

**GOAL: 1. Commitment of Agency Leadership/Strategic Plan Integration:**

Incorporated USDA's civil rights policy and other related requirements through the Agency/Staff Office operations to ensure that customers and employees are treated in accordance with the antidiscrimination laws and regulations.

**PERFORMANCE OBJECTIVE: 1.1 Leadership:**

Held managers, supervisors, and other employees accountable for ensuring that USDA's customers and employees were treated in accordance with USDA's civil rights policy and applicable legal requirements.

**GOAL INDICATOR: 1.1 (a) Inclusion in Strategic Plan:**

Documented commitment to USDA's civil rights goals and obligations in the Agency's Strategic Plan. Agencies must have incorporated the requirements of Departmental Regulation (DR) 4300-010, "Civil Rights Accountability Policy and Procedures," issued January 18, 2006. Additionally, Agencies were required to notify all employees of the requirements of this policy, and managers and supervisors were responsible and accountable for maintaining a civil rights program that accomplishes the strategic civil rights goals. Agencies are required to submit portions of the Strategic Plan that reflect the civil rights goals and provide a succinct narrative rationale with documented evidence as to how the Agency determined its self-assessed point value.

**SCORING: Total: 3 Points**

**3 Points:** Included civil rights goals and obligations in the Strategic Plan, and 50-100 percent of Agency goals were met.

**2 Points:** Included civil rights goals and obligations in the Strategic Plan, and 0-49 percent of Agency goals were met.

**1 Point:** Developed a plan to include civil rights goals and obligations into the Strategic Plan.

**0 Point:** Took no action to include civil rights goals and obligations into the Strategic Plan.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 1. Commitment of Agency Leadership/Strategic Plan Integration:**

Incorporated USDA's civil rights policy and other related requirements through the Agency/Staff Office operations to ensure that customers and employees are treated in accordance with the antidiscrimination laws and regulations.

**PERFORMANCE OBJECTIVE: 1.1 Leadership:**

Held managers, supervisors, and other employees accountable for ensuring that USDA's customers and employees are treated in accordance with USDA's civil rights policy and applicable legal requirements.

**GOAL INDICATOR: 1.1 (b) Employee's Performance Plan:**

Incorporated the requirements of the DR 4300-010, "Civil Rights Accountability Policy and Procedures," issued January 18, 2006. DR-4300-010 requires that annual performance appraisals for managers and supervisors shall include an evaluation of their contributions to USDA's commitment to civil rights and equal opportunity, and adherence to its civil rights policy. In addition, Agencies are required to send a **signed copy** of a representative sampling of completed performance plans showing evidence of EEO elements for SES, GS-15, GS-14, GS-13, GS-12, GS-9-11, and GS-1-8. Agencies must provide a succinct narrative rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total: 3 Points**

**3 Points:** 90-100 percent of all performance plans conform to this Indicator.

**2 Points:** 70-89 percent of all performance plans conform to this Indicator.

**1 Points:** 50-69 percent of all performance plans conform to this Indicator.

**0 Point:** 49-0 percent of all performance plans conform to this Indicator.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 1. Commitment of Agency Leadership/Strategic Plan Integration:**

Incorporated USDA's civil rights policy and other related requirements through the Agency operations to ensure that customers and employees are treated in accordance with the antidiscrimination laws and regulations.

**PERFORMANCE OBJECTIVE: 1.1 Leadership:**

Held managers, supervisors, and other employees accountable for ensuring that USDA's customers and employees were treated in accordance with USDA's civil rights policy and applicable legal requirements.

**GOAL INDICATOR: 1.1 (c) Disciplinary Actions:**

To ensure accountability, disciplinary or corrective actions were taken when discriminatory conduct relating to civil rights violations or retaliation occurred. Agencies are required to provide a list and identify actual finding of each employee case where disciplinary or corrective action was taken relating to civil rights or retaliation. Agencies are also required to indicate the timeframe in which the disciplinary or corrective action was taken. Agencies incorporated the provisions of DR 4300-010, "Civil Rights Accountability Policy and Procedures," issued January 18, 2006. Agencies must provide a succinct narrative rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total: 5 Points**

**5 Points:** 90-100 percent of disciplinary or corrective actions initiated and/or completed within 30 days of the Agency being notified this fiscal year.

**4 Points:** 80-89 percent of disciplinary or corrective actions initiated and/or completed within 60 days of the Agency being notified this fiscal year.

**3 Points:** 70-79 percent of disciplinary or corrective actions initiated and/or completed within 90 days of the Agency being notified this fiscal year.

**2 Points:** 60-69 percent of disciplinary or corrective actions initiated and/or completed within 120 days of the Agency being notified this fiscal year.

**1 Point:** 50-59 percent of disciplinary or corrective actions initiated and/or completed within 150 days of the Agency being notified this fiscal year.

**0 Point:** 49 percent or less of disciplinary or corrective actions initiated and/or completed within 180 days of the Agency being notified this fiscal year.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 1. Commitment of Agency Leadership/Strategic Plan Integration:**

Incorporated USDA's civil rights policy and other related requirements through the Agency/Staff Office operations to ensure that customers and employees are treated in accordance with the antidiscrimination laws and regulations.

**PERFORMANCE OBJECTIVE: 1.1 Leadership:**

Held managers, supervisors, and other employees accountable for ensuring that USDA's customers and employees were treated in accordance with the Department's civil rights policy and applicable legal requirements.

**GOAL INDICATOR: 1.1 (d) Civil Rights Impact Analyses:**

Conducted effective Civil Rights Impact Analyses (CRIA). Agencies are required to provide a list by title of all CRIsAs submitted to the Office of the Assistant Secretary for Civil Rights (OASCR). Agencies must provide a succinct narrative rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total: 3 Points**

**3 Points:** The Agency collaborated in advance with the OASCR on complex and challenging CRIsAs. CRIsAs were submitted timely; 90-100 percent of CRIsAs and documentation were comprehensive and complete. All CRIsAs were thorough and OASCR did not request additional materials from the Agency.

**2 Points:** CRIsAs were comprehensive and complete with only minor requests for information needed. CRIsAs were submitted timely 70-89 percent of the time. Additional requested information was submitted to OASCR on a timely basis and the analysis was completed.

**1 Point:** CRIsAs were conducted and forwarded to the OASCR; however, OASCR determined that insufficient information or analysis was provided in 50-69 percent of the regulations submitted or extensive guidance and technical support was needed and provided. Additional requested information was submitted to OASCR on a timely basis and the analysis was completed.

**0 Point:** CRIsAs were conducted and forwarded to the OASCR; however, OASCR determined that insufficient information or analysis was provided in zero-49 percent of those submitted or extensive guidance and technical support was needed and provided. Additional requested information was submitted to OASCR on a timely basis, and the analysis was completed.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 2. Program Delivery: Proactive Management and Legal Compliance:**

Ensured all customers equal opportunity to access programs, activities, and services delivered or funded by USDA.

**PERFORMANCE OBJECTIVE: 2.1 Program Delivery/Legal Compliance:**

Delivered and administered the Agency's programs in compliance with the civil rights laws, DRs, policies, and goals.

**GOAL INDICATOR: 2.1 (a) Collection and Analysis of Program Applicant/Participant Data:**

Reviewed and incorporated civil rights program analysis by collecting and analyzing data on applicants and participants by race, ethnicity, and gender status. Agencies are required to provide evidence for each program that it collects and provide analyses of applicant and participant data by race, ethnicity, and gender.

Applicant and participant data are required by the Food, Conservation, and Energy Act of 2008 (June 18, 2008), "*Transparency and Accountability for Socially Disadvantaged Farmers and Ranchers*," Section 14006, Public Law 110-246 (7 U.S.C. § 8701). Based on this law, Congress requires an annual report of the participation rate of socially disadvantaged farmers and ranchers - as a percentage of all farmers and ranchers - for each USDA program established for farmers and ranchers, according to race, ethnicity and gender, by county and State.

For Agencies that currently collect data, please indicate the total number of programs administered and the number of programs where data are collected.

For Agencies that currently do not collect applicant and/or participant data by race, ethnicity, and gender, please state the reasons why.

Agencies are required to provide a succinct written rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total: 2 Points**

**2 Points:** Established data collection standards and analyzed data of applicants and participants, according to race, ethnicity, and gender, for 70-100 percent of Agency programs where data were collected, and made recommendations for improvement in program delivery.

**1 Point:** Established data collection standards, and analyzed data of applicants and participants, according to race, ethnicity, and gender, for 50-69 percent of Agency programs where data were collected, and made recommendations for improvement in program delivery.

**0 Point:** Established data collection standards, and analyzed data of applicants and participants, according to race, ethnicity, and gender, for 40 percent or less of Agency programs where data were collected, and made recommendations for improvement in program delivery.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 2. Program Delivery: Proactive Management and Legal Compliance:**

Ensured all customers equal opportunity to access programs, activities, and services in the delivery of USDA programs and services.

**PERFORMANCE OBJECTIVE: 2.1 Program Delivery/Legal Compliance:**

Delivered the Agency's programs in compliance with civil rights laws, DRs, policies, and goals.

**GOAL INDICATOR: 2.1 (b) Increased Service Delivery Goals, Removed Barriers, and Increased Program Delivery:**

Created or enhanced program service delivery by: (a) Taking affirmative steps to remove barriers to ensure equal opportunity access to participation; (b) Increasing service delivery goals; and (c) Increasing diversity on program committees and boards. Agencies are required to provide evidence of how they met each of these requirements. Agencies must provide a succinct written rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total: 3 Points**

**3 Points:** Complied with all four requirements listed below:

- (a) Assessment of programs to determine low participation of groups by race, sex, and national origin (RSNO) in order to improve service delivery to those identified with low participation rates, and conducted barrier analyses to determine policy, practices, or procedures that may limit or tend to impede equitable opportunities for those groups with low participation rates.
- (b) Took affirmative steps to remove barriers for groups with low participation;
- (c) Established goals to increase service delivery; and
- (d) Provided the following: (1) The number of boards/commissions that expired in FY 2012; (2) The number of boards/commissions that were re-established; and (3) The demographic data for each expired and new board/commission in order to demonstrate the increase in diversity on the boards/commissions.

**2 Points:** Complied with 2 of the 4 requirements listed above.

**1 Point:** Complied with 1 of the 4 requirements listed above.

**0 Point:** Complied with zero of the 4 requirements listed above.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 2. Program Delivery: Proactive Management and Legal Compliance:**

Ensured all customers equal opportunity to access programs, activities, and services in the delivery of USDA programs and services.

**PERFORMANCE OBJECTIVE: 2.1 Program Delivery/Legal Compliance:**

Delivered and administered the Agency's programs in compliance with civil rights laws, DRs, policies, and goals.

**GOAL INDICATOR: 2.1 (c) Compliance Reviews/Corrective Actions:**

Agencies conducted regular and systematic civil rights compliance reviews of Federally assisted and conducted programs in accordance with DRs and other guidance, including:

- Analyzed trends in complaints to target compliance reviews;
- Conducted appropriate compliance review(s) vis-à-vis, the types of programs and activities conducted by the Agency (e.g. Federally assisted and/or conducted);
- Identified the basis(es) upon which the compliance review(s) was/were conducted (e.g., race, gender);
- Identified issue(s) to be examined during the compliance review(s) (e.g., access to services, methods of administration);
- Conducted appropriate number of compliance review(s) to ascertain that Federally assisted and conducted programs/activities are delivered in compliance with regulatory and other requirements; and
- For Federally assisted compliance reviews, the Agency documented compliance with the review guidance from the Department of Justice (DOJ) (i.e., choosing recipients for reviews).

**Agencies are required to provide to OASCR:**

- (1) A copy of their original FY 2013 Compliance Review Plan/Schedule;
- (2) Identification of compliance reviews that were completed by category (e.g., pre-award, post-award, self-assessed, etc.);
- (3) Stated reasons why any reviews were not conducted/completed; and
- (4) Status of all corrective actions identified, implemented, and completed for each compliance review.

Agencies must provide a succinct written rationale with documented evidence as to how the self-assessed point value was determined.

**N.B.: Effective FY 2008, Agencies will be responsible for submitting a copy of their Compliance Review Plan/Schedule to the OASCR compliance staff within 30 days of the beginning of the FY or as soon as it is finalized.**

**SCORING: Total: 4 Points**

**4 Points:** The Agency complied with the four items listed below:

- (1) Compliance Review Plan was developed using the criteria set out above;
- (2) Completed seventy percent of the number (of compliance reviews) projected by the Agency;
- (3) Number and explanation as to why any compliance reviews were not conducted/completed; and
- (4) Status of corrective actions identified, implemented, and completed for each compliance review.

**3 Points:** The Agency complied with 3 of the 4 items listed above in "4 Points."

**2 Points:** The Agency complied with 2 of the 4 items listed above in "4 Points."

**1 Point:** The Agency complied with 1 of the 4 items listed above in “4 Points.”

**0 Point:** The Agency complied with 0 of the 4 items listed above in “4 Points.”

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 2. Program Delivery: Proactive Management and Legal Compliance:**

Ensured all customers equal opportunity to access programs, activities, and services in the delivery of USDA programs and services.

**PERFORMANCE OBJECTIVE: 2.1 Program Delivery/Legal Compliance:**

Delivered the Agency's programs in compliance with the civil rights laws, DRs, policies, and goals.

**Goal Indicator 2.1 (d) Compliance with Notification Requirements:**

Complied with the civil rights laws, regulations, and policies to ensure that all notification requirements were posted on appropriate documents and publications, including the Internet; and complied with Section 504 (auxiliary aids and services) and Section 508 (electronic and information technology) of the Rehabilitation Act of 1973.

Notification requirements:

- (1) Posted and published up-to-date nondiscrimination statements;
- (2) Posted and published complaint filing information;
- (3) Posted and published information for individuals with disabilities on how to obtain information in an alternative format;
- (4) Posted and published information for individuals with limited English on how to obtain information in alternative languages;
- (5) Policy, training, and information was disseminated regarding the provisions of auxiliary aids and services; and
- (6) Complied with Section 504 (auxiliary aids and services) and Section 508 (electronic and information technology) while meeting these obligations.

Provided written certification that these statements are posted and included on all forms and publications, as well as, other materials deemed necessary that are for or used by recipients, beneficiaries, and the public. Agencies are required to provide evidence (e.g., copies of memos, policy and procedures addressing items (1) – (6) listed above) to demonstrate compliance with the notification requirements, including information. Agencies must provide a succinct written rationale with evidence as to how the self-assessed point value was determined.

**SCORING: Total: 3 Points**

**3 Points:** Demonstrated compliance with all 6 of the above listed requirements.

**2 Points:** Demonstrated compliance with 4-5 of the above listed requirements.

**1 Point:** Demonstrated compliance with 2-3 of the above listed requirements.

**0 Point:** Demonstrated compliance with 0-1 of the above listed requirements.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 2. Program Delivery: Proactive Management and Legal Compliance:**

Ensured all customers equal opportunity to access programs, activities, and services in the delivery of USDA programs and services.

**PERFORMANCE OBJECTIVE: 2.2 Efficient Program Complaint Process:**

Maintained an effective process for handling civil rights program complaints.

**GOAL INDICATOR: 2.2 (a) Agency Position Statements Received Timely for Program Complaints:**

Provided the Agency Position Statements for program complaints of discrimination within 24 calendar days from receipt of request from OASCR. Agencies are required to provide the number of Agency Position Statements given to OASCR and indicate what percentage was submitted timely. Agencies must provide a succinct written rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total: 3 Points**

**3 Points:** Timely submitted 85-100 percent of all Agency Position Statements for program complaints of discrimination.

**2 Points:** Timely submitted 76-84 percent of all Agency Position Statements for program complaints of discrimination.

**1 Point:** Timely submitted 60-75 percent of all Agency Position Statements for program complaints of discrimination.

**0 Point:** Timely submitted zero-59 percent of all Agency Position Statements for program complaints of discrimination.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 2. Program Delivery: Proactive Management and Legal Compliance:**

Ensured all customers equal opportunity to access programs, activities, and services in the delivery of USDA programs and services.

**PERFORMANCE OBJECTIVE: 2.2 Efficient Program Complaint Process:**

Maintained an effective process for handling civil rights program complaints.

**GOAL INDICATOR: 2.2 (b) Complaint Non-Compliance/Corrective Actions:**

- Provided the number of program complaints investigated during the current fiscal year where corrective actions were identified, including conciliation agreements;
- Provided a copy to OASCR of each Corrective Action Plan/Conciliation Agreement;
- Promptly implemented the terms of each Corrective Action Plan/Conciliation Agreement; and
- Responded timely to requests for non-compliance/corrective action-related information (e.g., data, analyses, reports, recommendations, and status reports) from OASCR.

Agencies must provide succinct written rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total: 2 Points**

**2 Points:**

- (a) 90-100 percent of corrective actions were implemented within 30 days of receipt of findings from OASCR; and
- (b) 90-100 percent of Agency reports in response to allegations of non-compliance were submitted within 30 days from receipt of a request from OASCR.

**1 Point:**

- (a) 75- 89 percent of corrective actions were implemented within 90 days of receipt of findings from OASCR; and
- (b) 75- 89 percent of Agency reports in response to allegations of non-compliance were submitted within 45 days from receipt of a request from OASCR.

**0 Point:**

- (a) 74 percent or less of corrective actions were implemented within 120 days of receipt of findings from OASCR;
- (b) 74 percent or less of Agency reports in response to allegations of non-compliance were submitted within 60 days from receipt of request from OASCR; or
- (c) No required corrective actions were implemented during FY 2012.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 3. EEO Program: Proactive Management and Legal Compliance:**

Provided a workplace free of unlawful discrimination and enhanced the diversity of the workforce.

**PERFORMANCE OBJECTIVE: 3.1 Model EEO Program:**

Took affirmative steps to ensure that the Agency addressed EEO Plan Objectives to Eliminate Barriers and provided civil rights and EEO training to employees.

**GOAL INDICATOR: 3.1 (a) Analysis of Workforce and Elimination of Barriers:**

Used various recruitment plans to assess workforce demographics, recruitment, promotion, retention, and employment trends. These plans include, but are not limited to, the Equal Employment Opportunity Commission (EEOC) Management Directive 715 (MD-715) EEO Program Status Report; the Federal Equal Opportunity Recruitment Plan (FEORP); and the Disabled Veterans Affirmative Action Plan (DVAAP). Specifically, the Agency:

- a) Took affirmative steps to ensure that the Agency addressed EEOC's EEO Plan Objectives to Eliminate Barriers through: i) Increased representation, ii) Advancement opportunities, and iii) Retention of groups with low participation rates by race, sex, national origin, and disability (RSNOD);
- b) Established and met hiring, advancement, and retention goals for employees with targeted disabilities, as required by EEOC MD-715, Part J, and "Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals with Targeted Disabilities;"
- c) Provided annual civil rights and diversity training; and OASCR mandatory training (e.g., Age and Workplace Harassment)
- d) Promoted a workplace free of reprisal or harassment.

**This process should be achieved through:**

- (1) Assessment of workforce to determine low participation of groups by RSNOD to improve recruitment, advancement, and retention of those identified with low participation rates (i.e., below civilian labor force or Federal-high rate for persons with targeted disabilities);
- (2) Barrier analyses to determine policy, practices, or procedures that may limit or tend to impede employment opportunities for members of a particular race, sex, national origin, or based on an individual's disability status;
- (3) Determination of objectives for targeted improvement to ensure equal employment for all groups;
- (4) Comparison of workforce statistics by race, sex, national origin, and targeted disability status in FY 2011 to FY 2013 to demonstrate measurable improvement in groups with low participation rates;
- (5) Providing annual civil rights and diversity training; and OASCR mandatory training (i.e., Age and Workplace Harassment)
- (6) Promoting a workplace free of reprisal or harassment.
- (7) Submitting training plans/schedules timely to the OASCR Training Division, per OASCR memo dated November 21, 2012.

Agencies are required to provide a summary analysis as to how they determined low participation rate of groups by RSNOD; identified planned objectives, and the status of the implementation of objectives to improve employment profiles for identified low participation groups. Agencies are required to provide a succinct written rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total 4 Points**

**4 Points:** Conducted workforce and barrier analyses and complied with 6 of the 7 elements listed above.

**3 Points:** Conducted workforce and barrier analyses and complied with 5 of the 7 elements listed above.

**2 Points:** Conducted workforce and barrier analyses and complied with 4 of the 7 elements listed above.

**1 Point:** Conducted workforce and barrier analyses and complied with 1-3 of the 7 elements listed above.

**0 Point:** Conducted workforce and barrier analyses and complied with 0 of the 7 elements listed above.

**N.B.: Effective FY 2013, the Agencies will be responsible for submitting a copy of their Civil Rights Training Plan/Schedule to the OASCR Training Division. For FY 2013, the deadline date is December 21, 2013. For future fiscal years, the Agencies will be responsible for submitting a copy of their Civil Rights Training Plan/Schedule to the OASCR Training Staff within 30 days of the beginning of the fiscal year.**

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 3. EEO Program: Proactive Management and Legal Compliance:**

Provided a workplace free of unlawful discrimination and enhanced the diversity of the workforce.

**PERFORMANCE OBJECTIVE: 3.2 Comprehensive EEO Evaluation Program:**

Assessed employment policies and practices.

**GOAL INDICATOR: 3.2 (a) Compliance Reviews/Corrective Actions:**

Agencies conducted regular and systematic civil rights compliance reviews in accordance with DRs and other guidance. Agencies are required to provide to OASCR:

- (1) A copy of their original FY 2013 Compliance Review Plan/Schedule;
- (2) Number of compliance reviews that were completed;
- (3) Number and explanation as to why any compliance reviews were not conducted/completed; and
- (4) Status of all corrective actions identified, implemented, and completed for each compliance review.

Agencies must provide a succinct written rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total 4 Points**

**4 Points:** Agencies provided documentation substantiating the following:

- (1) Compliance Review Plan was developed;
- (2) Number of compliance reviews that were completed;
- (3) Number and explanation as to why any compliance reviews were not conducted/completed; and
- (4) Status of all corrective actions identified, implemented, and completed for each compliance review.

**3 Points:** Agency complied with 3 of the 4 items listed above.

**2 Points:** Agency complied with 2 of the 4 items listed above.

**1 Point:** Agency complied with 1 of the 4 items listed above.

**0 Point:** Agency complied with 0 of the 4 items listed above.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 3. EEO Program: Proactive Management and Legal Compliance:**

Provided a workplace free of unlawful discrimination and enhanced the diversity of the workforce.

**PERFORMANCE OBJECTIVE: 3.2. Comprehensive EEO Evaluation Program:**

Assessed employment policies and practices.

**GOAL INDICATOR: 3.2 (b) No FEAR Act:**

Agencies provided timely submissions to be used in the Department's Annual Report, and other items as requested by OASCR.

Agencies must provide a succinct written rationale along with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total 1 Point**

**1 Point:** Responded timely to OASCR for requested information.

**0 Point:** Did not respond in a timely manner or did not provide the information requested by OASCR.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 3. EEO Program: Proactive Management and Legal Compliance:**

Provided a workplace free of unlawful discrimination and enhanced the diversity of the workforce.

**PERFORMANCE OBJECTIVE: 3.3 Efficient EEO Complaint Process:** Managed an effective complaint processing program.

**GOAL INDICATOR: 3.3 (a)(1) Timely submission of EEO Counselor's Reports:**

Submitted EEO Counselor's Reports within 15 calendar days of the issuance of the Notice of Right to File (NRF) to the complainant. Agencies are required to provide the number of EEO Counselor's Reports completed and the percentage of Counselor's Reports submitted in a timely manner.

Agencies must also provide a succinct written rationale with supporting documentation to show how the self-assessed point value was determined.

**SCORING: Total 4 Points**

**4 Points:** Submitted 90-100 percent of the Counselor's Reports within 15 calendar days.

**3 Points:** Submitted 80-89 percent of the Counselor's Reports within 15 calendar days.

**2 Points:** Submitted 70-79 percent of the Counselor's Reports within 15 calendar days.

**1 Point:** Submitted 60-69 percent of the Counselor's Reports within 15 calendar days.

**0 Point:** Submitted 0-59 percent of the Counselor's Reports within 15 calendar days.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL INDICATOR: 3.3 (a)(2) Submission of Quality EEO Counselor's Reports:** Submitted EEO Counselor's Reports with sufficient information about the informal EEO complaint(s) to satisfy five quality assessment criteria, including information regarding: 1) Alleged discriminatory basis(es); 2) Alleged discriminatory issue(s); 3) Date(s) of alleged act(s) of discrimination; 4) Verification of NRF issuance and complainant receipt; and 5) All relevant documentation.

Agencies are required to provide the number of EEO Counselor's Reports submitted and the percentage of EEO Counselor's Reports that met the five quality assessment criteria.

Agencies must also provide a succinct written rationale with supporting documentation to show how the self-assessed point value was determined.

**SCORING:** Each submitted EEO Counselor's Report is worth a maximum of 100 points with each of the five quality assessment criteria worth a maximum of 20 points. Failure to meet the quality assessment criteria in a given EEO Counselor's Report will result in point deductions of up to 20 points for each criterion not met. An average quality percentage will be determined based on the total number of points obtained from all submitted EEO Counselor's Reports divided by the total number of submitted EEO Counselor's Reports. An agency's Quality of EEO Counselor's Reports score for the Agency Head Assessment will be based on the quality percentage and will range from zero to 4 points as follows:

**Total 4 Points**

**4 Points:** 90-100 percent of EEO Counselor's Reports satisfied the five quality assessment criteria.

**3 Points:** 80-89 percent of EEO Counselor's Reports satisfied the five quality assessment criteria.

**2 Points:** 70-79 percent of EEO Counselor's Reports satisfied the five quality assessment criteria.

**1 Point:** 60-69 percent of EEO Counselor's Reports satisfied the five quality assessment criteria.

**0 Point:** 0-59 percent of EEO Counselor's Reports satisfied the five quality assessment criteria.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 3. EEO Program: Proactive Management and Legal Compliance:**

Provided a workplace free of unlawful discrimination and enhanced the diversity of the workforce.

**PERFORMANCE OBJECTIVE: 3.3 Efficient EEO Complaint Process:**

Managed an effective complaint processing program.

**GOAL INDICATOR: 3.3 (b) Completed EEO Investigations within 90 days:**

Completed investigations and distributed Reports of Investigation (ROI) within the 90 calendar day timeframe (beginning the date OASCR notified the Agency of the complaint). Agencies are required to provide the number of investigations and the percentage completed in a timely manner from October 1, 2012 to January 1, 2013.

The effective date of the transfer for the investigative function from the Agency to the Employment Investigation Division was January 1, 2013. Agencies will not be held accountable for any complaint accepted after January 1, 2013. Instead, Agencies are required to provide the appropriate documentation, establish logistics for interviews, and accessibility of witnesses for interviews within 10 working days except certain employees of the Foreign Agricultural Services (FAS).

Agencies that comply with the above Goal Indicator after April 1, 2013, will receive bonus points within the required timeframe.

As of October 1, 2013, Agencies will be fully accountable for the Goal Indicator.

Agencies must provide a succinct written rationale with documented evidence as to how the self-assessed value was determined.

**SCORING: Total 4 Points**

**4 Points:** Completed 85-100 percent of investigations (including distribution of ROI) within 90 calendar days.

**3 Points:** Completed 75-84 percent of investigations (including distribution of ROI) within 90 calendar days.

**2 Points:** Completed 65-74 percent of investigations (including distribution of ROI) within 90 calendar days.

**1 Point:** Completed 55-64 percent of investigations (including distribution of ROI) within 90 calendar days.

**0 Point:** Completed 0-54 percent of investigations (including distribution of ROI) within 90 calendar days.

BONUS SCORING: Total 2 points

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 3. EEO Program: Proactive Management and Legal Compliance:**

Provided a workplace free of unlawful discrimination and enhanced the diversity of the workforce.

**PERFORMANCE OBJECTIVE: 3.3 Efficient EEO Complaint Process:**

Managed an effective complaint processing program.

**GOAL INDICATOR: 3.3 (c) Complaint Non-compliance/Corrective Actions:**

- Provided the average number of days to respond to requests for information from EEO Counselors, Investigators, and Adjudicators by type of request;
- Provided the average number of days to fully implement the terms of settlement agreements; and
- Provided the number of requests for non-compliance/corrective action-related information (e.g., data, analyses, reports, recommendations, and status reports) from OASCR, and the average number of days to respond to each type of request.

Agencies must provide succinct written rationale and documented evidence as to how the self-assessed point value was determined.

**Note: Effective FY 2008, the data requested in this Indicator relative to EEO will also be required for program civil rights compliance.**

**SCORING: Total 3 Points**

**3 Points:**

- a) Agency responded timely 90-100 percent of the time to requests for information from EEO Counselors, Investigators, Adjudicators, and OASCR compliance staff;
- b) Agency implemented and completed 90-100 percent of all corrective actions within negotiated timeframes; and
- c) Agency responded timely 90-100 percent of the time to all requests from OASCR.

**2 Points:**

- a) Agency responded timely 75-89 percent of the time to requests for information from EEO Counselors, Investigators, Adjudicators, and OASCR compliance staff;
- b) Agency implemented and completed 75-89 percent of all corrective actions within negotiated timeframes; and
- c) Agency responded timely 75-89 percent of the time to all requests from OASCR.

**1 Point:**

- a) Agency responded timely 60-74 percent of the time to requests for information from EEO Counselors, Investigators, Adjudicators, and OASCR compliance staff;
- b) Agency implemented and completed 60-74 percent of all corrective actions within negotiated timeframes; and
- c) Agency responded timely 60-74 percent of the time to all requests from OASCR.

**0 Point:**

- a) Agency responded timely 59 percent or less of the time to requests for information from EEO Counselors, Investigators, Adjudicators, and OASCR compliance staff;
- b) Agency implemented and completed 59 percent or less of all corrective actions within negotiated timeframes; and
- c) Agency responded timely to 59 percent or less of the time to all requests from OASCR.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 4. Utilization of Alternative Dispute Resolution:**

Alternative Dispute Resolution (ADR) can provide effective tools to aid in the resolution of discrimination complaints. Most common among the techniques employed at USDA are mediation, conciliation, coaching, and facilitation. It is also important to regularly assess the effectiveness of the ADR programs. This can be done through reporting on program activities, implementation of standard operating procedures, and compliance reviews that measure adherence to applicable regulations such as the Departmental ADR regulation, DR 4710-001, "Alternative Dispute Resolution" (April 5, 2006).

**PERFORMANCE OBJECTIVE: 4.1 Efficient Use of ADR for EEO Workplace and Program Disputes:**

The Agency provided alternate and effective tools to aid in the resolution of discrimination complaints through the utilization of the ADR process.

**GOAL INDICATOR: 4.1 (a) Utilization of ADR:**

Demonstrated good faith ADR efforts to resolve EEO complaints and other disputes especially early in the process and/or before a complaint/action was initiated.

1. All offerings of ADR were documented, and decisions not to offer ADR were documented per Federal and USDA regulations.
2. The Resolving Officials' good faith efforts to resolve complaints and other disputes were documented.
3. ADR services were effectively developed to eliminate barriers.
4. Demonstrated general compliance with other Federal and USDA ADR regulatory requirements.

Agencies must provide succinct written rationale and documented evidence as to how the self-assessed point value was determined.

**SCORING: Total 3 Points**

**3 Points:**

- a. Demonstrated support for the ADR program and its initiatives by providing sufficient dedicated resources to provide ADR services as required and necessary.
- b. Demonstrated a significant increase, from the prior year, in the use of ADR for non-EEO, workplace conflicts, or demonstrated widespread reliance upon the use of ADR throughout the Agency.
- c. Demonstrated that, per DR 4710-001, ADR was offered to all informal EEO complainants except for complaints that met the identified exception; that merit-based reasons for not offering ADR to formal EEO complainants were sent to and concurred with by ERCD in all instances where ADR was not offered; and that, prior to any decision not to offer ADR, an Agency's ADR office was consulted in advance.
- d. Arranged and conducted EEO ADR sessions in good faith for 91-100 percent of such cases within the timeframes set by EEOC regulations.

**2 Points:**

- a. Demonstrated that, per DR 4710-001, ADR was offered to all informal EEO complainants except for complaints that met the identified exception; that the merit-based reasons for not offering ADR to formal EEO complainants were sent to and concurred with by ERCD in at least 75 percent of the instances where ADR was not offered; and that, prior to at least 80 percent of the decisions not to offer ADR, an Agency's ADR office was consulted in advance.
- b. Arranged and conducted EEO ADR sessions in good faith for 80-90 percent of such cases within the timeframes set by EEOC regulations.

**1 Point:**

- a. Documentation of the merit-based reasons for not offering ADR to formal EEO complainants was sent to and concurred with by ERCD within 60–75 percent of the instances.
- b. Arranged and conducted EEO ADR sessions in good faith for 70-79 percent of such cases within the timeframes set by EEOC regulations.

**0 Point:**

- a. Failure to meet all or one of the two minimum requirements will result in a citation of one point.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 4. Utilization of Alternative Dispute Resolution:**

ADR can provide effective tools to aid in the resolution of discrimination complaints. Most common among the techniques employed at USDA are mediation, conciliation, coaching, and facilitation. It is also important to regularly assess the effectiveness of the ADR programs. This can be done through reporting on program activities, implementation of standard operating procedures, and compliance reviews that measure adherence to applicable regulations such as the Departmental ADR regulation, DR 4701-001.

**PERFORMANCE OBJECTIVE: 4.1 Efficient Use of ADR for EEO Workplace and Program Disputes:**

The Agency provided alternate and effective tools to aid in the resolution of discrimination complaints through the use of the ADR process.

**GOAL INDICATOR: 4.1 (b): ADR Training**

Complied with USDA ADR regulation, DR 4701-001, and initiatives aimed at training ADR practitioners, employees and customers in order to increase conflict management competence at USDA.

1. Agency demonstrated that the ADR training was made available to all customers and employees.
2. Agency demonstrated cooperation with the Departmental ADR leadership initiatives, activities, and functions.
3. Agency demonstrated use of qualified neutrals, i.e., neutrals considered qualified per the Departmental regulations.

Agencies must provide succinct written rationale and documented evidence as to how the self-assessed point value was determined.

**SCORING: Total 3 Points**

**3 Points:** Demonstrated that all managers were or are being trained in managing workplace conflict in good faith; that conflict management training is offered to all employees; and that the availability of ADR is publicized throughout the entire Agency.

**2 Points:** Demonstrated that conflict management training is offered to at least 80 percent of employees and the availability of ADR assistance is publicized throughout the entire Agency.

**1 Point:** Demonstrated that conflict management training is offered to at least 70 percent of employees and the availability of ADR assistance is publicized throughout the entire Agency.

**0 Point:** Failure to meet the minimum requirement will result in a citation of one point.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 4. Utilization of Alternative Dispute Resolution:**

ADR can provide effective tools to aid in the resolution of discrimination complaints. Most common among the techniques employed at USDA are mediation, conciliation, coaching, and facilitation. It is also important to regularly assess the effectiveness of the ADR programs. This can be done through reporting on program activities, implementation of standard operating procedures, and compliance reviews that measure adherence to applicable regulations such as USDA ADR regulation, DR 4701-001.

**PERFORMANCE OBJECTIVE: 4.1 Efficient Use of ADR for EEO Workplace and Program Disputes:**

The Agency provided alternate and effective tools to aid in the resolution of discrimination complaints through utilization of the ADR process.

**GOAL INDICATOR: 4.1 (c): Reporting to the Early Resolution and Conciliation Division (ERCD)**

Provided accurate, complete, and timely reports of all ADR activities to the OASCR ERCD

1. Report includes the number of documented written offers as well as non-offers of ADR at the formal stage of EEO process.
2. Report includes the number of formal complaints filed.
3. All reported data for the ADR activities were consistent.
4. ADR information and databases were maintained and reported on a continuing up-to-date basis.

Agencies must provide succinct written rationale and documented evidence as to how the self-assessed point value was determined.

**SCORING: Total 3 Points**

**3 Points:** All required ADR reports were accurate, consistent and submitted on time.

**2 Points:** Required ADR reports were accurate, consistent and/or submitted to ERCD at least 85 percent of the time. The Agency provided acceptable justifications to ERCD for each failure.

**1 Point:** Required ADR reports were accurate, consistent, and/or submitted to ERCD at least 70 percent of the time. The Agency provided acceptable justifications to ERCD for each failure.

**0 Point:** Failure to meet the minimum requirement will result in a citation of one point.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 5. Procurement:**

The Agency must take affirmative steps to increase procurement with small businesses, small disadvantaged businesses, 8(a) small businesses, woman-owned businesses, HUBZones, service-disabled veteran-owned small businesses, and persons with disabilities (Ability One, previously referred to as the Javits-Wagner-O’Day Act or “JWOD”).

**PERFORMANCE OBJECTIVE: 5.1 Procurement Goals:**

The Agency ensured equal opportunity access for small businesses, small disadvantaged businesses, 8(a) small businesses, woman-owned businesses, HUBZones, service-disabled veteran-owned small businesses, and persons with disabilities (Ability One, previously referred to as the Javits-Wagner-O’Day Act or “JWOD”) in all USDA contracting activities.

**GOAL INDICATOR: 5.1 (a) Accomplishment of Goals:**

The Agency developed and implemented effective strategies for improving participation by small businesses, small disadvantaged businesses, 8(a) small businesses, woman-owned businesses, HUB Zones, service-disabled veteran-owned small businesses, and persons with disabilities (Ability One, previously referred to as the Javits-Wagner-O’Day Act or “JWOD”) and for accomplishing all goals.

Agencies are required to provide procurement goal targets for each major category and the associated percentage achieved for each goal. Agencies must provide succinct written rationale and documented evidence as to how the self-assessed point value was determined.

**SCORING: Total 4 Points**

**4 Points:** a) Developed and implemented effective strategies and accomplished 90-100 percent of procurement goals, and b) Reviewed existing procurement agreements and identified and implemented additional strategies necessary to increase contracting to enumerated groups. (Bonus points will be awarded if agencies submit their implemented strategy progress report in detail, illustrating participation level by race, ethnicity, sex, national origin, disability, and age (RESNODA\*) status.)

**3 Points:** a) Developed and implemented effective strategies and accomplished 80-89 percent of procurement goals, and b) Reviewed existing procurement agreements and identified and implemented additional strategies necessary to increase contracting to enumerated groups. (Bonus points will be awarded if agencies submit their implemented strategy progress report in detail, illustrating participation level by RESNODA status.)

*\* Please note that these bases for collection of data are different than those used by EEOC for employment purposes.*

**2 Points:** Developed and implemented effective strategies and accomplished 70-79 percent of procurement goals; and b) Reviewed existing procurement agreements and identified and implemented additional strategies necessary to increase contracting to enumerated groups. (Bonus points will be awarded if agencies submit their implemented strategy progress report in detail, illustrating participation level by RESNODA status.)

**1 Point:** Developed and implemented effective strategies and accomplished 60-69 percent of procurement goals; and reviewed existing procurement agreements and identified and implemented additional strategies necessary to increase contracting to enumerated groups. (Bonus points will be awarded if agencies submit their implemented strategy progress report in detail, illustrating participation level by RESNODA status.)

**0 Point:** Failure to meet the minimum requirement will result in a citation of one point.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 5. Procurement:**

The Agency must take affirmative steps to increase procurement with small businesses, small disadvantaged businesses, 8(a) small businesses, woman-owned businesses, HUBZones, service-disabled veteran-owned small businesses, and persons with disabilities (Ability One, previously referred to as the Javits-Wagner-O’Day Act or “JWOD”).

**PERFORMANCE OBJECTIVE: 5.1 Procurement Goals:**

The agency ensured equal opportunity access for small businesses, small disadvantaged businesses, 8(a) small businesses, woman-owned businesses, HUBZones, service-disabled veteran-owned small businesses, and persons with disabilities (Ability One, previously referred to as the Javits-Wagner-O’Day Act or “JWOD”) in all USDA contracting activities.

**GOAL INDICATOR: 5.1 (b) Outreach:**

Created or enhanced its outreach efforts to increase procurement with small businesses, small disadvantaged businesses, 8(a) small businesses, woman-owned businesses, HUBZones, service-disabled veteran-owned small businesses, and persons with disabilities (Ability One, previously referred to as the Javits-Wagner-O’Day Act or “JWOD”):

- (a) Participated in meetings (monthly, quarterly, and semi-annually) hosted by OSDDBU;
- (b) Engaged and informed OSDDBU on business opportunities offered by the agency, proactively increasing viability of OSDDBU’s role in agency’s contracting activities; and
- (c) Provided necessary resources to conduct outreach efforts with OSDDBU.

Agencies are required to provide evidence of how they met each of these requirements. Agencies must provide a succinct written rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total: 6 Points (Each of the three Goal Indicators described above is worth 2 points)**

**2 Points:** Met or exceeded the expectation of OSDDBU’s working relationship with the Agency.

**1 Point:** Minimal working relationship with OSDDBU.

**0 Point:** No action taken by the Agency.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 6. Secretary's Commitment:**

Secretary Vilsack called for a cultural transformation at USDA. He has developed a Transformation Task Force, comprised of a diverse group of USDA leadership, and the team has begun meeting and developing a draft plan to reach the Secretary's goal.

**PERFORMANCE OBJECTIVE: 6.1 Secretary's Commitment:**

Took affirmative steps to implement each of the areas illustrated by the Secretary.

**GOAL INDICATOR: 6.1 (a) Implementation of the Secretary's Commitment:**

The Secretary's commitment of a successful transformation includes:

1. An inclusive workplace environment where there is equity of opportunity and all employees are empowered to reach their full potential;
2. Modernization of technology and systems that will enable us to provide the highest level of service;
3. Improving USDA's past and future record of civil rights, including expanded outreach efforts to socially-disadvantaged farmers and ranchers;
4. Systems of accountability that encourage all employees to achieve high standards of performance and customer service; and
5. Creating diversity in the workforce and succession planning.

Agencies are required to submit portions of the Plan developed per recommendations issued by the Task Force and to provide a succinct narrative rationale with documented evidence as to the self-assessed point value was determined.

**SCORING: Total 10 Points (Each of the five (5) Goal Indicators described above is worth 2 points)**

**2 points:** Implemented 80-100 percent of the plan developed per recommendations issued by the Task Force.

**1 point:** Implemented 60-79 percent of the plan developed per recommendations issued by the Task Force.

**0 Point:** Implemented less than 59 percent of the plan developed per recommendations issued by the Task Force.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL: 7. Implementation of the Secretary’s Commitment to Diversity:**

This goal is pursuant to the Secretary’s directive for a USDA cultural transformation as ONE USDA. In order to reach the Secretary’s goal of expanding diversity in the Department, the Office of Human Resources Management developed a Diversity Strategic Plan<sup>1</sup> comprised of six components: 1) Leadership Accountability and Commitment; 2) Outreach and Partnership; 3) Recruiting and Hiring, 4) Retention and Promotion; 5) Diversity Training and Awareness; and 6) Employee Development and Recognition. In addition, the Secretary appointed seven Mission Areas and three Staff Office Diversity Officers to lead the transformation of diversity within USDA.

**PERFORMANCE OBJECTIVE: 7.1 Agency’s Commitment to Diversity:**

Took affirmative steps to implement each of the six component areas illustrated by the Diversity Strategic Plan and ensured that goals and timelines are accomplished accordingly.

**GOAL INDICATOR: 7.1 (a) Implementation of the Diversity Strategic Plan to meet all requirements and timelines:**

USDA’s Diversity Strategic Plan has specific goals, activities, and timelines, organized around the following six components:

1. Leadership Accountability and Commitment;
2. Outreach and Partnership;
3. Recruitment and Hiring;
4. Retention and Promotion;
5. Diversity Training and Awareness; and
6. Employee Development and Recognition

Agencies must provide a succinct narrative rationale with documented evidence as to how the Agency determined its self-assessed point value and how the goals and objectives were implemented and accomplished.

Agencies must provide succinct written rationale and documented evidence as to how the self-assessed point value was determined.

**SCORING: Total 6 Points (Each of the six components described above is worth one point)**

**6 points:** Achieved **80–100 percent** of all applicable goals, objectives, and activities based on timelines defined in the Diversity Strategic Plan.

**4 points:** Developed and implemented **60–79 percent** of the plans to achieve the goals, objectives, and timelines included in the Diversity Strategic Plan.

**0 Point:** Developed and implemented less than **59 percent** of the plans.

**AGENCY/ORGANIZATION RESPONSE:**

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<sup>1</sup> Reference U.S. Department of Agriculture FYs 2011-2012 Diversity Road Map, Memorandum dated November 15, 2010, Karen A. Messmore, Director, Office of Human Resources Management.

**GOAL: 8. Establishment and Implementation of a Special Emphasis Program to Expand Diversity:**

Developed and implemented a Special Emphasis Program (SEP) in accordance with the intent and purpose of 29 C.F.R. Part 1614.102 (“Agency program”), and DR 4230.002, “Special Emphasis Program” (June 4, 2009). The Agency is required to further develop and conduct a Special Emphasis Assessment Plan to evaluate and measure the effectiveness of the Agency’s efforts to expand and achieve diversity in the workforce.

**PERFORMANCE OBJECTIVE: 8.1 Agency’s Commitment:**

Took affirmative steps to develop and implement an Agency SEP in accordance with DR 4230.002, “Special Emphasis Program” (June 4, 2009). The Agency adhered to the EEO laws and valued diversity to ensure that the Agency develops a talented and committed workforce that can accomplish the mission effectively and efficiently.

**GOAL INDICATOR: 8.1 (a) Implementation of SEP Program:**

The Agency provided written and documented evidence as to how it developed and implemented SEPs and appointed Special Emphasis Program Managers (SEPMs) for the following population groups:

- (a) African American;
- (b) American Indian/Alaska Native;
- (c) Asian American/Pacific Islander;
- (d) Persons with Disabilities;
- (e) Lesbian, Gay, Bisexual, and Transgendered (LGBT);
- (f) Hispanic;
- (g) Veterans; and
- (h) Women

SEPs are characteristic of the following:

- An extension of management;
- Representative of a constituent group;
- Participated in all aspects of the Agency’s Equal Employment Opportunity Affirmative Programs;
- Involved in the Agency’s recruitment and hiring initiatives and efforts; and
- Monitors the Agency’s employment and advancement opportunities.

Overall, SEPs address the unique concerns of the constituent groups. The measure of an effective SEP is indicative of the results achieved toward the Agency’s civil rights program objectives.

The roles of the SEPM involve those of both the manager and the advisor/coordinator.

The role of the SEPM includes the following:

- Informs management of their responsibilities to the SEP;
- Stays aware of the statutes, laws, regulations, and directives governing EEO;
- Understands the organization’s mission and personnel management system;
- Identifies barriers to employment and advancement; and

- Delegates program responsibilities to other responsible officials.

The role of SEP advisor/coordinator includes the following:

- Serves as an advisor to both management and the workforce;
- Recommends solutions to employment and advancement issues;
- Serves as a referral agent for different sources of information; and
- Coordinates with the EEO, Human Resources, Diversity Program Office, and other SEPMs on activities;
- Cultivates relationships with key offices, organizations, and people; and
- Recognizes organizations for their contributions to EEO programs.

Agencies must provide a succinct narrative rationale with documented evidence as to how the self-assessed point value was determined and how they met the intent and purpose of DR 4230-002, “Special Emphasis Program” (June 4, 2009).

**SCORING: Total 3 Points for establishment of Agency/Staff Office SEPs and SEP Strategy**

**3 points:** Achieved 80–100 percent of plans and activities for development and implementation of SEP and SEP strategy according to 29 C.F.R. Part 1614.102 (“Agency program”) and DR 4230-002.

**2 points:** Achieved 60–79 percent of plans and activities for development and implementation of SEP and SEP strategy according to 29 C.F.R. Part 1614.102 (“Agency program”) and DR 4230-002.

**0 Point:** Achieved less than 59 percent of the proposed plans and activities.

**AGENCY/ORGANIZATION RESPONSE:**

**GOAL INDICATOR: 8.1 (b) Special Emphasis Assessment Plan:**

The Agency/Staff Office(s) provided written and documented evidence as to how they developed and conducted a Special Emphasis Assessment Plan to evaluate and measure the effectiveness of the Agency's efforts to expand and achieve diversity in the workforce.

The Agency's Special Emphasis Assessment Plan should include written documentation that demonstrates, but is not limited to, the following:

**I. Scope of the Assessment Plan**

- A. Describe what has been done;
- B. Describe what needs to be done;
- C. Describe implementation process (i.e., How it is done); and
- D. Describe what resources are needed.

**II. Timeframe and Resources**

- A. Identify allocation of time and funding; and
- B. Identify program's needs and develop planned actions to address needs.

**III. Conducting an Assessment Plan**

- A. Utilization of statistics:
  - 1. Determine under representation(s) by comparing agency workforce to the appropriate Civilian Labor Force table;
  - 2. Compare/analyze workforce data, according to race, national origin and sex, and persons with disabilities:
    - a. Obtain/analyze data on new hires, promotions, and training;
    - b. Obtain /analyze data on awards, higher grade distribution, complaints; and
  - 3. Analyze available skills in local labor market or agency recruiting area.
- B. Utilization of other resources, such as:
  - 1. Federal Equal Opportunity Recruitment Plan;
  - 2. Agency's Affirmative Program Plan and updates;
  - 3. Training data (e.g., compare and analyze percent of persons trained with percent of total employees in the workforce);
  - 4. Complaints data;
  - 5. Human Resource Office or EEO evaluations; and
  - 6. Personal contacts (e.g., recruiting, labor organizations, universities and colleges, etc.)

**IV. Reporting**

- A. Problems identified for population group(s) (e.g., recruitment, training, etc.);
- B. List sources and methods employed;
- C. Finding and specifying problems grouped by category; and
- D. Summary of findings with recommendations and/or resolutions.

Agencies must provide a succinct narrative rationale with documented evidence as to how the self-assessed point value was determined.

**SCORING: Total 3 Points for establishment of Agency/Staff Office Special Emphasis Assessment Plan**

**3 points:** Developed and implemented 80–100 percent of the SEP strategic plan, evaluation and assessment.

**2 points:** Developed and implemented 60–79 percent of the SEP strategic plan, evaluation and assessment.

**0 point:** Developed and implemented less than 59 percent of the SEP strategic plan, evaluation and assessment.

**AGENCY/ORGANIZATION RESPONSE:**