



PENSION BENEFIT GUARANTY CORPORATION

Management Directive 715

FISCAL YEAR 2013



EEOC FORM 715-01 PART A - D	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT		
For period covering October 1, 2012 to September 30, 2013			
	1. Agency		1. Pension Benefit Guaranty Corporation
	1.a. 2 nd level reporting component		
	1.b. 3 rd level reporting component		
	1.c. 4 th level reporting component		
	2. Address		2. 1200 K Street, NW
	3. City, State, Zip Code		3. Washington, DC 20005
	4. CPDF Code	5. FIPS code(s)	4. BG00
PART B Total Employment	1. Enter total number of permanent full-time and part-time employees		1. 919
	2. Enter total number of temporary employees		2. 48
	3. Enter total number employees paid from non-appropriated funds		3. none
	4. TOTAL EMPLOYMENT [add lines B 1 through 3]		4. 967
	1. Head of Agency Official Title		1. Joshua Gotbaum, Agency Director
	2. Agency Head Designee		2. Alice Maroni, Chief Management Officer
	3. Principal EEO Director/Official Official Title/series/grade		3. Karen Margensey, Director Office of Equal Employment Opportunity GS-301/15
	4. Title VII Affirmative EEO Program Official		4. Lori J. Bledsoe, EEO Specialist
	5. Section 501 Affirmative Action Program Official		5. Lori J. Bledsoe, EEO Specialist
	6. Complaint Processing Program Managers		6. Dianne Wood, Attorney Advisor Craig Cassidy, EEO Specialist
	7. Other Responsible Staff		7. Cynthia Searles, EEO Specialist Cheryl Armstrong, EE Analyst Larisha Warner, EE Analyst Ruben Moreno, Reasonable Accommodation Coordinator(HRD) Donald Beasley, Selective Placement Coordinator (HRD)

EEOC FORM	U.S. Equal Employment Opportunity Commission		
PART D List of Subordinate Components Covered in This Report	Subordinate Component and Location (City/State)	CPDF and FIPS codes	

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

PART E – EXECUTIVE SUMMARY

Introduction:

Through its leadership and active support, the Pension Benefit Guaranty Corporation (PBGC or Agency) Management Team exercises its primary responsibility of implementing a results-oriented EEO program. PBGC's Office of Equal Employment Opportunity (OEEO) provides oversight, guidance and direction for the Agency's overall EEO program.

PBGC's notable progress in developing and maintaining an equitable work environment, its plans for enhancing the EEO program, and areas where the Agency needs to improve are delineated below.

Background:

PBGC protects the retirement incomes of more than 44 million American workers in more than 29,000 private-sector defined benefit pension plans. General tax revenues do not fund the Agency. PBGC collects insurance premiums from employers that sponsor insured pension plans, earns money from investments, and receives funds from pension plans it takes over.

The major occupations at PBGC are Auditor (Series 0511), General Attorney (Series 0905), Actuary (Series 1510), Information Technology Specialist (Series 2210), Accountant (Series 0510), Employee Benefit Law Specialist (Series 958), Financial Analyst (Series 1160), and Contract Specialist (Series 1102). These occupations represent a significant portion of the PBGC workforce, and affirmative employment and outreach efforts include collaborating with management on recruitment and retention in these major categories.

Results of the Agency's Annual Self-Assessment:

PBGC has conducted its annual self-assessment of the MD-715 "Essential Elements." FY 2013 efforts to move towards model EEO program status and the ultimate goal of a discrimination free work environment are highlighted in this report.

The annual MD-715 Management Directive Survey Tool was further refined in collaboration with the Strategic Planning and Evaluation Division. Of note, the FY 2013 assessment of PBGC's equal employment opportunity and affirmative employment programs revealed three areas of significant improvement from last year's survey:

1. Sixty (60%) percent of PBGC managers and supervisors responded to the FY 2013 survey, which was a 37% increase in participation from FY 2012;
2. Superior ratings of OEEO customer service increased from an average of 35% in FY 2012 to 68% in FY 2013; and
3. An increase from 62% to 100% in the number of managers/supervisors who reported they were able to "*resolve problems, disagreements and other conflicts in their work environment as they arose.*"

Essential Element A: Demonstrated Commitment from Agency Leadership

- The most recent MD-715 and NoFEAR Act Annual Reports are posted on internal and external websites
- Information about PBGC's EEO discrimination complaint program is readily available to employees on the Agency's internal website; EEO posters are prominently posted throughout PBGC offices
- Members of senior leadership actively sponsor one or more of PBGC's Affinity/Employee Resource Groups
- Agency managerial position descriptions incorporate support for EEO programs, affirmative employment and/or constructive resolution of conflicts
- Basic EEO training for all new PBGC employees is mandatory and was provided in every quarter of FY 2013
- EEO specialists conduct briefings in monthly new employee orientation sessions to provide an overview of the EEO program and Agency policies on equal employment opportunity and the prevention of workplace harassment
- Reasonable accommodation policy and procedures are readily available to employees on the Agency's internal and external websites and to applicants for employment
- The Human Resources Department (HRD) developed a fact sheet for the Agency's Prevention of Workplace Harassment Policy Statement, which was widely distributed to all managers and supervisors
 - In conjunction with the annual update of the Prevention of Workplace Harassment Policy Statement, the Agency's Chief Management Officer (CMO) sent a memorandum to all employees by email in August, 2013, and in September, 2013
- In FY 2013, reasonable accommodation training became mandatory for all supervisors and managers and was offered in April, May, July (twice), August (twice), and September, 2013
- A reasonable accommodation brochure is provided to all employees during their new employee orientation sessions
- A mandatory diversity and inclusion training module was included in the Agency's supervisory training curriculum for FY 2013
- Managers and supervisors are now required to take diversity and inclusion training (classroom or on-line) annually
- The CMO held Brown Bag lunches with managers and staff to promote discussion and obtain diverse perspectives on topics of interest

Essential Element B: Integration of EEO into the Agency's Strategic Mission

- The EEO Director met frequently with the Agency Head and/or senior leadership to discuss EEO matters, including: MD-715, Complaint process, EEO Policy Statement, Prevention of Workplace Harassment Policy Statement, and Agency Strategic Plan updates
- In FY 2013, the Chief Management Officer, the EEO Director, and the HRD Diversity and Inclusion Lead conducted Executive Listening Sessions with each member of the Agency's senior leadership team to introduce and obtain high level buy-in for critical EEO, diversity, and inclusion initiatives.

- In FY 2013, OEEO developed a Strategic Business Plan which supports and aligns with the Agency's five year Strategic Plan for FY 2014 – 2018. Goal 3 of the Agency's Strategic Plan underscores the need to maintain, train and retain a high performing multidisciplinary workforce. In support of this strategic goal, PBGC developed, conducted, delivered, and participated in the following initiatives:
 - Developed and implemented PBGC's first Hispanic Employee Resource Group (HOLA- Hispanic Organization for Leadership and Advancement), which is already actively assisting PBGC to address Hispanic recruitment and advancement at the Agency
 - Delivered customized training sessions to four Affinity/Employee Resource Groups
 - Conducted mandatory *Basic EEO* training for all new employees
 - Provided *Overview of MD-715* training to managers and supervisors
 - Provided *Barrier Analysis* training
 - Conducted *Introduction to Conflict Resolution* training
 - Delivered training sessions for managers and supervisors, including :
 - *Conflict Resolution in the Workplace*
 - *Basic EEO*
 - *Respect in the Workplace*
 - *What Not to Say*
 - *Grievances, HICs and EEO Complaints*
 - *Correcting and Investigating Workplace Harassment*
 - Delivered four "brown bag" sessions open to all employees, including:
 - *5 Generations at Work*
 - *The Respectful Communicator*
 - *Ouch that Stereotype Hurts*
 - *Gateways to Inclusion*
- PBGC mandatory No FEAR Act online refresher training was implemented and is now part of every new employee's required onboarding process
- Senior leadership actively supports the PBGC Affinity/Employee Resource Groups, including the Special Emphasis Programs
- The Agency integrated the Special Emphasis Program into its broader human capital efforts and partnered with local affinity group chapters to present educational and cultural programs open to all employees. FY 2013 Special Emphasis Program observances [with professional speakers and/or cultural/ethnic heritage presentations] included:
 - October – National Disability Employment Awareness Month
 - February – African American History Month
 - March – Women's History Month
 - May – Asian American & Pacific Islander History Month
 - June – National Caribbean American Heritage Month
 - June – Lesbian, Gay, Bisexual, and Transgender Pride Month
 - September – National Hispanic Heritage Month

Essential Element C: Management and Program Accountability

- Enhanced, constructive, collaborative departmental partnerships resulted in a measurably improved integration of equal employment opportunity, diversity, and inclusion into the

Agency's human capital and strategic operations, including continuation of the EEO/HRD Coordination Team.

- In FY 2012, the Agency initiated a contractor-led EEO barrier and trends analysis during which Agency workforce profiles, major occupations, grade level distributions, awards, training, separations, management and personnel policies, procedures, practices, employee input and feedback and complaints processing efficiency were all analyzed, and three challenges/barriers were identified:
 1. Leadership Commitment to Diversity and Inclusion was not apparent to employees;
 2. Performance based accountability was lacking; and
 3. Ineffective communication across differences
- The EEO/HRD Coordination Team collaborated monthly and by the close of FY 2013, successfully implemented the following action plans to address the three identified concerns:
 - Revised and finalized the Agency's first Diversity and Inclusion Strategic Plan, incorporating OPM's feedback, and posted the Plan on the Agency's Intranet Developed and obtained executive approval of a framework for establishing a D&I Council with substantial leadership involvement, including the Chief Management Officer as permanent Council Chair
 - Developed and obtained executive approval for enhanced GS Supervisory performance measures for equal opportunity, diversity, and inclusion, and a new agency-specific standard for SL employees that were implemented for the FY 2014 performance cycle.
- A series of communications-focused trainings was offered and made available to employees and managers throughout FY 2013 to address the identified challenge in communicating across differences. Courses were offered on a wide variety of communications related subjects including effective speaking techniques, how to communicate with diplomacy and tact, managing emotionally charged interactions, giving and receiving feedback, generations in the workplace, and communicating in a diverse workplace.
- The Agency continued its Disability Awareness Series trainings, hosting four sessions in FY 2013 available to all employees
- The Agency continued to focus on programs, policies and procedures related to the identification of systemic barriers based on periodic analysis of applicant flow data
- Personnel policies, procedures, and practices were examined to assess whether there were hidden impediments to the realization of equality of opportunity for any group of employees or applicants. Examples include:
 - Recruitment, Relocation and Retention Incentive Program
 - Pathways Program
 - Employee Recognition Award Programs, including a piloted recognition program for management officials who make significant contributions toward the hiring and retention of disabled veterans at PBGC
- PBGC's Learning and Development Training Program Directive was updated and is in the process of being vetted with the Agency's senior leadership.

Essential Element D: Proactive Prevention of Unlawful Discrimination

- OEEO conducted presentations/trainings via staff meetings, brown bag lunch topic discussions, briefings to employee resource groups, and formal trainings of PBGC managers and staff in the areas of equal opportunity, diversity, and inclusion policies and practices
- 1,197 contractors and Agency employees completed the required No FEAR Act mandatory refresher training course about employee rights and responsibilities in the EEO process
- Agency employees have access to a wide variety of online and in-person training venues covering subjects including:
 - Project Management
 - Leadership Development
 - Effective Communication
 - Disability
 - Prevention of Harassment
- The Agency reviewed and updated its Reasonable Accommodation policies and procedures to ensure they reflected the provisions of the Americans with Disabilities Act Amendments Act (ADAAA)
- In FY 2013, the Agency offered a variety of training designed to proactively prevent discrimination including:
 - *Hiring People with Disabilities in the Federal Government*
 - *Best Practices in Employment of People with Disabilities in the Federal Government*
 - *Performance & Conduct Issues/Reasonable Accommodation*
 - *Reasonable Accommodation – The Basics*
 - *Reasonable Accommodation to Employees With Mental Impairments*
 - *Quarterly Disability Awareness Series*

Essential Element E: Efficiency

- PBGC's Early Intervention Program (EIP) provides employees and managers an opportunity to resolve workplace issues that might become informal complaints outside of the traditional pre-complaint processes. EIP situations typically address miscommunications between individuals in the Agency. Resolutions in EIP may include providing additional information and dialogue that did not previously occur. As such, EIP resolutions usually involve people choosing not to file an informal complaint of discrimination. Thus far, 14 have entered this process; 7 have been resolved without moving into the pre-complaint stage. By addressing and resolving 50 % of concerns surfaced by PBGC employees, the OEEO office was able to avoid costs to the Agency of at least \$14,000 through the use of the EIP. Cost avoidance is calculated using \$2,000 per formal contract investigation. The actual cost is higher, based on task hours for Agency personnel involved in the investigation and/or litigation of such complaints.
- The Agency offers ADR and employees can elect to participate at any stage of the process
- For FY 2013:
 - the total ADR offer rate for informal complaints was 73%, with an acceptance rate of 42%
 - the total ADR offer rate for formal complaints was 23%, with an acceptance rate of 0% (due in part to the failure of ADR efforts during the pre-complaint process)

- The number of individuals filing formal complaints increased – to 12 – in FY 2013, from FY 2012’s total number of 10.
- Final Agency Actions on formal complaints were processed more efficiently in FY 2013 – dropping from an average of 34 days in FY 2012 to 25.5 days (for procedural dismissals). All Final Agency Decisions were issued within EEOC’s regulatory time frames in FY 2013.
- PBGC received and processed 13 formal complaints (from 12 individuals) alleging employment discrimination in FY 2013, the same number filed in FY 2012.
- The percentage of complainants in the Agency workforce filing complaints remains below 1.4 percent for the second year in a row. Over the past five years, this has been the lowest percentage in a trend of steadily declining number of complaints. In FY 2008, the percentage was 2.4 percent. That figure declined to 2.1 percent in the subsequent two fiscal years. In FY 2011, the percentage dropped to 1.7 percent.

Essential Element F: Responsiveness and Legal Compliance

- PBGC improved its timely and accurate complaints administration in FY 2013, in part through continued use of the EIP
 - EIP is designed for use in cases that either fall outside of defined equal opportunity parameters or that are judged to be resolvable by quickly deployed inquiry and mediation.
 - It is estimated that the number of cases handled in this manner is, along with other factors, responsible for fewer formal complaint filings as employees and managers successfully resolve their concerns in a non-adversarial process.
- PBGC’s formal complaints achievements include:
 - By the end of the fiscal year, PBGC had 19 formal complaints in inventory, despite 13 formal complaints filed during the reporting period
 - Disposition of 12 formal complaints in FY 2013: 3 withdrawals, 1 settlement, 6 Final Agency Decisions without an administrative judge’s decision, and 2 Final Agency Orders with an administrative judge’s decision.
 - There were no findings of discrimination in FY 2013

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

I, Karen Margensey, Director, GS-0301-15, am
the

(Insert name above)

(Insert official
title/series/grade above)

Principal EEO Director/Official for

Pension Benefit Guaranty Corporation

(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.

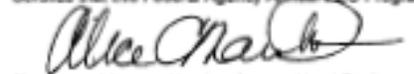
I certify that proper documentation of this assessment is in place and is being maintained for EEOC review upon request.



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

3/24/2014

Date



Signature of Agency Head or Agency Head Designee

4/1/2014

Date

EEOC FORM 715-01 PART G		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT		
Essential Element A: DEMONSTRATED COMMITMENT FROM AGENCY LEADERSHIP Requires the agency head to issue written policy statements ensuring a workplace free of discriminatory harassment and a commitment to equal employment opportunity.				
 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	
		X		
Was the EEO policy Statement issued within 6 - 9 months of the installation of the Agency Head? If no, provide an explanation.		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	
		X		
Have the heads of subordinate reporting components communicated support of all agency EEO policies through the ranks?			X	N/A - PBGC has no subordinate bureaus.
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		
 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	
		X		

Are managers and supervisors evaluated on their commitment to agency EEO policies and principles, including their efforts to:	X		
resolve problems/disagreements and other conflicts in their respective work environments as they arise?	X		
address concerns, whether perceived or real, raised by employees and following-up with appropriate action to correct or eliminate tension in the workplace?	X		
support the agency's EEO program through allocation of mission personnel to participate in community out-reach and recruitment programs with private employers, public schools and universities?	X		
ensure full cooperation of employees under his/her supervision with EEO office officials such as EEO Counselors, EEO Investigators, etc.?	X		
ensure a workplace that is free from all forms of discrimination, harassment and retaliation?	X		
ensure that subordinate supervisors have effective managerial, communication and interpersonal skills in order to supervise most effectively in a workplace with diverse employees and avoid disputes arising from ineffective communications ?	X		
ensure the provision of requested religious accommodations when such accommodations do not cause an undue hardship?	X		
ensure the provision of requested disability accommodations to qualified individuals with disabilities when such accommodations do not cause an undue hardship?	X		
Have all employees been informed about what behaviors are inappropriate in the workplace and that this behavior may result in disciplinary actions?	X		
Describe what means were utilized by the agency to so inform its workforce about the penalties for unacceptable behavior.			
Have the procedures for reasonable accommodation for individuals with disabilities been made readily available/accessible to all employees by disseminating such procedures during orientation of new employees and by making such procedures available on the World Wide Web or Internet?	X		
Have managers and supervisor been trained on their responsibilities under the procedures for reasonable accommodation?	X		

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.				
 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	
		X		
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		
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 2 nd level reporting components, are there organizational charts that clearly define the reporting structure for EEO programs?			X	N/A – There are no subordinate components.
If the agency has 2 nd level reporting components, does the agency-wide EEO Director have authority for the EEO programs within the subordinate reporting components?			X	N/A – There are no subordinate components.
If not, please describe how EEO program authority is delegated to subordinate reporting components.				
 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	
		X		
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	The immediately preceding FORM 715-01 was filed 09/30/2013; so, the presentation was deferred to after the filing of the current

			FORM 715-01.	
Are EEO program officials present during agency deliberations prior to decisions regarding recruitment strategies, vacancy projections, succession planning, selections for training/career development opportunities, and other workforce changes?	X			
Does the agency consider whether any group of employees or applicants might be negatively impacted prior to making human resource decisions such as re-organizations and re-alignments?	X			
Are management/personnel policies, procedures and practices examined at regular intervals to assess whether there are hidden impediments to the realization of equality of opportunity for any group(s) of employees or applicants? [see 29 C.F.R. § 1614.102(b)(3)]	X			
Is the EEO Director included in the agency's strategic planning, especially the agency's human capital plan, regarding succession planning, training, etc., to ensure that EEO concerns are integrated into the agency's strategic mission?	X			
 Compliance Indicator	The agency has committed sufficient human resources and budget allocations to its EEO programs to ensure successful operation.	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	
Does the EEO Director have the authority and funding to ensure implementation of agency EEO action plans to improve EEO program efficiency and/or eliminate identified barriers to the realization of equality of opportunity?	X			
Are sufficient personnel resources allocated to the EEO Program to ensure that agency self-assessments and self-analyses prescribed by EEO MD-715 are conducted annually and to maintain an effective complaint processing system?	X			
Are statutory/regulatory EEO related Special Emphasis Programs sufficiently staffed?	X			
Federal Women's Program - 5 U.S.C. 7201; 38 U.S.C. 4214; Title 5 CFR, Subpart B, 720.204	X			
Hispanic Employment Program - Title 5 CFR, Subpart B, 720.204	X			

People With Disabilities Program Manager; Selective Placement Program for Individuals With Disabilities - Section 501 of the Rehabilitation Act; Title 5 U.S.C. Subpart B, Chapter 31, Subchapter I-3102; 5 CFR 213.3102(t) and (u); 5 CFR 315.709	X			
Are other agency special emphasis programs monitored by the EEO Office for coordination and compliance with EEO guidelines and principles, such as FEORP - 5 CFR 720; Veterans Employment Programs; and Black/African American; American Indian/Alaska Native, Asian American/Pacific Islander programs?	X			
 Compliance Indicator	The agency has committed sufficient budget to support the success of its EEO Programs.		Measure has been met	For all unmet measures, provide a brief explanation in the

 Measures		Yes	No	space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		X		
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:		X		
for ensuring a workplace that is free from all forms of discrimination, including harassment and retaliation?		X		
to provide religious accommodations?		X		
to provide disability accommodations in accordance with the agency's written procedures?		X		
in the EEO discrimination complaint process?		X		
to participate in ADR?		X		

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

personnel actions based upon a prohibited basis?	X		
Has the agency, when appropriate, disciplined or sanctioned managers/supervisors or employees found to have discriminated over the past two years?	X		

If so, cite number found to have discriminated and list penalty /disciplinary action for each type of violation.			
Does the agency promptly (within the established time frame) comply with EEOC, Merit Systems Protection Board, Federal Labor Relations Authority, labor arbitrators, and District Court orders?	X		
Does the agency review disability accommodation decisions/actions to ensure compliance with its written procedures and analyze the information tracked for trends, problems, etc.?	X		

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.				
 Compliance Indicator	Analyses to identify and remove unnecessary barriers to employment are conducted throughout the year.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		 Measures	Yes	
		X		
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	Beginning in FY 13 the EEO Office initiated a survey tool to engage senior leaders and the management team in identifying potential barriers and also developed a comprehensive communication plan to institute meetings and dialogue between management and the EEO Director.
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	N/A. No barriers have yet been identified.
Do senior managers successfully implement EEO Action Plans and incorporate the EEO Action Plan Objectives into agency strategic plans?			X	<p>No barriers have yet been identified.</p> <p>See Part H. Senior managers made substantial progress implementing the Part H Plans though some items remain to be accomplished.</p> <p>In FY13, the EEO Office began work on an EEO</p>

			strategic business plan and communications strategy to include collaboration with initially at least one PBGC Department and eventually with each, to successfully develop and implement effective collaboration of EEO principles within the agency and departmental strategic mission and goals.	
Are trend analyses of workforce profiles conducted by race, national origin, sex and disability?	X			
Are trend analyses of the workforce's major occupations conducted by race, national origin, sex and disability?	X			
Are trends analyses of the workforce's grade level distribution conducted by race, national origin, sex and disability?	X			
Are trend analyses of the workforce's compensation and reward system conducted by race, national origin, sex and disability?	X			
Are trend analyses of the effects of management/personnel policies, procedures and practices conducted by race, national origin, sex and disability?	X			
 Compliance Indicator	The use of Alternative Dispute Resolution (ADR) is encouraged by senior management.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
 Measures		Yes X	No	
Are all employees encouraged to use ADR?	X			
Is the participation of supervisors and managers in the ADR process required?		X	However, It is strongly encouraged.	

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.

 Compliance Indicator	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
 Measures		Yes X	No	
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	N/A-There are no field facilities.
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		
 Compliance Indicator	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
 Measures		Yes X	No	
Does the agency use a complaint tracking and monitoring system that allows identification of the location, and status of complaints and length of time elapsed at each stage of the agency's complaint resolution process?		X		
Does the agency's tracking system identify the issues and bases of the complaints, the aggrieved individuals/complainants, the involved management officials and other information to analyze complaint activity and trends?		X		
Does the agency hold contractors accountable for delay in counseling and investigation processing times?		X		
If yes, briefly describe how: Contracts provide for reductions in contract amounts for overdue/unsatisfactory contractor performance.				
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		
 Compliance Indicator	The agency has sufficient staffing, funding and authority to comply with the time frames in accordance with the EEOC (29 C.F.R. Part 1614) regulations for processing EEO complaints of employment discrimination.	Measure has been met		For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
 Measures		Yes X	No	
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 X	No	
Note 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	While not required, participation is strongly encouraged.
Does the responsible management official directly involved in the dispute have settlement authority?			X	In FY2013, PBGC's General Counsel held settlement authority.
 Compliance Indicator	The agency has effective systems in place for maintaining and evaluating the impact and effectiveness of its 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
 Measures		Yes X	No	
Does the agency have a system of management controls in place to ensure the timely, accurate, complete and consistent reporting of EEO complaint data to the EEOC?		X		

Does the agency provide reasonable resources for the EEO complaint process to ensure efficient and successful operation in accordance with 29 C.F.R. § 1614.102(a)(1)?		X		
Does the agency EEO office have management controls in place to monitor and ensure that the data received from Human Resources is accurate, timely received, and contains all the required data elements for submitting annual reports to the EEOC?		X		
Do the agency's EEO programs address all of the laws enforced by the EEOC?		X		
Does the agency identify and monitor significant trends in complaint processing to determine whether the agency is meeting its obligations under Title VII and the Rehabilitation Act?		X		
Does the agency track recruitment efforts and analyze efforts to identify potential barriers in accordance with MD-715 standards?		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		
 Compliance Indicator	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.	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	
		X		
Are legal sufficiency reviews of EEO matters handled by a functional unit that is separate and apart from the unit which handles agency representation in EEO complaints?		X		
Does the agency discrimination complaint process ensure a neutral adjudication function?		X		
If applicable, are processing time frames incorporated for the legal counsel's sufficiency review for timely processing of complaints?				N/A

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.				
 Compliance Indicator	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
 Measures		Yes	No	
		X		
Does the agency have a system of management control to				

	ensure that agency officials timely comply with any orders or directives issued by EEOC Administrative Judges?	<input checked="" type="checkbox"/>		
 Compliance Indicator	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
 Measures		Yes	No	
	Does the agency have control over the payroll processing function of the agency? If Yes, answer the two questions below.	<input checked="" type="checkbox"/>		
	Are there steps in place to guarantee responsive, timely, and predictable processing of ordered monetary relief?	<input checked="" type="checkbox"/>		
	Are procedures in place to promptly process other forms of ordered relief?	<input checked="" type="checkbox"/>		
 Compliance Indicator	Agency personnel are accountable for the timely completion of actions required to comply with orders of EEOC.	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	
	Is compliance with EEOC orders encompassed in the performance standards of any agency employees?	<input checked="" type="checkbox"/>		
	If so, please identify the employees by title in the comments section, and state how performance is measured.	Karen Margensey, EEO Director Dianne Wood, Attorney Advisor Performance is measured through performance plan elements.		
	Is the unit charged with the responsibility for compliance with EEOC orders located in the EEO office?	<input checked="" type="checkbox"/>		
	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?	<input checked="" type="checkbox"/>		
	Does the agency promptly provide to the EEOC the following documentation for completing compliance:	<input checked="" type="checkbox"/>		
	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?	<input checked="" type="checkbox"/>		
	Awards: A narrative statement by an appropriate agency official stating the dollar amount and the criteria used to calculate the award?	<input checked="" type="checkbox"/>		

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		

**EEOC FORM
715-01 PART H**
U.S. Equal Employment Opportunity Commission
FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT
EEO Plan To Attain the Essential Elements of a Model EEO Program

FY 2013 Name of Agency of Reporting Component: PBGC	
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT	Essential Element A: DEMONSTRATED COMMITMENT FROM AGENCY LEADERSHIP
OBJECTIVES:	Ensure updated EEO and Prevention of Workplace Harassment are re-issued annually Managers and supervisors are evaluated on their commitment to agency EEO policies, to include specific efforts in ensuring requests for reasonable accommodations are appropriately addressed and ensuring all supervisors and managers are responsible with EEO Officials for the effective implementation of the agency's EEO program and plans.
RESPONSIBLE OFFICIAL:	PBGC Director, Executive Management Council (EMC), EEO and HRD Directors and staff, Department Directors and management teams
DATE OBJECTIVE INITIATED:	March 2013
TARGET DATE FOR COMPLETION OF OBJECTIVE:	January 2015 and ongoing
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)
Ensure updated EEO and Prevention of Workplace Harassment Policy Statements are re-issued annually	August 2014 and ongoing
Incorporate Prevention of Workplace Harassment Policy in EEO Directive 30-3	December 2014
EEO will collaborate with HRD through ongoing EEO/HR Coordination meetings to ensure use of meaningful and effective Senior Level and managerial performance standards that clearly demonstrate agency leadership commitment to and accountability for promoting EEO and affirmative employment principles, as well as	Completed July 29, 2013, and ongoing

<p>incorporating the EEOC model agency program compliance indicators and measures.</p>	
<p>EEO receives from HRD quarterly reports of promotions to supervisory positions, confirms issuance of Policy Statements, and establishes training schedules for mandatory training.</p>	<p>FY 2013 completed; ongoing</p>
<p>EEO will review and establish a schedule for ongoing mandatory EEO training courses for both current and new managers and supervisor.</p> <p>EEO will continue to work with HRD through ongoing EEO/HR Coordination meetings and PBGC's Diversity & Inclusion Strategic Plan initiatives to recommend diversity-training courses for both current and new managers, supervisors and employees.</p>	<p>June 2014</p> <p>Completed and ongoing</p>

REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE:

FY 2013:

- The revised EEO Policy Statement was issued on August 29, 2013 and will be updated and reissued each year.
- The updated Prevention of Workplace Harassment Policy Statement was issued on August 29, 2013, and will be updated and reissued each year.
- Through the collaborative efforts of the EEO/HR Coordination Team the following was accomplished in FY 13:
 - Enhanced GS Supervisory performance measures for equal opportunity, diversity, and inclusion, and a new agency-specific standard for SL employees were developed and added to performance plans for the FY 2014 performance cycle.
 - In FY 2013, enhanced diversity and communications focused training was added to the employee and manager curriculum
 - Diversity and Inclusion training became mandatory for all for managers and supervisors on an annual basis
 - Agency managerial position descriptions established in FY-2013 {03/27 and 04/10} incorporate support for EEO programs, Affirmative Action Plans and/or constructive resolution of conflicts; EEO requirements were incorporated into management PDs beginning in 2008
- Executive Leadership at the Agency actively sponsors one or more of the PBGC Affinity/Employee Resource Groups
- Reasonable accommodation training became mandatory for all supervisors and managers
- See Part E (Executive Summary) for additional information.

**EEOC FORM
715-01 PART H**
U.S. Equal Employment Opportunity Commission
FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT
EEO Plan To Attain the Essential Elements of a Model EEO Program

FY2013	
Name of Agency of Reporting Component: PBGC	
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	Essential Element B: INTEGRATION OF EEO INTO THE AGENCY'S STRATEGIC MISSION Essential Element C : MANAGEMENT AND PROGRAM ACCOUNTABILITY
OBJECTIVES:	Clearly define the responsibilities and duties of EEO officials; In particular in the HRD/EEO cross functional areas of outreach and recruitment; Ensure EEO Program officials are present and included in deliberations prior to decisions regarding recruitment strategies, vacancy projections, succession planning, selections for training/career development and other workforce changes; Ensure the agency's EEO Director is included in the agency human capital planning processes, including, specifically recruitment and succession planning, training and development planning etc. to ensure that EEO becomes fully integrated into the agency strategic mission;
RESPONSIBLE OFFICIAL(s):	Agency Director, EMC, HRD Director and EEO Director and staffs;
DATE OBJECTIVE INITIATED:	June 2013
TARGET DATE FOR COMPLETION OF OBJECTIVE:	March 2015
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)
EEO Director initiates with HRD a review and finalization of the EEO Core Competencies and clarifies essential EEO duties, functions and required competencies and skills, and works with HRD to clarify the cross functional roles within the HRD areas of outreach, recruitment, diversity, and workforce	September 2014

demographics.	
EEO Director schedules regular and ongoing EEO Briefings and updates to the Agency Director, EMC, Directors, Managers, and Supervisors.	Completed and Ongoing
EEO Director attends monthly Senior Staff meetings, bi-weekly Departmental management meetings and provides briefings to ensure awareness among line managers; EEO Director schedules discussions with Agency Director, CMO and others senior officials to address strategies for ensuring EEO program officials are included in deliberations prior to decisions being made.	Completed and Ongoing
EEO Director initiates discussion with CMO, Director of BD, Director of QMD/SPED, and Director of HRD regarding the regulatory need for agency's EEO Director being included in the agency strategic planning to ensure that EEO concerns are integrated into the agency strategic mission.	Completed and Ongoing
Prepare justification, submit request for additional BATA funding, and work with Budget and Procurement Departments.	Completed

REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE:

FY 2013:

- In the fall of 2013, The EEO Director initiated a review and finalization of the EEO Core Competencies to clarify essential EEO duties, functions and required competencies and skills with HRD. Finalization is ongoing for FY 2014 completion.
- The EEO Director continues to schedule regular and ongoing EEO briefings and updates to the Agency Director, EMC, Directors, managers, and supervisors and to attend monthly Senior Staff meeting and bi-weekly Departmental Director meetings and provide briefings to ensure awareness among senior Agency managers.
- Commencing FY2013, the EEO Director has participated in the agency strategic planning process to ensure that EEO concerns are integrated into the agency strategic mission.
- The EEO Director was actively included in senior leadership's development of PBGC's FY 2014-2018 Strategic Plan and the Agency's Year in Review Report for FY 2013.
- The EEO Office developed a Strategic Business Plan which supports and aligns with the Agency's five year plan for FY 2014 – 2018
- PBGC developed and implemented the agency's first Hispanic Employee Resource Group (HOLA)
- See Part E (Executive Summary) for additional information.

**EEOC FORM
715-01 PART H
U.S. Equal Employment Opportunity Commission
FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT
EEO Plan To Attain the Essential Elements of a Model EEO Program**

FY2013 Name of Agency of Reporting Component: PBGC	
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	Essential Element D : PROACTIVE PREVENTION
OBJECTIVES:	Senior managers meet with and assist the EEO Director and EEO program officials in the identification of barriers that may be impeding the realization of equal employment opportunity; Senior managers successfully implement EEO Action Plans and incorporate plan objectives into the agency strategic plans;
RESPONSIBLE OFFICIAL:	Management officials (Department Directors, Managers and supervisors) EEO Director and staff, Human Resources Director and staff
DATE OBJECTIVE INITIATED:	April 2013
TARGET DATE FOR COMPLETION OF OBJECTIVE:	December 2014 and ongoing

PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)
The EEO office will develop an overall EEO strategic plan and communications strategy to include collaboration with one PBGC department to successfully develop and implement an organizational EEO Plan.	Completed December 2013
Market proposed EEO Strategic Business/Communications Plan to EMC; begin executive listening sessions	May 2014

REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE:

FY 2013:

- PBGC's MD-715 Management Directive Survey Tool was refined and implemented in collaboration with the Strategic Planning and Evaluation Division.
- OEEO developed a Strategic Business Plan, which supports and aligns with the Agency's five year Strategic Plan for FY 2014 – 2018. Goal 3 of the Agency's Strategic Plan underscores the need to maintain, train and retain a high performing multidisciplinary workforce
- The EEO/HRD coordination team developed a framework for establishing a D & I Council with substantial Leadership involvement, including PBGC's Chief Management Officer as permanent chair for council
- See Part E (Executive Summary) for additional information.

EEOC FORM 715-01 PART I	<i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
Agency Name: Pension Benefit Guaranty Corporation	FY 2013	
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?	<p>The Office of Equal Employment worked closely with a qualified contracting firm to conduct initial Barrier and Trends Analysis (BATA) for the first time at PBGC, which began the first quarter of FY2012.</p> <p>The BATA initial report concluded that overall, Hispanics are underutilized in the PBGC workforce; the recruitment, selection, and hiring process is not yielding Hispanics commensurate with their availability in the CLF and the applicant pool; Hispanics are not promoted or receiving rewards at the same rate as their peers, and Hispanics voluntarily separate higher than their representation in the PBGC total workforce.</p>	
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.	<p>Conducted a 3 year (2008-2010) data analysis of PBGC's workforce data to identify: any areas of underutilization or less than anticipated representation* in particular job and workforce groups; any overall net changes for each gender and race group; to conduct adverse impact analysis,** where appropriate; to identify any areas to increase opportunities in hiring and selections, and to identify promotion, separation and award ratios and any discrepancies in these areas.</p> <p>Triggers were identified through analysis of Tables A and B1-6; Tables A and B-7, Tables A7, A*, A9, A11, A13, and B*, B9, B11 and B13</p>	
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.	No barriers have yet been identified.	
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	Work with management and staff to identify any barriers and develop effective strategies and action plans. Provide recommendations to agency management and HRD to overcome any identified triggers/ barriers and to assist increasing opportunities for Hispanics at PBGC and promoting a diverse and inclusive work place.	

RESPONSIBLE OFFICIAL:	EEO and HRD Directors and Staffs, PBGC Department Directors and Management Team; and diverse employee and affinity groups/representatives
DATE OBJECTIVE INITIATED:	March 2014
TARGET DATE FOR COMPLETION OF OBJECTIVE:	January 2015 and ongoing

EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
	PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)
	Collect best practices from other agencies, which have been successful in recruiting, hiring and retaining individuals from diverse communities.	April 2014
	Work closely with employee advocacy group/organizations to assess needs and identify resources to assist in addressing any identified triggers/barriers.	April 2014
	Review Hispanic applicant pool and exit interview data on a quarterly basis to identify trends in hiring and retention of Hispanics.	September 2014
	Develop a plan which will include management and others to work together to assess the needs and develop strategies, to review the Hispanic applicant pool at PBGC, and discuss ways to provide more opportunities at PBGC for Hispanics and to promote a diverse and inclusive work environment.	September 2014
	Work with management and HRD to establish relationships with resources within communities and organizations, and develop partnerships with organizations and institutions to assist in addressing each area of the work life cycle, where triggers or barriers might be identified.	November 2014
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
<ul style="list-style-type: none"> • PBGC has actively participated in the Hispanic Association of Colleges and Universities (HACU) program for the past 18 years and has a dedicated HACU Program Coordinator. PBGC has supported and promoted HACU by hiring ten students from this program in the past six years. In FY 2013, PBGC hired 16 HACU interns, the largest class thus far. • Goal 3 of the Agency's Strategic Plan underscores the need to maintain, train and retain a high performing multidisciplinary workforce. In support of this strategic goal, OEEO developed, conducted, delivered, and participated in the following initiative: <ul style="list-style-type: none"> ○ Developed and implemented PBGC's first Hispanic Employee Resource Group (HOLA-Hispanic Organization for Leadership and Advancement), which is already actively assisting 		

HRD to address Hispanic recruitment and advancement at the Agency.

EEOC FORM 715-01 PART I	<i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
Agency Name: Pension Benefit Guaranty Corporation	FY 2013	
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?	<p>The Office of Equal Employment worked closely with a qualified contracting firm to conduct initial Barrier and Trends Analysis (BATA) for the first time at PBGC, which began the first quarter of FY2012.</p> <p>The BATA initial report concluded that overall, persons with targeted disabilities (PWTD's) are not fully utilized in the PBGC workforce compared to the Federal and PBGC goal of 2%. Additionally, applicants with targeted disabilities are hired at a lower rate than their availability in the CLF. The rate of promotion as well as the rate in which they receive rewards is lower as compared to people without disabilities.</p>	
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.	<p>PBGC's contractor conducted a 3 year (2008-2010) data analysis of PBGC's workforce data to identify: any areas of underutilization or less than anticipated representation* in particular job and workforce groups; any overall net changes for each gender and race group; to conduct adverse impact analysis**, where appropriate; to identify any areas to increase opportunities in hiring and selections, and to identify promotion, separation and award ratios and any discrepancies in these areas.</p> <p>Triggers were identified through analysis of Tables A and B1-6; Tables A and B-7, Tables A7, A*, A9, A11, A13, and B*, B9, B11 and B13</p>	
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.	<p>No barriers have yet been identified.</p>	
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	<p>Work with management to develop strategies to identify any barriers and develop effective action plans. Provide recommendations to agency management and HRD to overcome any identified triggers/ barriers to increasing needed opportunities increase the hiring of persons with targeted disabilities and fully utilize PWTD's throughout the work life cycle at PBGC and promote a diverse and inclusive work place.</p>	

RESPONSIBLE OFFICIAL:		EEO and HRD Directors and Staffs, PBGC Department Directors and Management Team, and diverse employee and affinity groups/representatives
DATE OBJECTIVE INITIATED:		March 2014
TARGET DATE FOR COMPLETION OF OBJECTIVE:		January 2015 and ongoing
EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:		TARGET DATE (Must be specific)
Collect best practices from other agencies, which have been successful in recruiting, hiring and retaining and overall work life enhancement for individuals from diverse communities.		April 2014
Work closely with employee advocacy group/organizations to identify resources to assist in addressing any identified barriers.		April 2014
Develop a plan which will include management and others to work together to assess the needs and develop strategies for this particular group, review the PWD applicant pool at PBGC for various grade levels, conduct further trend and barrier analysis on the identified work life cycle trigger areas of promotions and awards and discuss ways to provide needed opportunities to promote a diverse and inclusive work environment.		September 2014
Work with management and HRD to establish relationships with resources within communities and organizations, and develop partnerships with organizations and educational institutions to assist in addressing each area of the work life cycle, where triggers or barriers have been identified.		November 2014
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
<ul style="list-style-type: none"> • The Human Resources Department (HRD) has continued their Disability Awareness Series and training sessions during this fiscal year. • PBGC hired three disabled veterans during FY 2013 and as of 9/30/2013 employed a total of twenty disabled veterans, a little more than 2% of PBGC's total workforce. 		

PENSION BENEFIT GUARANTY CORPORATION Pay Period from 201221 to 201321

Table A1: TOTAL WORKFORCE - Distribution by Race/Ethnicity and Sex

Employment Tenure	TOTAL WORKFORCE			RACE/ETHNICITY															
				Hispanic or Latino		Non- Hispanic or Latino				Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
						male	female	White	female	male	female	male	female	male	female	male	female	male	female
TOTAL WORKFORCE - Permanent and Temporary																			
Prior FY	#	971	436	535	17	20	256	163	122	295	38	49	0	0	1	4	2	4	
	%	100%	44.90%	55.10%	1.75	2.06	26.36	16.79	12.56	30.38	3.91	5.05	0	0	0.1	0.41	0.21	0.41	
Current FY	#	967	429	538	18	20	256	164	115	293	37	56	0	0	1	2	2	3	
	%	100%	44.36%	55.64%	1.86	2.07	26.47	16.96	11.89	30.3	3.83	5.79	0	0	0.1	0.21	0.21	0.31	
Nat 2010 CLF	%	100%	51.86%	48.14%	5.17%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%	
Org CLF	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
Difference	#	-4	-7	3	1	0	0	1	-7	-2	-1	7	0	0	0	-2	0	-1	
Ratio Change	%	0.00%	-0.54%	0.54%	0.11%	0.01%	0.11%	0.17%	-0.67%	-0.08%	-0.09%	0.74%	0.00%	0.00%	0.00%	-0.21%	0.00%	-0.10%	
Net Change	%	-0.41%	-1.61%	0.56%	5.88%	0.00%	0.00%	0.61%	-5.74%	-0.68%	-2.63%	14.29%	0%	0%	0.00%	-50.00%	0.00%	-25.00%	
PERMANENT WORKFORCE																			
Prior FY	#	915	407	508	17	20	247	160	104	273	37	48	0	0	1	4	1	3	
	%	100%	44.48%	55.52%	1.86%	2.19%	26.99%	17.49%	11.37%	29.84%	4.04%	5.25%	0.00%	0.00%	0.11%	0.44%	0.11%	0.33%	
Current FY	#	919	408	511	18	20	249	159	104	274	35	54	0	0	1	2	1	2	
	%	100%	44.40%	55.60%	1.96%	2.18%	27.09%	17.30%	11.32%	29.82%	3.81%	5.88%	0.00%	0.00%	0.11%	0.22%	0.11%	0.22%	
Difference	#	4	1	3	1	0	2	-1	0	1	-2	6	0	0	0	-2	0	-1	
Ratio Change	%	0%	-0.08%	0.08%	0.10%	-0.01%	0.10%	-0.18%	-0.05%	-0.02%	-0.24%	0.63%	0.00%	0.00%	0.00%	-0.22%	0.00%	-0.11%	
Net Change	%	0.44%	0.25%	0.59%	5.88%	0.00%	0.81%	-0.63%	0.00%	0.37%	-5.41%	12.50%	0%	0%	0.00%	-50.00%	0.00%	-33.33%	
TEMPORARY WORKFORCE																			
Prior FY	#	56	29	27	0	0	9	3	18	22	1	1	0	0	0	0	1	1	
	%	100%	51.79%	48.21%	0	0	16.07	5.36	32.14	39.29	1.79	1.79	0	0	0	0	1.79	1.79	
Current FY	#	48	21	27	0	0	7	5	11	19	2	2	0	0	0	0	1	1	
	%	100%	43.75%	56.25%	0	0	14.58	10.42	22.92	39.58	4.17	4.17	0	0	0	0	2.08	2.08	
Difference	#	-8	-8	0	0	0	-2	2	-7	-3	1	1	0	0	0	0	0	0	
Ratio Change	%	0%	-8.04%	8.04%	0.00%	0.00%	-1.49%	5.06%	-9.23%	0.30%	2.38%	2.38%	0.00%	0.00%	0.00%	0.00%	0.30%	0.30%	
Net Change	%	-14.29%	-27.59%	0.00%	0%	0%	-22.22%	66.67%	-38.89%	-13.64%	100.00%	100.00%	0%	0%	0%	0%	0.00%	0.00%	

PBGC PENSION BENEFIT GUARANTY CORPORATION Pay Period from 201221 to 201321

Table B1 - Total Workforce - Distribution by Disability

Employment Tenure	Total	Total by Disability Status					Detail for Targeted Disabilities								
		(04,05) No Disability	-1 Not Identified	(06-98) Disability	Targeted Disability	(16,19) Deafness	(21,23,25) Blindness	(28,30,32- 38) Missing Limbs/ Extremities	(64-69) Partial Paralysis	(71-79) Total Paralysis	-82 Convulsive Disorder/ Epilepsy	-90 Mental Retardation/ Severe Intellectual	-91 Mental Illness/ Psychiatric Disability	-92 Distortion Limb- Spine/ Dwarfism	
TOTAL WORKFORCE - Permanent and Temporary															
Prior FY	#	971	879	32	60	11	1	2	0	1	0	3	0	4	0
	%	100%	90.53%	3.30%	6.18%	1.13%	0.10%	0.21%	0.00%	0.10%	0.00%	0.31%	0.00%	0.41%	0.00%
Current FY	#	967	872	34	61	8	1	2	0	1	0	3	0	1	0
	%	100%	90.18%	3.52%	6.31%	0.83%	0.10%	0.21%	0.00%	0.10%	0.00%	0.31%	0.00%	0.10%	0.00%
Federal Goal (FY09)	#					2.55%									
Difference	#	-4	-7	2	1	-3	0	0	0	0	0	0	0	-3	0
Ratio Change	%	0.00%	-0.35%	0.22%	0.13%	-0.31%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-0.31%	0.00%
Net Change	%	-0.41%	-0.80%	6.25%	1.67%	-27.27%	0.00%	0.00%	0%	0.00%	0%	0.00%	0%	-75.00%	0%
PERMANENT WORKFORCE															
Prior FY	#	915	830	30	55	10	1	2	0	1	0	3	0	3	0
	%	100%	90.71%	3.28%	6.01%	1.09%	0.11%	0.22%	0.00%	0.11%	0.00%	0.33%	0.00%	0.33%	0.00%
Current FY	#	919	827	32	60	8	1	2	0	1	0	3	0	1	0
	%	100%	89.99%	3.48%	6.53%	0.87%	0.11%	0.22%	0.00%	0.11%	0.00%	0.33%	0.00%	0.11%	0.00%
Difference	#	4	-3	2	5	-2	0	0	0	0	0	0	0	-2	0
Ratio Change	%	0.00%	-0.72%	0.20%	0.52%	-0.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-0.22%	0.00%
Net Change	%	0.44%	-0.36%	6.67%	9.09%	-20.00%	0.00%	0.00%	0%	0.00%	0%	0.00%	0%	-66.67%	0%
TEMPORARY WORKFORCE															
Prior FY	#	56	49	2	5	1	0	0	0	0	0	0	0	1	0
	%	100%	87.50%	3.57%	8.93%	1.79%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	1.79%	0.00%
Current FY	#	48	45	2	1	0	0	0	0	0	0	0	0	0	0
	%	100%	93.75%	4.17%	2.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Difference	#	-8	-4	0	-4	-1	0	0	0	0	0	0	0	-1	0
Ratio Change	%	0.00%	6.25%	0.60%	-6.85%	-1.79%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-1.79%	0.00%
Net Change	%	-14.29%	-8.16%	0.00%	-80.00%	-100.00%	0%	0%	0%	0%	0%	0%	0%	-100.00%	0%

PENSION BENEFIT GUARANTY CORPORATION Pay Period 201321

Table A2 - Permanent Workforce By Component - Distribution by Race/Ethnicity and Sex

Organizational Component	RACE/ETHNICITY																			
	TOTAL EMPLOYEES			Hispanic or Latino				Non- Hispanic or Latino		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races		
	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
Nat 2010 CLF	%	100%	51.86%	48.14%	5.17%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%		
	#	118	57	61	0	0	31	17	20	38	5	5	0	0	1	1	0	0		
CHIEF FINANCIAL OFFICER (CFO) (ORG)	%	100%	48.31%	51.69%	0.00%	0.00%	26.27%	14.41%	16.95%	32.20%	4.24%	4.24%	0.00%	0.00%	0.85%	0.85%	0.00%	0.00%		
	#	169	82	87	4	6	56	37	14	30	7	13	0	0	0	1	1	0	0	
CHIEF INSURANCE PROGRAM OFFICER (ORG)	%	100%	48.52%	51.48%	2.37%	3.55%	33.14%	21.89%	8.28%	17.75%	4.14%	7.69%	0.00%	0.00%	0.00%	0.59%	0.59%	0.00%	0.00%	
	#	100	32	68	4	5	14	22	13	40	1	1	0	0	0	0	0	0	0	
CHIEF MANAGEMENT OFFICER (CMO) (ORG)	%	100%	32.00%	68.00%	4.00%	5.00%	14.00%	22.00%	13.00%	40.00%	1.00%	1.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
	#	280	115	165	5	5	61	32	40	107	9	19	0	0	0	0	0	0	0	2
CHIEF OPERATING	%	100%	41.07%	58.93%	1.79%	1.79%	21.79%	11.43%	14.29%	38.21%	3.21%	6.79%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.71%
	#	63	27	36	0	2	27	18	0	14	0	2	0	0	0	0	0	0	0	0
OFC OF GENERAL COUNSEL (OGC)	%	100%	42.86%	57.14%	0.00%	3.17%	42.86%	28.57%	0.00%	22.22%	0.00%	3.17%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
	#	29	17	12	1	0	13	8	1	4	2	0	0	0	0	0	0	0	0	0
OFC OF POLICY & EXTERNAL	%	100%	58.62%	41.38%	3.45%	0.00%	44.83%	27.59%	3.45%	13.79%	6.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OFC OF THE CHIEF	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	#	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
OFC OF THE DIRECTOR (OD)	%	100%	0.00%	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	#	22	7	15	1	1	3	4	3	9	0	1	0	0	0	0	0	0	0	0
OFC OF THE INSPECTOR	%	100%	31.82%	68.18%	4.55%	4.55%	13.64%	18.18%	13.64%	40.91%	0.00%	4.55%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
	#	782	337	445	15	19	205	139	91	242	24	41	0	0	1	2	1	2	1	2
Total	%	100%	43.09%	56.91%	1.92%	2.43%	26.21%	17.77%	11.64%	30.95%	3.07%	5.24%	0.00%	0.00%	0.13%	0.26%	0.13%	0.26%		

PENSION BENEFIT GUARANTY CORPORATION Pay Period 201321

Table B2 - Permanent Workforce By Component - Distribution by Disability

Component		Total	Total by Disability Status					Detail for Targeted Disabilities							
			(04,05) No Disability	-1 Not Identified	(06-98) Disability	Targeted Disability	(16,19) Deafness	(21,23,25) Blindness	(28,30,32- 38) Missing Limbs/ Extremities	(64-69) Partial Paralysis	(71-79) Total Paralysis	-82 Convulsive Disorder/ Epilepsy	-90 Mental Retardation/ Severe Intellectual Disability	-91 Mental Illness/ Psychiatric Disability	-92 Distortion Limb-Spine/ Dwarfism
Federal Goal (FY09)	%					2.55%									
CHIEF FINANCIAL OFFICER (CFO) (ORG)	#	118	111	1	6	0	0	0	0	0	0	0	0	0	0
	%	100%	94.07%	0.85%	5.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CHIEF INSURANCE PROGRAM OFFICER (ORG)	#	169	148	9	12	2	0	0	0	0	2	0	0	0	0
	%	100%	87.57%	5.33%	7.10%	1.18%	0.00%	0.00%	0.00%	0.00%	1.18%	0.00%	0.00%	0.00%	0.00%
CHIEF MANAGEMENT OFFICER (CMO)	#	100	83	7	10	1	0	0	0	1	0	0	0	0	0
	%	100%	83.00%	7.00%	10.00%	1.00%	0.00%	0.00%	0.00%	1.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CHIEF OPERATING OFFICER (COO)	#	280	255	8	17	2	0	0	0	0	1	0	1	0	0
	%	100%	91.07%	2.86%	6.07%	0.71%	0.00%	0.00%	0.00%	0.00%	0.36%	0.00%	0.36%	0.00%	0.00%
OFC OF GENERAL COUNSEL (OGC) (ORG)	#	63	59	1	3	0	0	0	0	0	0	0	0	0	0
	%	100%	93.65%	1.59%	4.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
OFC OF POLICY & EXTERNAL AFFAIRS (OPEA)	#	29	27	0	2	0	0	0	0	0	0	0	0	0	0
	%	100%	93.10%	0.00%	6.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
OFC OF THE CHIEF INFORMATION	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
OFC OF THE DIRECTOR (OD) (ORG)	#	1	1	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
OFC OF THE INSPECTOR GENERAL (OIG)	#	22	18	2	2	1	1	0	0	0	0	0	0	0	0
	%	100%	81.82%	9.09%	9.09%	4.55%	4.55%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total	#	782	702	28	52	6	1	0	0	1	3	0	1	0	0
	%	100%	89.77%	3.58%	6.65%	0.77%	0.13%	0.00%	0.00%	0.13%	0.38%	0.00%	0.13%	0.00%	0.00%

PBGC PENSION BENEFIT GUARANTY CORPORATION Pay Period 201321

Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS - Distribution by Race/Ethnicity and Sex - Permanent Workforce

Job Title/Series Agency Rate Occupational CLF		RACE/ETHNICITY																
		TOTAL EMPLOYEES			Hispanic or Latino		Non- Hispanic or Latino		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
		All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
Accounting (0510)	#	64	34	30	0	0	15	8	15	18	4	4	0	0	0	0	0	0
	%	100%	53.13%	46.88%	0.00%	0.00%	23.44%	12.50%	23.44%	28.13%	6.25%	6.25%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Occupational CLF	#	100%	39.91%	60.09%	2.19%	3.93%	31.79%	44.23%	2.49%	5.66%	3.06%	5.49%	0.02%	0.06%	0.19%	0.43%	0.17%	0.29%
Auditing (0511)	#	97	37	60	1	7	13	8	17	36	6	8	0	0	0	0	0	1
	%	100%	38.14%	61.86%	1.03%	7.22%	13.40%	8.25%	17.53%	37.11%	6.19%	8.25%	0.00%	0.00%	0.00%	0.00%	0.00%	1.03%
Occupational CLF	#	100%	39.91%	60.09%	2.19%	3.93%	31.79%	44.23%	2.49%	5.66%	3.06%	5.49%	0.02%	0.06%	0.19%	0.43%	0.17%	0.29%
General Attorney	#	106	55	51	1	1	53	35	1	10	0	5	0	0	0	0	0	0
	%	100%	51.89%	48.11%	0.94%	0.94%	50.00%	33.02%	0.94%	9.43%	0.00%	4.72%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Occupational CLF	#	100%	66.70%	33.30%	2.52%	1.85%	59.68%	26.68%	2.13%	2.60%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%	0.22%	0.18%
Employee Benefit Law	#	61	18	43	0	1	7	9	10	30	1	3	0	0	0	0	0	0
	%	100%	29.51%	70.49%	0.00%	1.64%	11.48%	14.75%	16.39%	49.18%	1.64%	4.92%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Occupational CLF	#	100%	25.94%	74.06%	2.05%	7.35%	19.18%	55.67%	2.66%	7.41%	1.64%	2.24%	0.01%	0.09%	0.30%	0.88%	0.10%	0.41%
Contract Specialist	#	19	13	6	2	1	6	2	5	3	0	0	0	0	0	0	0	0
	%	100%	68.42%	31.58%	10.53%	5.26%	31.58%	10.53%	26.32%	15.79%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Occupational CLF	#	100%	46.24%	53.76%	3.29%	3.80%	38.09%	41.87%	3.01%	5.47%	1.38%	1.77%	0.02%	0.12%	0.34%	0.48%	0.11%	0.26%
Financial Analyst	#	42	31	11	1	0	19	6	8	3	3	2	0	0	0	0	0	0
	%	100%	73.81%	26.19%	2.38%	0.00%	45.24%	14.29%	19.05%	7.14%	7.14%	4.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Occupational CLF	#	100%	67.11%	32.89%	3.10%	1.97%	53.98%	22.01%	3.55%	3.96%	6.14%	4.40%	0.06%	0.00%	0.13%	0.19%	0.16%	0.36%
Actuary Science	#	98	62	36	3	0	42	16	10	9	7	10	0	0	1	0	0	0
	%	100%	63.27%	36.73%	3.06%	0.00%	42.86%	16.33%	10.20%	9.18%	7.14%	10.20%	0.00%	0.00%	1.02%	0.00%	0.00%	0.00%
Occupational CLF	#	100%	67.09%	32.91%	1.30%	0.56%	60.44%	27.01%	1.17%	1.23%	4.06%	3.91%	0.00%	0.00%	0.00%	0.20%	0.11%	0.00%
Information Technology	#	102	60	42	3	0	36	10	10	21	11	11	0	0	0	0	0	0
	%	100%	58.82%	41.18%	2.94%	0.00%	35.29%	9.80%	9.80%	20.59%	10.78%	10.78%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Occupational CLF	#	100%	70.36%	29.64%	5.39%	2.17%	52.21%	20.89%	6.61%	4.50%	5.14%	1.55%	0.10%	0.05%	0.53%	0.29%	0.38%	0.18%

PBGC PENSION BENEFIT GUARANTY CORPORATION For Period (2012-10-01 TO 2013-09-30)

Table A7: HIRES FOR MAJOR OCCUPATIONS - Distribution by Race/Ethnicity and Sex - Permanent Workforce

Job Title/Series Agency Rate Occupational CLF	TOTAL EMPLOYEES			RACE/ETHNICITY															
				Hispanic or Latino		White		Black or African American		Asian		Non- Hispanic or Latino		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
Accounting (0510)																			
#	2	0	2	0	0	0	2	0	0	0	0	0	0	0	0	0	0	0	0
Accessions %	100%	0.00%	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF #	100%	39.90%	60.10%	2.20%	3.90%	31.80%	44.20%	2.50%	5.70%	3.10%	5.50%	0.00%	0.10%	0.20%	0.40%	0.20%	0.30%		
Auditing (0511)																			
#	3	2	1	0	0	2	0	0	0	0	0	1	0	0	0	0	0	0	0
Accessions %	100%	66.67%	33.33%	0.00%	0.00%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF #	100%	39.90%	60.10%	2.20%	3.90%	31.80%	44.20%	2.50%	5.70%	3.10%	5.50%	0.00%	0.10%	0.20%	0.40%	0.20%	0.30%		
General Attorney (0905)																			
#	12	7	5	0	0	7	3	0	2	0	0	0	0	0	0	0	0	0	0
Accessions %	100%	58.33%	41.67%	0.00%	0.00%	58.33%	25.00%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF #	100%	66.70%	33.30%	2.50%	1.80%	59.70%	26.70%	2.10%	2.60%	1.80%	1.70%	0.00%	0.00%	0.30%	0.20%	0.20%	0.20%		
Employee Benefit Law Specialist																			
#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Accessions %	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
CLF #	100%	25.90%	74.10%	2.10%	7.30%	19.20%	55.70%	2.70%	7.40%	1.60%	2.20%	0.00%	0.10%	0.30%	0.90%	0.10%	0.40%		
Contract Specialist (1102)																			
#	5	4	1	1	0	2	0	1	1	0	0	0	0	0	0	0	0	0	0
Accessions %	100%	80.00%	20.00%	20.00%	0.00%	40.00%	0.00%	20.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF #	100%	46.20%	53.80%	3.30%	3.80%	38.10%	41.90%	3.00%	5.50%	1.40%	1.80%	0.00%	0.10%	0.30%	0.50%	0.10%	0.30%		
Financial Analyst (1160)																			
#	7	5	2	1	0	3	1	1	0	0	1	0	0	0	0	0	0	0	0
Accessions %	100%	71.43%	28.57%	14.29%	0.00%	42.86%	14.29%	14.29%	0.00%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF #	100%	67.10%	32.90%	3.10%	2.00%	54.00%	22.00%	3.50%	4.00%	6.10%	4.40%	0.10%	0.00%	0.10%	0.20%	0.20%	0.40%		
Actuary Science (1510)																			
#	2	2	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0
Accessions %	100%	100.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF #	100%	67.10%	32.90%	1.30%	0.60%	60.40%	27.00%	1.20%	1.20%	4.10%	3.90%	0.00%	0.00%	0.00%	0.20%	0.10%	0.00%		
Information Technology Specialist (2210)																			
#	10	6	4	0	0	4	1	0	1	2	2	0	0	0	0	0	0	0	0
Accessions %	100%	60.00%	40.00%	0.00%	0.00%	40.00%	10.00%	0.00%	10.00%	20.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF #	100%	70.40%	29.60%	5.40%	2.20%	52.20%	20.90%	6.60%	4.50%	5.10%	1.60%	0.10%	0.00%	0.50%	0.30%	0.40%	0.20%		

PBGC PENSION BENEFIT GUARANTY CORPORATION For Period (2012-10-01 TO 2013-09-30)

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

Employment Tenure		TOTAL EMPLOYEES			RACE/ETHNICITY													
					Hispanic or Latino		Non- Hispanic or Latino		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
							male	female	male	female	male	female	male	female	male	female	male	female
#	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
Permanent	#	65	37	28	2	0	26	13	5	8	4	7	0	0	0	0	0	
	%	100%	56.92%	43.08%	3.08%	0.00%	40.00%	20.00%	7.69%	12.31%	6.15%	10.77%	0.00%	0.00%	0.00%	0.00%	0.00%	
Temporary	#	19	4	15	0	0	2	6	1	7	1	2	0	0	0	0	0	
	%	100%	21.05%	78.95%	0.00%	0.00%	10.53%	31.58%	5.26%	36.84%	5.26%	10.53%	0.00%	0.00%	0.00%	0.00%	0.00%	
TOTAL	#	84	41	43	2	0	28	19	6	15	5	9	0	0	0	0	0	
	%	100%	48.81%	51.19%	2.38%	0.00%	33.33%	22.62%	7.14%	17.86%	5.95%	10.71%	0.00%	0.00%	0.00%	0.00%	0.00%	
Nat 2010	#																	
CLF	%	100%	51.86%	48.14%	5.17%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	

CLF is based on all workers on all Census Population

PBGC PENSION BENEFIT GUARANTY CORPORATION For Period (2012-10-01 TO 2013-09-30)

Table A13 - Employee Recognition and Awards - Distribution by Race/Ethnicity and Sex - Permanent Workforce

Type of Award	TOTAL EMPLOYEES		RACE/ETHNICITY														
			Hispanic or Latino		Non- Hispanic or Latino		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races		
					White	female	male	female	male	female	male	female	male	female	male	female	male
All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	
Time-Off Awards - 1-9 hours																	
Total #	81	44	37	0	2	37	12	7	18	0	5	0	0	0	0	0	0
Time-Off %	100%	54.32%	45.68%	0.00%	2.47%	45.68%	14.81%	8.64%	22.22%	0.00%	6.17%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total Hours	461	254	207	0	13	210	63	44	100	0	31	0	0	0	0	0	0
Average Hours	6	6	6	0	7	6	5	6	6	0	6	0	0	0	0	0	0
Time-Off Awards - 9+ hours																	
Total #	886	387	499	17	21	226	147	106	277	36	50	0	0	1	1	1	3
Time-Off %	100%	43.68%	56.32%	1.92%	2.37%	25.51%	16.59%	11.96%	31.26%	4.06%	5.64%	0.00%	0.00%	0.11%	0.11%	0.11%	0.34%
Total Hours	25514	10911	14603	560	603	6650	4480	2691	7909	950	1471	0	0	40	40	20	100
Average Hours	29	28	29	33	29	29	30	25	29	26	29	0	0	40	40	20	33
Cash Awards - \$100 - \$500																	
Total #	1332	574	758	31	37	342	223	140	411	58	79	0	0	2	3	1	5
Cash %	100%	43.09%	56.91%	2.33%	2.78%	25.68%	16.74%	10.51%	30.86%	4.35%	5.93%	0.00%	0.00%	0.15%	0.23%	0.08%	0.38%
Total Amount	\$357,152	\$156,357	\$200,795	\$8,408	\$10,062	\$96,439	\$60,779	\$34,887	\$106,465	\$15,989	\$21,380	\$0	\$0	\$384	\$752	\$250	\$1,357
Average Amount	\$268	\$272	\$265	\$271	\$272	\$282	\$273	\$249	\$259	\$276	\$271	\$0	\$0	\$192	\$251	\$250	\$271
Cash Awards - \$501+																	
Total #	823	407	416	13	16	293	189	63	163	38	43	0	0	0	2	0	3
Cash %	100%	49.45%	50.55%	1.58%	1.94%	35.60%	22.96%	7.65%	19.81%	4.62%	5.22%	0.00%	0.00%	0.00%	0.24%	0.00%	0.36%
Total Amount	\$1,535,265	\$773,827	\$761,438	\$30,982	\$22,087	\$577,553	\$404,970	\$98,354	\$250,711	\$66,938	\$69,057	\$0	\$0	\$0	\$11,500	\$0	\$3,113
Average Amount	\$1,865	\$1,901	\$1,830	\$2,383	\$1,380	\$1,971	\$2,143	\$1,561	\$1,538	\$1,762	\$1,606	\$0	\$0	\$0	\$5,750	\$0	\$1,038
Senior Executive Service Performance Awards																	
Total #	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Cash %	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Total Amount	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Average Amount	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Quality Step Increases(QSI)																	
Total #	23	11	12	0	1	9	3	2	7	0	1	0	0	0	0	0	0
QSIs %	100%	47.83%	52.17%	0.00%	4.35%	39.13%	13.04%	8.70%	30.43%	0.00%	4.35%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total Benefit	\$70,996	\$37,038	\$33,958	\$0	\$3,506	\$30,025	\$9,507	\$7,013	\$17,438	\$0	\$3,507	\$0	\$0	\$0	\$0	\$0	\$0
Average Benefit	\$3,087	\$3,367	\$2,830	\$0	\$3,506	\$3,336	\$3,169	\$3,507	\$2,491	\$0	\$3,507	\$0	\$0	\$0	\$0	\$0	\$0

PBGC PENSION BENEFIT GUARANTY CORPORATION For Period (2012-10-01 TO 2013-09-30)

Table A14 - Separations by Type of Separation - Distribution by Race/Ethnicity and Sex - Permanent Workforce

Type of Separation		TOTAL EMPLOYEES			RACE/ETHNICITY															
					Hispanic or Latino		Non- Hispanic or Latino				Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
					male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
Voluntary	#	61	37	24	1	0	25	13	4	8	7	1	0	0	0	1	0	1		
	%	100%	60.66%	39.34%	1.64%	0.00%	40.98%	21.31%	6.56%	13.11%	11.48%	1.64%	0.00%	0.00%	0.00%	1.64%	0.00%	1.64%		
Involuntary	#	2	2	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0		
	%	100%	100.00%	0.00%	0.00%	0.00%	50.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
RIF	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
Total	#	63	39	24	1	0	26	13	5	8	7	1	0	0	0	1	0	1		
Separation	%	100%	61.90%	38.10%	1.59%	0.00%	41.27%	20.63%	7.94%	12.70%	11.11%	1.59%	0.00%	0.00%	0.00%	1.59%	0.00%	1.59%		

PBGC PENSION BENEFIT GUARANTY CORPORATION For Period (2012-10-01 TO 2013-09-30)

Table B14 - Separations by Type of Separation - Distribution by Disability - Permanent Workforce

Type of Separation		Total	Total by Disability Status					Detail for Targeted Disabilities								
			(04,05) No Disability	-1 Not Identified	(06-98) Disability	Targeted Disability	(16,19) Deafness	(21,23,25) Blindness	(28,30,32-38) Missing Limbs/ Extremities	(64-69) Partial Paralysis	(71-79) Total Paralysis	-82 Convulsive Disorder/ Epilepsy	-90 Mental Retardation / Severe Intellectual Disability	-91 Mental Illness/ Psychiatric Disability	-92 Distortion Limb- Spine/ Dwarfism	
			Voluntary	#	65	58	2	5	2	0	0	0	0	0	0	0
	%	100%	89.23%	3.08%	7.69%	3.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	3.08%	0.00%
Involuntary	#	2	2	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
RIF	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Total	#	67	60	2	5	2	0	0	0	0	0	0	0	0	2	0
Separation	%	100%	89.55%	2.99%	7.46%	2.99%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	2.99%	0.00%	