

<b>EEOC FORM 715-01 PART A - D</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, 2016 to September 30, 2017</b>		
<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		691	
	2. Enter total number of temporary employees		14	
	3. Enter total number employees paid from non-appropriated funds		0	
	<b>4. TOTAL EMPLOYMENT [add lines B 1 through 3]</b>		<b>705</b>	

**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, 2016 to September 30, 2017**

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

1. Agency Head	Chairman, CFTC J. Christopher Giancarlo
2. Agency Head Designee	
3. EEO Director	Director, Office of Minority and Women Inclusion (OMWI) Sarah Summerville
4. Affirmative Employment Manager	Diversity and Inclusion Specialist Derrick Wilson
5. Complaint Processing Manager	Senior Equal Employment Specialist Sarah Summerville
6. Other EEO Staff	
7. MD-715 Preparer	Detaillee: Diversity Program Manager John Szemraj
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

Commodity Futures Trading Commission

For period covering October 1, 2016 to September 30, 2017

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

Commodity Futures Trading Commission

For period covering October 1, 2016 to September 30, 2017

### 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

##### A. Demonstrated Commitment from Agency Leadership

With the continued support of the CFTC Chairman, the partnership between the Office of Minority and Women Inclusion (OMWI) and the Human Resources Branch (HRB) has implemented a coordinated-approach to workforce diversification, focusing on minority internship outreach and recruitment. OMWI and HRB worked collaboratively to develop a targeted recruitment strategy for Interns with a particular emphasis on enhancing diversity and to help the Commission address under-representation within its workforce. We have taken an integrated approach to identify opportunities to improve the recruitment/outreach, hiring, development and retention of women, minorities and individuals with disabilities.

The HRB reported continued progress on 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. During FY2017, negotiations with the National Treasury Employee Union (NTEU) continued and once these policies/procedures are edited and finalized, the CFTC HRB plans to conduct training and implement the revised policies.

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

The CFTC key diversity measure in its 5-year Strategic Plan, Objective 5.1: A High-Performing, Diverse and Engaged Workforce, commits the organization to consistently attract, hire, develop, and retain a high-performing, diverse, and engaged workforce. Improved employee engagement has resulted in increased awareness of inclusion and participation in our diversity programs. We have increased the number of participants in our special events programs and increased our number of affinity groups by chartering a new Women At Work affinity group. Through these efforts the CFTC OMWI has promoted employee engagement, increased awareness of Special Emphasis Programs and Employee Resource Groups.

##### C. Management and Program Accountability

Our management and program accountability has been strong. OMWI continued collaboration with key internal stakeholders to design and implement outreach strategy targeting minority institutions to improve diversity of our internship pool; we established a Diversity Council; we issued EEO and Anti-Harassment policy statements within 6-9 months of the Chairman's installation; and partnered with the EEOC to provide disability/accommodations training to supervisory staff in the fall of 2016.

##### D. Proactive Prevention of Unlawful Discrimination

In early FY17, the CFTC OMWI established a Diversity Council and coordinated their quarterly meetings. The Council includes representatives from the Divisions, Regional Offices, each of the 5 affinity groups, and the National Treasury Employee Union (NTEU). The Council provided OMWI with stakeholder feedback regarding diversity and inclusion programs and requested a HRB presentation regarding CFTC hiring process. We designed and initiated a focus group study to assist the Financial Management Branch enhance its organizational culture in response to declining EVS scores. Employee discussion groups concluded in January and a proposal was submitted to explore trends and establish a corporate-level approach to improving EVS scores, particularly the NEW IQ "Fairness" index.

##### E. Efficiency

The CFTC Chairman ensures that OMWI has sufficient staffing, funding, and authority to continually provide effective tools and systems that assist the evaluation of the EEO process and diversity and inclusion initiatives. OMWI continues to progress in identifying triggers and eliminating barriers to equal employment opportunities. During FY17, OMWI continued to comply with, and in most cases exceed the time frames in accordance with EEOC regulations for processing EEO complaints of employment discrimination. From initial contacts, to counseling, to processing formal complaints, to the fair and effective use of ADR, the OMWI ensured the productive and efficient use of the EEO process.

## F. Responsiveness and Legal Compliance

The CFTC had four cases at the hearing phase during FY17. Of these, one was settled and three remained before an EEOC Administrative Judge as of 9/30/2017. The CFTC has worked diligently to participate and respond to EEOC AJ requests for information in a timely manner.

### III BARRIERS ADDRESSED IN FY17

The CFTC permanent workforce declined by -2.54% between FY16 and FY17. During this time, the participation rate of African Americans (17%) and Asian Americans (10%) remained unchanged. The participation rate of women (42.7%) and Hispanics (2.6%) slightly decreased. Among these groups, the representation of Hispanics (2.6%) was lower than the Civilian Labor Force (CLF) of 10%, and the representation of women (42.7%) was also lower than the CLF (48%). The CFTC women's participation rate is comparable with the overall Federal rate.

There continues to be low participation for American Indian/Alaska Native (AI/AN) employees across CFTC – .14% in FY17, the same percentage as in FY16. The CFTC OMWI continued an outreach effort to American Indian/Alaska Native communities by advertising vacancies in the Journal of American Indian Higher Education. OMWI will continue to monitor AI/AN hiring activity, along with other minority groups, women and people with disabilities during FY18.

### IV ACCOMPLISHMENTS IN FY17

A Minority Internship Outreach Program commenced and established an outreach framework based on business managers' requirements, and then began outreach efforts, including virtual career fairs with American, Catholic, Howard, and Gallaudet Universities. The program targeted minority organizations within each university's college of business and law schools. OMWI recruited 16 students, referred 14 to various Divisions, 12 students were interviewed, and 11 were selected.

The CFTC OMWI distributed 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 regarding diversity and inclusion.

OMWI partnered with Gallaudet University to host a CFTC site visit for 20 students. Division managers and staff held discussions with the students on career opportunities at the CFTC. This can lead to future internship opportunities for students and gain exposure to the mission of the CFTC.

With regard to women, the CFTC OMWI and the Women at Work (WAW) affinity group sponsored a Thrift Savings Plan (TSP) training course to raise awareness of how this financial benefit works. The course covered all aspects of TSP participation organization and held a panel on career advancement in the financial industry. Also, the CFTC Training Office continued to promote its executive coaching program among women in positions CT14 and higher, potentially assisting to increase the participation rate of women in the higher ranks of the Agency.

### V KEY PRIORITIES IN FY18

Key EEO, diversity and inclusion priorities in FY18 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
- Include Diversity and Inclusion recognition within the Chairman's Honorary Awards
- Continue to conduct barrier analysis for women in senior-level positions
- Provide disability/reasonable accommodation training for managers and supervisors
- Strengthen outreach to people with disabilities, women, and minority partnership organizations by promoting employment and internship opportunities
- Complete reasonable accommodation and anti-harassment policies, and implement accordingly.

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

I, Sarah Summerville, Acting Director, Office of Minority and Women Inclusion/0260/CT-15 am the

(Insert name above)

(Insert official  
title/series/grade above)

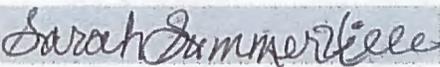
Principal EEO Director/Official for Commodity Futures Trading Commission

(Insert Agency/Component Name above)

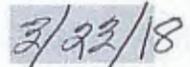
The agency has conducted an annual self-assessment of Section 717 and Section 501 programs against the essential elements as prescribed by EEO MD-715. If an essential element was not fully compliant with the standards of EEO MD-715, a further evaluation was conducted and, as appropriate, EEO Plans for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

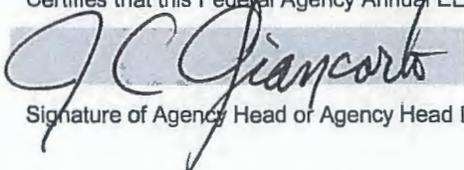
The agency has also analyzed its work force profiles and conducted barrier analyses aimed at detecting whether any management or personnel policy, procedure or practice is operating to disadvantage any group based on race, national origin, gender or disability. EEO Plans to Eliminate Identified Barriers, 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.

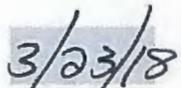


Signature of Principal EEO Director/Official  
Certifies that this Federal Agency Annual EEO Program Status Report is in compliance with EEO MD-715.

  
Date



Signature of Agency Head or Agency Head Designee

  
Date

EEOC FORM 715-01 PART G		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT			
<b>Essential Element A: DEMONSTRATED COMMITMENT FROM AGENCY LEADERSHIP</b> 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, 2016 to September 30, 2017			
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>08/03/2017</u> . The EEO policy statement was issued on <u>09/22/2017</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			

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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			

**Essential Element B: INTEGRATION OF EEO INTO THE AGENCY'S STRATEGIC MISSION**

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.

Commodity Futures Trading Commission		For period covering October 1, 2016 to September 30, 2017			
Compliance Indicator	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.	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	
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	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.	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	
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			

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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, 2016 to September 30, 2017			
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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For period covering October 1, 2016 to September 30, 2017

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
		Yes	No	N/A	
Measures					
Are regular (monthly/quarterly/semi-annually) EEO updates provided to management/supervisory officials by EEO program officials?					
		X			
Do EEO program officials coordinate the development and implementation of EEO Plans with all appropriate agency managers to include Agency Counsel, Human Resource Officials, Finance, and the Chief information Officer?					
		X			
Compliance Indicator	The Human Resources Director and the EEO Director meet regularly to assess whether personnel programs, policies, and procedures are in conformity with instructions contained in EEOC management directives. [see 29 CFR § 1614.102(b)(3)]	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	N/A	
Measures					
Have time-tables or schedules been established for the agency to review its Merit Promotion Program Policy and Procedures for systemic barriers that may be impeding full participation in promotion opportunities by all groups?					
		X			
Have time-tables or schedules been established for the agency to review its Employee Recognition Awards Program and Procedures for systemic barriers that may be impeding full participation in the program by all groups?					
		X			
Have time-tables or schedules been established for the agency to review its Employee Development/Training Programs for systemic barriers that may be impeding full participation in training opportunities by all groups?					
		X			
Compliance Indicator	When findings of discrimination are made, the agency explores whether or not disciplinary actions should be taken.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	N/A	
Measures					
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

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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		

**Essential Element D: PROACTIVE PREVENTION**

Requires that the agency head makes early efforts to prevent discriminatory actions and eliminate barriers to equal employment opportunity in the workplace.

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Compliance Indicator	Measures	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	N/A	
	Analyses to identify and remove unnecessary barriers to employment are conducted throughout the year.				
	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	Measures	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	N/A	
	The use of Alternative Dispute Resolution (ADR) is encouraged by senior management.				
	Are all employees encouraged to use ADR?	X			
	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.

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**Essential Element E: EFFICIENCY**

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.

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<b>Compliance Indicator</b>	The agency has sufficient staffing, funding, and authority to achieve the elimination of identified barriers.	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 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>	The agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the agency's EEO Programs.	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 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			
<b>Compliance Indicator</b>		Measure has been met			

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	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.				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			
Does the agency discrimination complaint process ensure a neutral adjudication function?		X			
If applicable, are processing time frames incorporated for the legal counsel's sufficiency review for timely processing of complaints?		X			

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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		
If so, please identify the employees by title in the comments section, and state how performance is measured.					
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:					

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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

EEOC FORM 715-01 PART H-1		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
Commodity Futures Trading Commission		For period covering October 1, 2016 to September 30, 2017	
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	Have sufficient resource been provided to conduct effective audits of field facilities' efforts to achieve a model EEO Program and eliminnae discrimination under Title VII and the Rehabilitation Act?		
OBJECTIVE:	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		
RESPONSIBLE OFFICIAL:	OMWI Director		
DATE OBJECTIVE INITIATED:	01/01/2016		
TARGET DATE FOR COMPLETION OF OBJECTIVE:	09/29/2017		
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:			
Reassessed the need for developing procedure for conducting effective audits of field facilities.			
TARGET DATE: 01/22/2018			
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE			
OMWI has reassessed this measure with Essential element E and had concluded that sufficient resources are being provided to conduct effective field audits of field facilities' efforts to achieve a model EEO program and eliminate discrimination under Title VII and the Rehabilitation Act. Field offices participate in Special Emphasis Programs and Affiinity Groups. Also, there have been no contacts, counseling, or formal complaints filed fro the Agency's thre field facilities (New York, NY; Chicago, IL; Kansas City, MO).			
EEOC FORM 715-01 PART H-2		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
Commodity Futures Trading Commission		For period covering October 1, 2016 to September 30, 2017	
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	E.2: The Agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the Agency's EEO Programs.		
OBJECTIVE:	Automate current manual process by acquiring complaint management software to track cases and conduct trend analyses.		
RESPONSIBLE OFFICIAL:	OMWI Director		
DATE OBJECTIVE INITIATED:	07/30/12		
TARGET DATE FOR COMPLETION OF OBJECTIVE:	09/30/2020		
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:			
Award contract.			
TARGET DATE: 05/31/2020			

**REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE**

While the CFTC is committed to procuring an automated complaints tracking system, funds have been flat for the past several fiscal years. As the agency awaits appropriate resources for a tracking system, EEO cases are tracked manually. Status of complaints, length of time elapsed at each stage, issue and bases identification as well as other pertinent information are recorded and monitored. Monthly status reports that track case activities are provided to the Chairman.

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, 2016 to September 30, 2017	
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, 33% in FY16 and FY17), 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 through FY17.	
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	
DATE OBJECTIVE INITIATED:		08/01/2016	
TARGET DATE FOR COMPLETION OF OBJECTIVE:		09/28/2018	
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 Thompson	
DATE OBJECTIVE INITIATED:		10/01/2015	
TARGET DATE FOR COMPLETION OF OBJECTIVE:		09/28/2018	
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.		09/28/2018	
Conduct unconscious bias briefing for executives and training for employees		09/28/2018	
Conduct barrier analysis using Table A11, Internal Selections for Senior-Level positions using FY16 and FY17 data.		09/28/2018	
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE			

After several years of partnering with the Women in Derivatives (WIND) organization CFTC commenced and chartered its own group in April 2017 - Association of Women at Work (WAW). WAW will assist the Agency with promoting and fostering a diverse and inclusive workplace and will provide mentoring and networking opportunities for women. Unconscious Bias training options have been assessed and a session is scheduled for senior managers and executives during FY2018.

# MD-715 – Part J

## Special Program 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 C.F.R. § 1614.203(d)(7)) require agencies to establish specific numerical goals for increasing the participation of persons with reportable and 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 CT-1 to CT-10 employees. Of the 667 employees in the cluster of CT 11 and higher, 4% 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 CT-1 to CT-10 employees. Of the 667 employees in the cluster of CT 11 and higher, 0.6% are PWTD. Both clusters are below the 2% benchmark goal.

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

Given the fact that CFTC is a small agency (less than 1,000) numeric goals for hiring are not established per FY. However, HR Specialists provide and discuss the various and available hiring options to the hiring official.

## 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 DISABILITY PROGRAM

- 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

- 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 PWTB	0	1	0	Sarata Head, Employment Manager, Office of the Executive Director, Human Resources Branch, SHead@usgs.gov
Answering questions from the public about hiring authorities that take disability into account	0	1	0	Sarata Head, Employment Manager, Office of the Executive Director, Human Resources Branch, SHead@usgs.gov
Processing reasonable accommodation requests from applicants and employees	0	1	0	Lauren Colon, Chief, Workforce Relations, Office of the Executive Director, Human Resources Branch, LColon@cftc.gov
Section 508 Compliance	0	1	0	Kennet Ake, IT Specialist, Office of Data and Technology, Policy and Planning Branch, KAKE@cftc.gov
Architectural Barriers Act Compliance	0	0	0	No one assigned

Disability Program Task	# of FTE Staff by Employment Status			Responsible Official (Name, Title, Office, Email)
	Full Time	Part Time	Collateral Duty	
Special Emphasis Program for PWD and PWTD	0	1	0	Derrick Wilson, Diversity & Inclusion Specialist, Office of the Chairman, Office of Minority and Women Inclusion, 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(s) that disability program staff have received. If “no”, describe the training(s) planned for the upcoming year.

Answer: Yes

Online, OPM, and EEOC. HRB staff also attended career fair, information session on Veteran hiring.

## **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

## **Section III: 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 PWTD.

### **A. PLAN TO IDENTIFY JOB APPLICANTS WITH DISABILITIES**

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

Schedule A qualified applicants via State Vocational Rehabilitation Services and Veteran organizations. Also utilize Veteran hiring programs and attend local career fairs that focus on disability hiring.

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 PWTD for positions in the permanent workforce.

HR 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. Requires certification for appropriate disability resource  
2. Qualified schedule A and Veterans applicant information (certs) are given to hiring officials as part of the list of eligibles. 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 Veterans, 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.

Continue ongoing partnership with Gallaudet University which helps promote internships and post graduation employment.

## **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: Yes
  - b. New Hires for Permanent Workforce (PWTD)      Answer: Yes

No new hires for the permanent workforce included PWD or PWTD.

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.
  - a. New Hires for MCO (PWD)      Answer: Yes
  - b. New Hires for MCO (PWTD)      Answer: Yes

Disability data on the qualified applicant pool could not be obtained. However, it is almost certain that since no new hires selected included PWD or PWTD, the qualified applicant pool probably also did not include PWD or PWTD.

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.
  - a. Qualified Applicants for MCO (PWD)      Answer: Yes
  - b. Qualified Applicants for MCO (PWTD)      Answer: Yes

Disability data for the qualified internal applicant pool is currently not available.

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.
  - a. Promotions for MCO (PWD)      Answer: Yes
  - b. Promotions for MCO (PWTD)      Answer: Yes

Disability data for the qualified applicant among employees promoted to MCOs is currently not available. However, it is almost certain that a trigger exists since only 3 of the 59 (5.1%) internal promotions included PWD, and no PWTD.

## Section IV: 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.

Opportunities for training and development programs do not exclude PWD or PWTD. All employees are afforded the same opportunities for advancement as appropriate.

## B. CAREER DEVELOPMENT OPPORTUNITIES

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

Executive coaching, CFTC Professional Development training, CFTC Academy - which included Executive Leadership and Development. Other Professional Development resources include: SkillSoft courses, American Management Association, Ken Blanchard Solutions, Management Concepts, TED TALKS, and USDA Graduate School.

2. 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 applicants and the applicant pool for selectees.) If "yes", describe the trigger(s) in the text box.

a. Applicants (PWD)

Answer: No

b. Selections (PWD)

Answer: No

3. Do triggers exist for PWTD among the applicants and/or selectees for any of the career development programs identified? (The appropriate benchmarks are the relevant applicant pool for applicants and the applicant pool for selectees.) If "yes", describe the trigger(s) in the text box.

a. Applicants (PWTD)

Answer: No

b. Selections (PWTD)

Answer: No

## 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

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

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.

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

Insufficient data
-------------------

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.

a. SES

i. Qualified Internal Applicants (PWTD) Answer: Yes

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

Insufficient data

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.

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: Yes

d. New Hires to GS-13 (PWD) Answer: Yes

Insufficient data

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.

- |                              |            |
|------------------------------|------------|
| 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 |

Insufficient data

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.

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: Yes |

c. Supervisors

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

Insufficient data

6. Does your agency have a trigger involving PWTD 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.

a. Executives

i. Qualified Internal Applicants (PWTD) Answer: No

ii. Internal Selections (PWTD) Answer: No

b. Managers

i. Qualified Internal Applicants (PWTD) Answer: No

ii. Internal Selections (PWTD) Answer: No

c. Supervisors

i. Qualified Internal Applicants (PWTD) Answer: No

ii. Internal Selections (PWTD) Answer: No

Insufficient data

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.

a. New Hires for Executives (PWD) Answer: No

b. New Hires for Managers (PWD) Answer: No

c. New Hires for Supervisors (PWD) Answer: No

Insufficient data

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.

a. New Hires for Executives (PWTD) Answer: No

b. New Hires for Managers (PWTD) Answer: No

c. New Hires for Supervisors (PWTD) Answer: No

Insufficient data

## Section V: Plan to Improve Retention of Persons with Disabilities

To be a 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 personal 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

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

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

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.

no triggers exist

## B. ACCESSIBILITY OF TECHNOLOGY AND FACILITIES

Pursuant to 29 C.F.R. § 1614.203(d)(4), federal agencies are required to inform job 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.

www.cftc.gov

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.

www.cftc.gov

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.)

Average time frame is 5 to 10 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 training on Reasonable Accommodations responsibilities, including the process.

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

Pursuant to 29 C.F.R. § 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, timely providing approved services, conducting training for managers and supervisors, and monitoring PAS requests for trends.

N/A

## Section VI: 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 government-wide 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.

### 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: N/A

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: N/A

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.

## Section VII: 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.

Trigger		
Barrier(s)		
Objective(s)		
Responsible Official(s)		Performance Standards Address the Plan? (Yes or No)
Barrier Analysis Process Completed? (Yes or No)		Barrier(s) Identified? (Yes or No)
Sources of Data	Sources Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables		
Complaint Data (Trends)		
Grievance Data (Trends)		
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)		
Climate Assessment Survey (e.g., FEVS)		
Exit Interview Data		
Focus Groups		

Sources of Data		Sources Reviewed? (Yes or No)	Identify Information Collected		
Interviews					
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)					
Other (Please Describe)					
Target Date (mm/dd/yyyy)	Planned Activities	Sufficient Staffing & Funding (Yes or No)	Modified Date (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)	
Fiscal Year	Accomplishments				

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