 C.F.R. § 1614.203(e)) and MD-715 require agencies to describe how their affirmative action plan will improve the recruitment, hiring, advancement, and retention of applicants and employees with disabilities.

Section I: Efforts to Reach Regulatory Goals

EEOC regulations (29 CFR §1614.203(d)(7)) require agencies to establish specific numerical goals for increasing the participation of persons with disabilities and persons with targeted disabilities in the federal government

1. Using the goal of 12% as the benchmark, does your agency have a trigger involving PWD by grade level cluster in the permanent workforce? If "yes", describe the trigger(s) in the text box.

- | | |
|--------------------------------|------------|
| a. Cluster GS-1 to GS-10 (PWD) | Answer Yes |
| b. Cluster GS-11 to SES (PWD) | Answer Yes |

There are no PWD within the cluster of 26 permanent employees in grades CT-1 to CT-10. Of the 643 employees in the cluster of CT 11 and higher, 4.04% (26 employees) are PWD. Both clusters are below the 12% benchmark goal.

*For GS employees, please use two clusters: GS-1 to GS-10 and GS-11 to SES, as set forth in 29 C.F.R. § 1614.203(d)(7). For all other pay plans, please use the approximate grade clusters that are above or below GS-11 Step 1 in the Washington, DC metropolitan region.

2. Using the goal of 2% as the benchmark, does your agency have a trigger involving PWTD by grade level cluster in the permanent workforce? If "yes", describe the trigger(s) in the text box.

- | | |
|---------------------------------|------------|
| a. Cluster GS-1 to GS-10 (PWTD) | Answer Yes |
| b. Cluster GS-11 to SES (PWTD) | Answer Yes |

There are no PWTD within the cluster of 26 permanent employees in grades CT-1 to CT-10. Of the 667 permanent employees in the cluster of CT 11 and higher, 0.47% (3 employees) are PWTD. Both clusters are below the 2% benchmark goal.

Grade Level Cluster(GS or Alternate Pay Planb)	Total	Reportable Disability		Targeted Disability	
	#	#	%	#	%
Numarical Goal	--	12%		2%	
Grades GS-1 to GS-10	0	0	0.00	0	0.00
Grades GS-11 to SES	0	0	0.00	0	0.00

3. Describe how the agency has communicated the numerical goals to the hiring managers and/or recruiters.

CFTC experienced a hiring freeze in FY 2018. Despite this challenge, the agency continued to take steps to ensure that key stakeholders knew that the CFTC has adopted the mandatory 2% and 12% employment goals. For example, for the limited hiring that occurred, HR Specialists provided and discussed the various options available to hiring officials for hiring PWDs and PWTDs. OMWI also briefed the CFTC Chairman, Chief of Staff, Commissioners, and labor union to ensure that all employees are aware of the goals and what the agency can do to reach them.

Section II: Model Disability Program

Pursuant to 29 C.F.R. § 1614.203(d)(1), agencies must ensure sufficient staff, training and resources to recruit and hire persons with disabilities and persons with targeted disabilities, administer the reasonable accommodation program and special emphasis program, and oversee any other disability hiring and advancement program the agency has in place.

A. PLAN TO PROVIDE SUFFICIENT & COMPETENT STAFFING FOR THE DISABILITY PROGRAM

1. Has the agency designated sufficient qualified personnel to implement its disability program during the reporting period? If “no”, describe the agency’s plan to improve the staffing for the upcoming year.

Answer Yes

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

Disability Program Task	# of FTE Staff By Employment Status			Responsible Official (Name, Title, Office Email)
	Full Time	Part Time	Collateral Duty	
Processing applications from PWD and PWTD	0	1	0	Sarata Head Employment Manager SHead@cftc.gov
Answering questions from the public about hiring authorities that take disability into account	0	1	0	Sarata Head Employment Manager SHead@cftc.gov
Processing reasonable accommodation requests from applicants and employees	0	1	0	Lauren Colón Chief, Workforce Relations LColon@cftc.gov
Section 508 Compliance	0	1	0	Kennet Ake IT Specialist KAke@cftc.gov
Architectural Barriers Act Compliance	0	0	1	Wesley French Manager - Programs and Planning wfrench@cftc.gov
Special Emphasis Program for PWD and PWTD	0	1	0	Derrick Wilson Diversity and Inclusion Specialist dwilson@cftc.gov

3. Has the agency provided disability program staff with sufficient training to carry out their responsibilities during the reporting period? If “yes”, describe the training that disability program staff have received. If “no”, describe the training planned for the upcoming year.

Answer Yes

Due to budget constraints and the hiring freeze, fee-based training was limited during the time of this freeze but will resume once the budget is approved and hiring resumes. Nevertheless, CFTC staff has sufficient training to carry out their responsibilities, including training and extensive experience in the application of federal human resource requirements and best practices regarding reasonable accommodations, non-competitive hiring authorities, accessibility, and disability inclusion. Staff also continues to engage in no-cost activities designed to increase their knowledge and skill including online training and reviewing material posted to the EEOC website. Disability Program Staff has full access to cutting-edge legal research tools such as Lexis Nexis to continue to build on their extensive experience and educate themselves on how to address complex disability issues. For example, staff members recently conducted negotiations for the agency’s collective bargaining agreement. Through that process, staff conducted in-depth research on reasonable accommodation requirements under Section 501 of the Rehabilitation Act in order to effectively

negotiate with the union. Additionally, OMWI provided staff with a training regarding anxiety and depression in the workplace and will continue to work with disability program staff to provide disability training and educational resources as needed.

B. PLAN TO ENSURE SUFFICIENT FUNDING FOR THE DISABILITY PROGRAM

Has the agency provided sufficient funding and other resources to successfully implement the disability program during the reporting period? If “no”, describe the agency’s plan to ensure all aspects of the disability program have sufficient funding and other resources.

Answer Yes

During FY 2018, the Commission experienced significant budget constraints that resulted in a hiring freeze. Once the CFTC budget is approved, the Commission plans to provide sufficient training and other resources to successfully implement the disability program including gathering Schedule A qualified applicants via State Vocational Rehabilitation Services and Veteran organizations. CFTC will also utilize Veteran hiring programs and attend local career fairs that focus on disability hiring.

Section III: Program Deficiencies In The Disability Program

Section IV: Plan to Recruit and Hire Individuals with Disabilities

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

A. PLAN TO IDENTIFY JOB APPLICATIONS WITH DISABILITIES

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

During FY 2018, the Commission experienced significant budget constraints that resulted in a hiring freeze. However, once this hiring freeze is lifted the agency will utilize a variety of recruitment strategies to increase the number of qualified applicants with disabilities and applicants with targeted disabilities within the major occupations. These include sourcing Schedule A qualified applicants via State Vocational Rehabilitation Services and Veteran organizations, utilizing Veteran hiring programs and attending local career fairs that focus on disability hiring, and identifying and reaching out to professional associations that include people with disabilities such as the National Association of Attorneys with Disabilities and the Deaf and Hard of Hearing Bar Association.

2. Pursuant to 29 C.F.R. §1614.203(a)(3), describe the agency’s use of hiring authorities that take disability into account (e.g., Schedule A) to recruit PWD and PWTDD for positions in the permanent workforce

The Human Resources Branch provides qualified Schedule A and disabled Veteran applicants to hiring officials when appropriate.

3. When individuals apply for a position under a hiring authority that takes disability into account (e.g., Schedule A), explain how the agency (1) determines if the individual is eligible for appointment under such authority; and, (2) forwards the individual's application to the relevant hiring officials with an explanation of how and when the individual may be appointed.

(1) CFTC determines if the individual is eligible for appointment under such authority by requiring certification for the appropriate disability resource. (2) Qualified schedule A and Veterans applicant information (certs) are forwarded to hiring officials as part of the list of eligible candidates. HR Specialists are available to discuss all parts of the Schedule A and other PWD-type of hiring authorities.

- 4.

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

Answer Yes

Instruction and use of hiring authorities – including Schedule A and Veteran Hiring Authorities – are provided to new supervisors during their required 40 hours of training. Online courses are also made available and encouraged. Periodic refresher courses are also available and provided to hiring officials.

B. PLAN TO ESTABLISH CONTACTS WITH DISABILITY EMPLOYMENT ORGANIZATIONS

Describe the agency’s efforts to establish and maintain contacts with organizations that assist PWD, including PWTD, in securing and maintaining employment.

During FY 2018, the Commission effort was limited by significant budget constraints that resulted in a hiring freeze. During this time, the CFTC Partnership with Gallaudet University continues to help promote internships and post-graduation employment once hiring resumes. During FY 2019 and FY 2020 the CFTC will expand its outreach and find additional resources to increase the recruitment and hiring of PWD and PWTD to mission critical occupations. Two potential resources that have been identified include the National Association of Attorneys with Disabilities and the Deaf and Hard of Hearing Bar Association.

C. PROGRESSION TOWARDS GOALS (RECRUITMENT AND HIRING)

1. Using the goals of 12% for PWD and 2% for PWTD as the benchmarks, do triggers exist for PWD and/or PWTD among the new hires in the permanent workforce? If “yes”, please describe the triggers below.

- a. New Hires for Permanent Workforce (PWD) Answer No
- b. New Hires for Permanent Workforce (PWTD) Answer No

In FY 2018, there were 16 positions filled (see Table B7). 871 applications were received for these 16 positions, with 504 (58%) of the applicants voluntarily identified as No Disability or PWD (which includes PWTD). 357 (71%) of the candidates in the voluntary reporting population were assessed as “qualified.” The inclusion rate for this qualified population was not statistically difference across the various groups. Overall, 69% of applicants were deemed qualified, with 71% of PWD and PWTD applicants deemed qualified. The number of PWD applicants (4.8% of population reporting) was below the 12% target as was the number of qualified PWD (8.3% of qualified applicants reporting and 4.8 % overall). However, the proportion of applications is consistent with the expected number of PWD applicants for the series and locations employed by the CFTC (which is closer to 4% as opposed to the 12% overall PWD representation in the CLF). Although zero (0) PWD applicants were selected out of the 16 positions, the trigger was not found to be statistically significant as the probability of this outcome occurring (assuming the positions are selected at rates of representation) is 45% (60% if we include the disabled veteran hire as a PWD hire). PWTD applicants exceed the 2% target in reporting applicants received (3.2% of the applicants reporting) qualified PWTD (5.3% of qualified applicants reporting). Although zero (0) PWTD applicants were selected out of the 16 positions, the trigger was not found to be statistically significant as the probability of this outcome occurring (assuming the positions are selected at rates of representation) is 59%.

New Hires	Total (#)	Reportable Disability		Targeted Disability	
		Permanent Workforce (%)	Temporary Workforce (%)	Permanent Workforce (%)	Temporary Workforce (%)
% of Total Applicants	871	4.82	0.00	3.21	0.00
% of Qualified Applicants	601	4.99	0.00	3.33	0.00
% of New Hires	14	0.00	0.00	0.00	0.00

2. Using the qualified applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among the new hires for any of the mission- critical occupations (MCO)? If “yes”, please describe the triggers below. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

- a. New Hires for MCO (PWD) Answer No
- b. New Hires for MCO (PWTD) Answer No

There were no PWD or PWTD hired in FY 2018 in the mission critical occupations. However, after adjusting for the population that did not identify their disability status (42% of all applicants), the differences in participation rates were not statistically significant given number of position filled in FY 2018.

New Hires to Mission-Critical Occupations	Total (#)	Reportable Disability		Targetable Disability	
		Qualified Applicants (%)	New Hires (%)	Qualified Applicants (%)	New Hires (%)
Numerical Goal	--	12%		2%	
0110ECONOMIST	288	1.74	0.00	1.39	0.00
0301MISC ADMIN & PROG	0	0.00	0.00	0.00	0.00
0511AUDITOR	0	0.00	0.00	0.00	0.00
0905ATTORNEY	62	1.61	0.00	0.00	0.00
1101GRAL BUSN & IND	521	4.61	0.00	3.07	0.00
1801GRAL INSP INV & COMPLIANCE	0	0.00	0.00	0.00	0.00
2210IT MGMT	0	0.00	0.00	0.00	0.00

3. Using the relevant applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among the qualified internal applicants for any of the mission-critical occupations (MCO)? If “yes”, please describe the triggers below. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

- a. Qualified Applicants for MCO (PWD) Answer No
- b. Qualified Applicants for MCO (PWTD) Answer No

There were no PWD or PWTD hired in FY 2018 in the mission critical occupations. However, after adjusting for the population that did not identify their disability status (66% of all internal applicants), the differences in participation rates among the qualified internal applicants were not statistically significant given the number of applicants received in FY 2018.

4. Using the qualified applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among employees promoted to any of the mission- critical occupations (MCO)? If “yes”, please describe the triggers below. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

- a. Promotions for MCO (PWD) Answer No
- b. Promotions for MCO (PWTD) Answer No

There were no PWD or PWTD hired in FY 2018 in the mission critical occupations. However, after adjusting for the population that did not identify their disability status (66% of all internal applicants), the differences in inclusion rates among the qualified internal applicants were not statistically significant given the number of position filled in FY 2018.

Section V: Plan to Ensure Advancement Opportunities for Employees with Disabilities

Pursuant to 29 C.F.R. §1614.203(d)(1)(iii), agencies are required to provide sufficient advancement opportunities for employees with disabilities. Such activities might include specialized training and mentoring programs, career development opportunities, awards programs, promotions, and similar programs that address advancement. In this section, agencies should identify, and provide data on programs designed to ensure advancement opportunities for employees with disabilities.

A. ADVANCEMENT PROGRAM PLAN

Describe the agency’s plan to ensure PWD, including PWTD, have sufficient opportunities for advancement.

To ensure that people with disabilities can access all learning opportunities, the CFTC will process all requests for reasonable accommodations regarding training appropriately and will ensure that trainings disseminated through its Learning Management System are compliant with Section 508 of the Rehabilitation Act. Though opportunities for training and development programs do not exclude PWD or PWTD and all employees are afforded the same opportunities for advancement as appropriate, the CFTC will work to further develop a comprehensive plan to ensure advancement opportunities for PWD. The plan will include the use of details and job assignments as well as mentoring to advance PWD.

B. CAREER DEVELOPMENT OPPORTUNITES

1. Please describe the career development opportunities that the agency provides to its employees.

Implementing a new Learning Management System (LMS), the CTFC was uniquely equipped to address the regulatory and mission-critical education and development needs of its employees throughout FY 2018. The Commission offered a number of regulatory learning engagements that were delivered through eLearning training sessions. The Commission continued to offer Continued Legal Educations (CLE) and Continued Professional Education (CPE) training access to all employees. These courses afford staff with relevant information in: Accounting, Auditing, Dodd-Frank legislation, Swaps, Derivatives, Financial Market essentials, Project Management, Financial Management and ethics. Using blended learning techniques, CFTC staff participated in mission-related seminars available via in-person training, forums, seminars, live webcasts, audio CD’s and DVDs, MP3s, course handbooks and on-demand learning. This training opportunity is offered to all qualified employees, including persons with disabilities. The CFTC goes to law schools and colleges and successfully recruited 43 unpaid (voluntary) interns. Although these interns did not self-identify, HR estimates that over 50% of the participants were woman and/or minority, with at least 2 (4.7%) having a targeted disability. CFTC trained these interns on the transition from being an Intern to federal employee and provided training on the OPM hiring authorities for internship programs: including the Pathways Program, Student Volunteer Program, Unpaid Intern Program and Disability Employment. Additionally, the CFTC utilizes competitive and non-competitive detail assignments both internally and with other agencies as opportunities for advancement.

2. In the table below, please provide the data for career development opportunities that require competition and/or supervisory recommendation/ approval to participate.

Career Development Opportunities	Total Participants		PWD		PWTD	
	Applicants (#)	Selectees (#)	Applicants (%)	Selectees (%)	Applicants (%)	Selectees (%)
Internship Programs	0	0	0	0	0	0
Fellowship Programs	0	0	0	0	0	0
Mentoring Programs	0	0	0	0	0	0
Coaching Programs	0	0	0	0	0	0
Training Programs	0	0	0	0	0	0
Detail Programs	0	0	0	0	0	0
Other Career Development Programs	0	0	0	0	0	0

- 3.

Do triggers exist for PWD among the applicants and/or selectees for any of the career development programs? (The appropriate benchmarks are the relevant applicant pool for the applicants and the applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

- a. Applicants (PWD) Answer N/A
- b. Selections (PWD) Answer N/A

No triggers were identified as CFTC had limited funds for career development programs in FY 2018. The agency will plan to implement a system for collecting data for career development applications.

4. Do triggers exist for PWTD among the applicants and/or selectees for any of the career development programs? (The appropriate benchmarks are the relevant applicant pool for the applicants and the applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

- a. Applicants (PWTD) Answer N/A
- b. Selections (PWTD) Answer N/A

No triggers were identified as CFTC had limited funds for career development programs in FY 2018. The agency will plan to implement a system for collecting data for career development applications.

C. AWARDS

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

- a. Awards, Bonuses, & Incentives (PWD) Answer No
- b. Awards, Bonuses, & Incentives (PWTD) Answer No

The differences in awards for PWD and PWTD were not significantly different from employees that did not identify their disability status and also not statistically different from employees with no disability.

Time-Off Awards	Total (#)	Reportable Disability %	Without Reportable Disability %	Targeted Disability %	Without Targeted Disability %
Time-Off Awards: 1-9 hours : Total Time-Off Awards Given	107	8.41	89.72	1.87	6.54
Time-Off Awards: 9+ hours : Total Time-Off Awards Given	299	6.35	89.63	0.33	6.02

Cash Awards	Total (#)	Reportable Disability %	Without Reportable Disability %	Targeted Disability %	Without Targeted Disability %
Cash Awards: \$100 - \$500: Total Cash Awards Given	0	0.00	0.00	0.00	0.00
Cash Awards: \$501+: Total Cash Awards Given	4	25.00	75.00	25.00	0.00

2. Using the inclusion rate as the benchmark, does your agency have a trigger involving PWD and/or PWTD for quality step increases or performance- based pay increases? If “yes”, please describe the trigger(s) in the text box.

- a. Pay Increases (PWD) Answer No
- b. Pay Increases (PWTD) Answer No

The CFTC did not award QSI's in FY 2018.

Other Awards	Total (#)	Reportable Disability %	Without Reportable Disability %	Targeted Disability %	Without Targeted Disability %
Quality Step Increases (QSI): Total QSIs Awarded	0	0.00	0.00	0.00	0.00
Performance Based Pay Increase	0	0.00	0.00	0.00	0.00

3. If the agency has other types of employee recognition programs, are PWD and/or PWTD recognized disproportionately less than employees without disabilities? (The appropriate benchmark is the inclusion rate.) If “yes”, describe the employee recognition program and relevant data in the text box.

- a. Other Types of Recognition (PWD) Answer N/A
- b. Other Types of Recognition (PWTD) Answer N/A

D. PROMOTIONS

1. Does your agency have a trigger involving PWD among the qualified internal applicants and/or selectees for promotions to the senior grade levels? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

- a. SES
 - i. Qualified Internal Applicants (PWD) Answer No
 - ii. Internal Selections (PWD) Answer No
- b. Grade GS-15
 - i. Qualified Internal Applicants (PWD) Answer No
 - ii. Internal Selections (PWD) Answer No
- c. Grade GS-14
 - i. Qualified Internal Applicants (PWD) Answer No
 - ii. Internal Selections (PWD) Answer No
- d. Grade GS-13
 - i. Qualified Internal Applicants (PWD) Answer No
 - ii. Internal Selections (PWD) Answer No

Although some difference in the selection rate of PWD was observed, due to the limited hiring, the observed differences in selection rates were not statistically significant.

2. Does your agency have a trigger involving PWTD among the qualified internal applicants and/or selectees for promotions to the senior grade levels? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

- a. SES
 - i. Qualified Internal Applicants (PWTD) Answer No
 - ii. Internal Selections (PWTD) Answer No
- b. Grade GS-15
 - i. Qualified Internal Applicants (PWTD) Answer No
 - ii. Internal Selections (PWTD) Answer No
- c. Grade GS-14
 - i. Qualified Internal Applicants (PWTD) Answer No
 - ii. Internal Selections (PWTD) Answer No
- d. Grade GS-13
 - i. Qualified Internal Applicants (PWTD) Answer No
 - ii. Internal Selections (PWTD) Answer No

Although some difference in the selection rate of PWTD was observed, due to the limited hiring, the observed differences in selection rates were not statistically significant.

3. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWD among the new hires to the senior grade levels? For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.
- a. New Hires to SES (PWD) Answer No
 - b. New Hires to GS-15 (PWD) Answer No
 - c. New Hires to GS-14 (PWD) Answer No
 - d. New Hires to GS-13 (PWD) Answer No

CFTC did not have hires at grades CT-16 and above in FY 2018. The differences observed in CT-13, CT-14 and CT-15 selection rates for PWD were not statistically significantly different from the expected rates.

4. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWTD among the new hires to the senior grade levels? For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.
- a. New Hires to SES (PWTD) Answer No
 - b. New Hires to GS-15 (PWTD) Answer No
 - c. New Hires to GS-14 (PWTD) Answer No
 - d. New Hires to GS-13 (PWTD) Answer No

CFTC did not have hires at grades CT-16 and above in FY 2018. Due to limited hiring, the differences observed in CT-13, CT-14

and CT-15 selection rates for PWTB were not statistically significantly different from the expected rates.

5. Does your agency have a trigger involving PWD among the qualified internal applicants and/or selectees for promotions to supervisory positions? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. Executives

- i. Qualified Internal Applicants (PWD) Answer No
- ii. Internal Selections (PWD) Answer No

b. Managers

- i. Qualified Internal Applicants (PWD) Answer No
- ii. Internal Selections (PWD) Answer No

c. Supervisors

- i. Qualified Internal Applicants (PWD) Answer No
- ii. Internal Selections (PWD) Answer No

Due to limited promotions to supervisory positions, the differences in inclusion rates observed for PWD were not statistically significantly different from the expected rates.

6. Does your agency have a trigger involving PWTB among the qualified internal applicants and/or selectees for promotions to supervisory positions? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. Executives

- i. Qualified Internal Applicants (PWTB) Answer No
- ii. Internal Selections (PWTB) Answer No

b. Managers

- i. Qualified Internal Applicants (PWTB) Answer No
- ii. Internal Selections (PWTB) Answer No

c. Supervisors

- i. Qualified Internal Applicants (PWTB) Answer No
- ii. Internal Selections (PWTB) Answer No

Due to limited promotions to supervisory positions, the differences in inclusion rates observed for PWTB were not statistically significantly different from the expected rates.

7. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWD among the selectees for new hires to supervisory positions? If “yes”, describe the trigger(s) in the text box. Select “n/a” if the applicant data is

not available for your agency, and describe your plan to provide the data in the text box.

- a. New Hires for Executives (PWD) Answer No
- b. New Hires for Managers (PWD) Answer No
- c. New Hires for Supervisors (PWD) Answer No

Due to limited hiring to supervisory positions, the differences in inclusion rates observed for PWD were not statistically significantly different from the expected rates.

8. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWTD among the selectees for new hires to supervisory positions? If “yes”, describe the trigger(s) in the text box. Select “n/a” if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

- a. New Hires for Executives (PWTD) Answer No
- b. New Hires for Managers (PWTD) Answer No
- c. New Hires for Supervisors (PWTD) Answer No

Due to limited hiring to supervisory positions, the differences in inclusion rates observed for PWD were not statistically significantly different from the expected rates.

Section VI: Plan to Improve Retention of Persons with Disabilities

To be model employer for persons with disabilities, agencies must have policies and programs in place to retain employees with disabilities. In this section, agencies should: (1) analyze workforce separation data to identify barriers retaining employees with disabilities; (2) describe efforts to ensure accessibility of technology and facilities; and (3) provide information on the reasonable accommodation program and workplace assistance services.

A. VOLUNTARY AND INVOLUNTARY SEPARATIONS

1. In this reporting period, did the agency convert all eligible Schedule A employees with a disability into the competitive service after two years of satisfactory service (5 C.F.R. § 213.3102(u)(6)(i))? If “no”, please explain why the agency did not convert all eligible Schedule A employees.

Answer N/A

No employees have been eligible for conversion during this reporting period. Any employees that are eligible are converted as appropriate.

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

- a. Voluntary Separations (PWD) Answer No
- b. Involuntary Separations (PWD) Answer No

The separation rates of PWD were not statistically different from the separation rates for individuals with no disability and individuals that did not identify their disability status.

Separations	Total #	Reportable Disabilities %	Without Reportable Disabilities %
Permenant Workforce	669	3.89	96.11

Seperations	Total #	Reportable Disabilities %	Without Reportable Disabilities %
Total Separations	26	7.69	92.31
Voluntary Separations	26	7.69	92.31
Involuntary Separations	0	0.00	0.00

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

- a. Voluntary Separations (PWTD) Answer No
- b. Involuntary Separations (PWTD) Answer No

The separation rates of PWTD were not statistically different from the separation rates for individuals with no disability and individuals that did not identify their disability status.

Seperations	Total #	Targeted Disabilities %	Without Targeted Disabilities %
Permenant Workforce	669	0.45	99.55
Total Separations	26	3.85	96.15
Voluntary Separations	26	3.85	96.15
Involuntary Separations	0	0.00	0.00

4. If a trigger exists involving the separation rate of PWD and/or PWTD, please explain why they left the agency using exit interview results and other data sources.

B. ACCESSIBILITY OF TECHNOLOGY AND FACILITIES

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

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

<https://www.cftc.gov/WebPolicy/EEONoFearAct/index.htm>

2. Please provide the internet address on the agency’s public website for its notice explaining employees’ and applicants’ rights under the Architectural Barriers Act, including a description of how to file a complaint.

<https://www.cftc.gov/WebPolicy/EEONoFearAct/index.htm>

3. Describe any programs, policies, or practices that the agency has undertaken, or plans on undertaking over the next fiscal year, designed to improve accessibility of agency facilities and/or technology.

Facilities are up to accessibility requirements in all Offices: Washington, DC; New York, NY; Chicago, IL; Kansas City, MO

C. REASONABLE ACCOMMODATION PROGRAM

Pursuant to 29 C.F.R. § 1614.203(d)(3), agencies must adopt, post on their public website, and make available to all job applicants and employees, reasonable accommodation procedures.

1. Please provide the average time frame for processing initial requests for reasonable accommodations during the reporting period. (Please do not include previously approved requests with repetitive accommodations, such as interpreting services.)

The average time frame for processing initial requests for reasonable accommodation during the reporting period is seven (7) business days.

2. Describe the effectiveness of the policies, procedures, or practices to implement the agency's reasonable accommodation program. Some examples of an effective program include timely processing requests, timely providing approved accommodations, conducting training for managers and supervisors, and monitoring accommodation requests for trends.

CFTC has consistently provided responses to reasonable accommodation requests, both approved and not approved. Managers and supervisors have been trained on reasonable accommodation responsibilities, including the process.

D. PERSONAL ASSISTANCE SERVICES ALLOWING EMPLOYEES TO PARTICIPATE IN THE WORKPLACE

Pursuant to 29 CFR §1614.203(d)(5), federal agencies, as an aspect of affirmative action, are required to provide personal assistance services (PAS) to employees who need them because of a targeted disability, unless doing so would impose an undue hardship on the agency.

Describe the effectiveness of the policies, procedures, or practices to implement the PAS requirement. Some examples of an effective program include timely processing requests for PAS, timely providing approved services, conducting training for managers and supervisors, and monitoring PAS requests for trends.

One of the strengths of the CFTC's personal assistance services procedures is that they are integrated into the CFTC's reasonable accommodation procedures to ensure consistency and efficiency. The CFTC did not receive any requests for Personal Assistance Services in FY 2018, but will continue to evaluate the effectiveness of its procedures in FY 2019 and FY 2020.

Section VII: EEO Complaint and Findings Data

A. EEO COMPLAINT DATA INVOLVING HARASSMENT

1. During the last fiscal year, did a higher percentage of PWD file a formal EEO complaint alleging harassment, as compared to the governmentwide average?

Answer No

2. During the last fiscal year, did any complaints alleging harassment based on disability status result in a finding of discrimination or a settlement agreement?

Answer No

3. If the agency had one or more findings of discrimination alleging harassment based on disability status during the last fiscal year, please describe the corrective measures taken by the agency.

CFTC did not have any findings of discrimination in FY 2018

B. EEO COMPLAINT DATA INVOLVING REASONABLE ACCOMMODATION

1. During the last fiscal year, did a higher percentage of PWD file a formal EEO complaint alleging failure to provide a reasonable accommodation, as compared to the government-wide average?

Answer No

2. During the last fiscal year, did any complaints alleging failure to provide reasonable accommodation result in a finding of discrimination or a settlement agreement?

Answer No

3. If the agency had one or more findings of discrimination involving the failure to provide a reasonable accommodation during the last fiscal year, please describe the corrective measures taken by the agency.

There are lower than expected PWD and PWTD that applied for the few positions filled in FY 2018. This is due to positions being filled at the CFTC having lower proportion of individuals with disabilities. Although the American Community Survey uses a different definition for 'Disabled,' it reports approximately 12% of the overall population as being 'Disabled.' In contrast, the same survey reports only 4% of the population in the major occupational series at CFTC as being 'Disabled'. While the underrepresentation of PWD and PWTD in the CFTC major occupational series may be indicative of a barrier, this barrier is not due to CFTC's policies, procedures or practices and is a barrier outside of the Commission's control. Although selection rates of qualified PWD applicants were lower than expected, this difference was not statistically significant. This will be monitored in FY19 with attention focused on fully utilizing schedule A hiring authority and ensuring broad outreach to cast the widest net possible. The CFTC will use additional resources to assist its efforts, including the Federal Exchange on Employment & Disability, an interagency group managed through the Department of Labor's Office of Disability Employment Policy (ODEP), and its contactor, the Employer Assistance and Resource Network on Disability Inclusion (EARN).

Section VIII: Identification and Removal of Barriers

Element D of MD-715 requires agencies to conduct a barrier analysis when a trigger suggests that a policy, procedure, or practice may be impeding the employment opportunities of a protected EEO group.

1. Has the agency identified any barriers (policies, procedures, and/or practices) that affect employment opportunities for PWD and/or PWTD?

Answer Yes

2. Has the agency established a plan to correct the barrier(s) involving PWD and/or PWTD?

Answer Yes

3. Identify each trigger and plan to remove the barrier(s), including the identified barrier(s), objective(s), responsible official(s), planned activities, and, where applicable, accomplishments

<p>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</p> <p>Provide a brief narrative describing the condition at issue.</p> <p>How was the condition recognized as a potential barrier?</p>	<p>The primary trigger identified is that, like most federal agencies, the CFTC has not met the 12% and 2% workforce goals for either the lower or higher grade clusters.</p>							
<p>STATEMENT OF BARRIER GROUPS:</p>	<p><i>Barrier Group</i></p> <p>People with Disabilities</p> <p>People with Targeted Disabilities</p>							
<p>BARRIER ANALYSIS:</p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>								
<p>STATEMENT OF IDENTIFIED BARRIER:</p> <p>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>1)The 2018 hiring freeze; 2) Underrepresentation of PWD and PWTD in the CFTC’s major occupational series in the relevant civilian labor force indicates a barrier in the agency’s applicant pipeline. Data analysis found that a lower than expected number of PWD and PWTD applied for the few positions filled in FY 2018. Although the American Community Survey uses a different definition for ‘Disabled,’ it reports approximately 12% of the overall population as ‘Disabled.’ In contrast, the same survey reports only 4% of the population in the major occupational series at CFTC as ‘Disabled.’ Selection rates of qualified PWD applicants were lower than expected, but this difference was not statistically significant; 3) Attitudinal barriers may lead to underreporting of the number of PWD. Although none of the 16 candidates self-identified, one candidate was hired as a 30% or more disabled veteran, indicating that the CFTC is not immune to social biases that that lead to fear of stigmatization.</p>							
<p>Objective</p>	<p>Increase the number of PWD and PWTD employed by the CFTC.</p> <table border="1" data-bbox="438 976 1513 1123"> <tr> <td>Date Objective Initiated</td> <td>Aug 7, 2019</td> </tr> <tr> <td>Target Date For Completion Of Objective</td> <td>Sep 20, 2021</td> </tr> </table>				Date Objective Initiated	Aug 7, 2019	Target Date For Completion Of Objective	Sep 20, 2021
Date Objective Initiated	Aug 7, 2019							
Target Date For Completion Of Objective	Sep 20, 2021							
<p>Responsible Officials</p>	<p>Anthony Thompson Executive Director</p>							
<p>Target Date (mm/dd/yyyy)</p>	<p>Planned Activities</p>	<p>Sufficient Staffing & Funding (Yes or No)</p>	<p>Modified Date (mm/dd/yyyy)</p>	<p>Completion Date (mm/dd/yyyy)</p>				
<p>09/30/2019</p>	<p>Research disability organizations to target for recruitment.</p>	<p>Yes</p>						
<p>09/30/2020</p>	<p>Implement a disability recruitment campaign.</p>	<p>Yes</p>						
<p>09/30/2020</p>	<p>Resurvey the workforce’s disability status.</p>	<p>Yes</p>						
<p>09/30/2020</p>	<p>Create and conduct disability inclusion training.</p>	<p>Yes</p>						
<p>Fiscal Year</p>	<p>Accomplishments</p>							
<p>2018</p>	<p>The CFTC’s OMWI spearheaded a training on anxiety and depression in the workplace in order to address stigmas regarding those conditions and to create a more inclusive environment.</p>							

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

N/A

5. For the planned activities that were completed, please describe the actual impact of those activities toward eliminating the barrier(s).

N/A

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

N/A