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### Glossary of Terms<sup>1</sup>

**ACTION ITEM:** Clearly identified step to the attainment of an objective.

**BARRIER:** Personnel principle, policy, or practice, which restricts or tends to limit the representative employment of applicants and employees, especially minorities, women and individuals with disabilities.

**CIVILIAN LABOR FORCE (CLF):** Data derived from the decennial census reflecting persons 16 years of age or older, who were employed or seeking employment. This data excludes those in the Armed Services. CLF data used in this report is based on the 2010 Census.

**CONSPICUOUS ABSENCE:** A particular EEO group that is nearly or totally nonexistent from a particular occupation or grade level in the workforce.

**INDIVIDUAL WITH A DISABILITY:** A person who (1) has a physical impairment or mental impairment that substantially limits one or more of that person's major life activities; (2) has a record of such impairment; or (3) is regarded as having such an impairment.

**TARGETED DISABILITIES:** Disabilities "targeted" for emphasis in affirmative action planning. Targeted disabilities include deafness, blindness, missing extremities, partial paralysis, complete paralysis, convulsive disorders, intellectual disabilities, mental illness, and a genetic or physical condition affecting limbs and/or spine.

**EEO GROUPS:** White men and women (not of Hispanic origin); Black men and women (not of Hispanic origin); Hispanic men and women; Asian American/Pacific Islander men and women; and American Indian/Alaskan Native men and women.

**EMPLOYEES:** Permanent, full, or part-time members of the agency workforce including those in Excepted Service positions; this does not include temporary or intermittent individuals.

**MAJOR OCCUPATIONS:** Mission oriented occupations or other occupations with 50 to 100 or more employees.

**MINORITIES:** Black or African American, Hispanic or Latino, Asian, American Indian or Alaskan Native, Native Hawaiian or Other Pacific Islander.

**NSF STAFF CATEGORIES:** Science and Engineering (S&E) - includes positions in science, engineering, and education plus management and general administration positions with program responsibilities in the organizational directorates; Business Operations – includes "professional" positions such as Accountant/Auditor and Librarian plus all remaining administrative positions not included in the S&E category above; and Program Support – includes technical and clerical positions.

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<sup>1</sup> Definitions are in accordance with EEOC guidelines and NSF's staff groupings.

**OBJECTIVE:** Statement of a specific end product or condition to be attained by a specific date. Accomplishment of an objective will lead to the elimination of a barrier or other problem.

**PARITY:** Representation of EEO groups in a specific occupational category or grade level in the agency's workforce that is equivalent to its representation in the appropriate CLF.

**PARTICIPATION RATE:** The extent to which members of a specific demographic group participate in an agency's work force.

**PROBLEM:** A situation that exists in which one or more EEO groups do not have full equal employment opportunity.

**PROGRAM ANALYSIS:** Review of entire agency's affirmative employment program.

**PROGRAM ELEMENT:** Prescribed program area for assessing where agencies should concentrate their affirmative employment program analysis and plan development.

**RACE-NATIONAL ORIGIN-ETHNICITY:**

**White** – Not of Hispanic Origin. All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

**Black or African American** – All person having origins in any of the Black racial groups of Africa.

**Hispanic** – All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

**Asian** – All persons having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent. This area includes Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

**American Indian or Alaskan Native** – All persons having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.

**Native Hawaiian or Pacific Islander** – All persons having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

**RELEVANT CIVILIAN LABOR FORCE (RCLF):** Civilian Labor Force (CLF) data that are directly comparable (or relevant) to Federal workforce data.

**RESPONSIBLE OFFICIAL:** Executive, Manager, or Supervisor who is accountable for accomplishing an action item.

**TOTAL WORK FORCE:** All employees of an agency subject to 29 C.F.R. Part 1614 regulations, including temporary, seasonal, and permanent employees.

**TARGET DATE:** Date (month/year) for completion of an action item.

For period covering October 1, 2014, to September 30, 2015

<b>PART A</b>  Department or Agency Identifying Information	<b>1. Agency</b>		<b>1. National Science Foundation</b>	
	1.a. 2 <sup>nd</sup> level reporting component			
	1.b. 3 <sup>rd</sup> level reporting component			
	1.c. 4 <sup>th</sup> level reporting component			
	<b>2. Address</b>		<b>2. 4201 Wilson Boulevard</b>	
	<b>3. City, State, Zip Code</b>		<b>3. Arlington, Virginia 22230</b>	
	<b>4. CPDF Code</b>	<b>5. FIPS code(s)</b>	<b>4. 51</b>	<b>5. 24,11</b>
<b>PART B</b>  Total Employment	1. Enter total number of permanent full-time and part-time employees			<b>1. 1,221</b>
	2. Enter total number of temporary employees			<b>2. 230</b>
	3. Enter total number employees paid from non-appropriated funds			<b>3. 0</b>
	<b>4. TOTAL EMPLOYMENT [add lines B 1 through 3]</b>			<b>4. 1,451</b>
<b>PART C</b>  Agency Official(s) Responsible For Oversight of EEO Program(s)	1. Head of Agency Official Title		<b>1. Dr. France Córdova Director</b>	
	2. Agency Head Designee		<b>2. Rhonda J. Davis</b>	
	3. Principal EEO Director/ Official Title/series/grade		<b>3. Rhonda J. Davis, Office Head, ES-0260-00</b>	
	4. Title VII Affirmative EEO Program Official		<b>4. Tracey L. France</b>	
	5. Section 501 Affirmative Action Program Official		<b>5. Pamela J. Smith</b>	
	6. Complaint Processing Program Manager		<b>6. Jennifer Johnson</b>	
	7. Other Responsible EEO Staff		<b>7. Donna Webb, Staff Associate for Operations</b>	

**EEOC FORM  
715-01  
PARTS A - D  
U.S. Equal Employment Opportunity Commission  
FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT**

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

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]	X
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]	X	*Copy of Facility Accessibility Survey results as necessary to support EEO Action Plan for building renovation projects <sup>2</sup>	NA
*Copies of relevant EEO Policy Statement(s) and/or excerpts from revisions made to EEO Policy Statements	X	*Organizational Chart	X

<sup>2</sup> Due to the moratorium on building renovation because of the anticipated move to the new building in 2017 – 2018, we do not have a facility accessibility survey

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**EEOC FORM  
715-01  
PART E  
U.S. Equal Employment Opportunity Commission  
FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT**

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**National Science Foundation  
October 1, 2014 to September 30, 2015**

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## **Executive Summary**

The National Science Foundation (hereinafter "NSF") was established by Congress in 1950 as an independent agency of the Federal government with the mission "to promote the progress of science; to advance the national health, prosperity, and welfare; and to secure the national defense." NSF supports fundamental research at the frontiers of knowledge, across all fields of science and engineering (S&E) and S&E education. With an annual budget of about \$7.3 billion (fiscal year 2015), the agency is the funding source for approximately 25 percent of all federally supported fundamental research conducted by America's colleges and universities.

NSF accomplishes its mission primarily by making merit-based grants and cooperative agreements to colleges, universities, and other institutions to support researchers throughout the nation. Each year, NSF uses a merit review process to select new awards from competitive proposals submitted by the S&E research and education communities. In FY 2015, NSF evaluated 49,600 proposals and made 12,000 competitive awards. NSF's merit review uses two criteria to evaluate the proposed activity – its intellectual merit (meaning the potential to advance knowledge) and the broader impacts (encompassing the potential to benefit society and contribute to achieving specific, desired societal outcomes).

Over the years, NSF-funded research and education projects and world-class S&E infrastructure have led to many significant discoveries. More than 200 Nobel Prize winners received support from NSF at some point in their careers, and the highly acclaimed achievements of these laureates are but a small fraction of the advances enabled by NSF – advances that, in turn, have stimulated economic growth and improved the quality of life, health, and security for all Americans.

In order to unleash the Nation's innovation potential, a well-prepared knowledge workforce – one that is steeped in the expanding knowledge base and the advanced technology being generated by fundamental research activities – is essential. NSF meets this need by seamlessly integrating the education of future scientists, engineers, and educators into the broad portfolio of research that we support. This investment strategy generates not only groundbreaking S&E discoveries, but it also equips the future S&E workforce with the knowledge and experience to apply the most advanced concepts and technology to meet societal challenges.

One of the core values in the 2014-2018 NSF Strategic Plan is: Inclusiveness – seeking and embracing contributions from all sources, including underrepresented groups, regions, and institutions. Diversity and Inclusion (D&I) is one of the performance goals under NSF's "Excel as a Federal Science Agency" strategic goal. The goal is specifically aligned with strategic goal 3, objective 1: "build an increasingly diverse,

engaged, and high-performing workforce by fostering excellence in recruitment, training, leadership, and management of human capital.” NSF has a strong commitment to diversity and to taking the necessary actions to attain model EEO status.

The Federal Personnel Payroll System (FPPS) reflects that NSF’s total workforce for FY 2015 consisted of 1,451 employees – 1,221 permanent and 230 temporary.<sup>3</sup> The NSF workforce is distributed across seven science, technology, engineering and mathematics (STEM) directorates and five business offices. The STEM directorates include many temporary employees as either Intergovernmental Personnel Act (IPAs) assignees (not included in FPPS) or Visiting Scientists, Engineers, and Educators (VSEEs).<sup>4</sup> NSF does not employ wage grade workers.

### **SUMMARY ANALYSIS OF NSF’S WORKFORCE**

Over the last fiscal year, NSF has made progress in diversifying and broadening participation in its workforce through recruitment and training activities and has made strides towards attaining model EEO status as defined by the Equal Employment Opportunity Commission (EEOC). NSF’s workforce strategy seeks to serve not only the Federal workforce but the wider academic and research communities.

The EEOC requires that agencies compute the net change within a demographic group, within the workforce, between two time periods. This net change is calculated by taking the difference between the number of employees in a demographic group at the end of the current fiscal year and the prior fiscal year and dividing this number by that in the prior fiscal year. If a group’s percentage decreased, the net change is negative. If a group displays a net change lower than that for the total workforce, this may signal that there is a barrier to participation.

One benchmark for determining underrepresented groups in NSF’s total workforce is the Civilian Labor Force (CLF), to which the total agency workforce data are compared in Chart 1. When compared to the 2010 Census CLF, the following groups were identified as below parity:<sup>5</sup>

- Males (12.35% below parity)
- Whites (13.09% below parity)
- Hispanic/Latinos (6.45% below parity)

Two additional race/ethnic categories, American Indian/Alaska Natives and those who report two or more races, were less than 1% below parity. Native Hawaiian/Pacific Islanders were slightly above parity in the NSF total workforce. Conversely, categories over-represented in the NSF total workforce when compared to the 2010 CLF were:

- Females (12.35% above parity)
- Black/African Americans (16.24% above parity)
- Asians (3.96% above parity)

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<sup>3</sup> For FY 2015, the MD-715 report includes employees of the Office of Inspector General (OIG) and the National Science Board (NSB). Also, the data pulled from the FPPS reflect the use of the first and last full pay periods of FY 2015.

<sup>4</sup> IPAs are not reflected in this analysis. Nevertheless, NSF recognizes that IPAs are an important component of its workforce and plans to assemble data for this group in future reports.

<sup>5</sup> The data is extracted from data Table A1. The data tables are contained at Appendix A and B of this report. Also, as a result of rounding the numbers, there may be a slight difference in the numerical values provided throughout the report.

**Chart 1. NSF Total Workforce, FY 2014 and FY 2015**

	Number		Percent of Total Workforce		Comparisons		
	FY 2014	FY 2015	FY 2014	FY 2015	Change: FY 2015 - FY 2014 (%)	2010 CLF (%)	Gap: FY 2015 - 2010 CLF (%)
<b>All</b>	1432	1451			1.33%		
<b>Sex</b>							
Female	882	878	61.59%	60.51%	-0.45%	48.16%	12.35%
Male	550	573	38.41%	39.49%	4.18%	51.84%	-12.35%
<b>Race/Ethnicity</b>							
White	854	860	59.64%	59.27%	0.70%	72.36%	-13.09%
Black/African American	403	410	28.14%	28.26%	1.74%	12.02%	16.24%
Asian	107	114	7.47%	7.86%	6.54%	3.90%	3.96%
Hispanic/Latino(a)	50	51	3.49%	3.51%	2.00%	9.96%	-6.45%
American Indian / Alaska Native	7	5	0.49%	0.34%	-28.57%	1.08%	-0.74%
Native Hawaiian/Pacific Islander	6	4	0.42%	0.28%	-33.33%	0.14%	0.14%
Two or more races	5	7	0.35%	0.48%	40.00%	0.54%	-0.06%
<b>Disability Status</b>							
Targeted Disability	15	15	1.05%	1.03%	0.00%		
Disability	125	214	8.73%	14.75%	71.20%		

\*Note: CLF = Civilian Labor Force

Sources: *Workforce Data Tables A1 and B1*

The Federal high for Individuals with Targeted Disabilities was 2.0

Chart 2 disaggregates the NSF workforce by permanent (n=1,221) versus temporary appointments (n=230). There were a few ways in which the NSF temporary workforce differed from those in the permanent workforce (see “Gap: % Perm - % Temp” column) as follows:

- Males were more likely to be in the NSF temporary workforce with females more likely to be in the NSF permanent workforce.
- Whites were more likely to be in the NSF temporary workforce with Blacks/African Americans more likely to be in the NSF permanent workforce.
- Asians were slightly more likely to be in the NSF temporary workforce than to be in the permanent workforce.



**Chart 2. Comparison: FY 2015 NSF Permanent Workforce to FY 2015 NSF Temporary Workforce and 2010 Civilian Labor Force**

	Number		Percent of Total Workforce		Gap: % Perm - % Temp	2010 CLF (%)	Gap: Perm - 2010 CLF
	Perm.	Temp.	Perm.	Temp.			
<b>All</b>	1221	230					
<b>Sex</b>							
Female	768	110	65.70%	49.55%	16.15%	48.16%	17.54%
Male	453	120	38.75%	54.05%	-15.30%	51.84%	-13.09%
<b>Race/Ethnicity</b>							
White	689	171	58.94%	77.03%	-18.09%	72.36%	-13.42%
Black/African American	384	26	32.85%	11.71%	21.14%	12.02%	20.83%
Asian	92	22	7.87%	9.91%	-2.04%	3.90%	3.97%
Hispanic/Latino(a)	42	9	3.59%	4.05%	-0.46%	9.96%	-6.37%
American Indian / Alaska Native	6	1	0.51%	0.45%	0.06%	1.08%	-0.57%
Native Hawaiian/Pacific Islander	3	1	0.26%	0.45%	-0.19%	0.14%	0.12%
Two or more races	5	0	0.43%	0.00%	0.43%	0.54%	-0.11%
<b>Disability Status</b>							
Targeted Disability	13	0	1.11%	0.00%	1.11%		
Disability	111	13	9.50%	5.86%	3.64%		

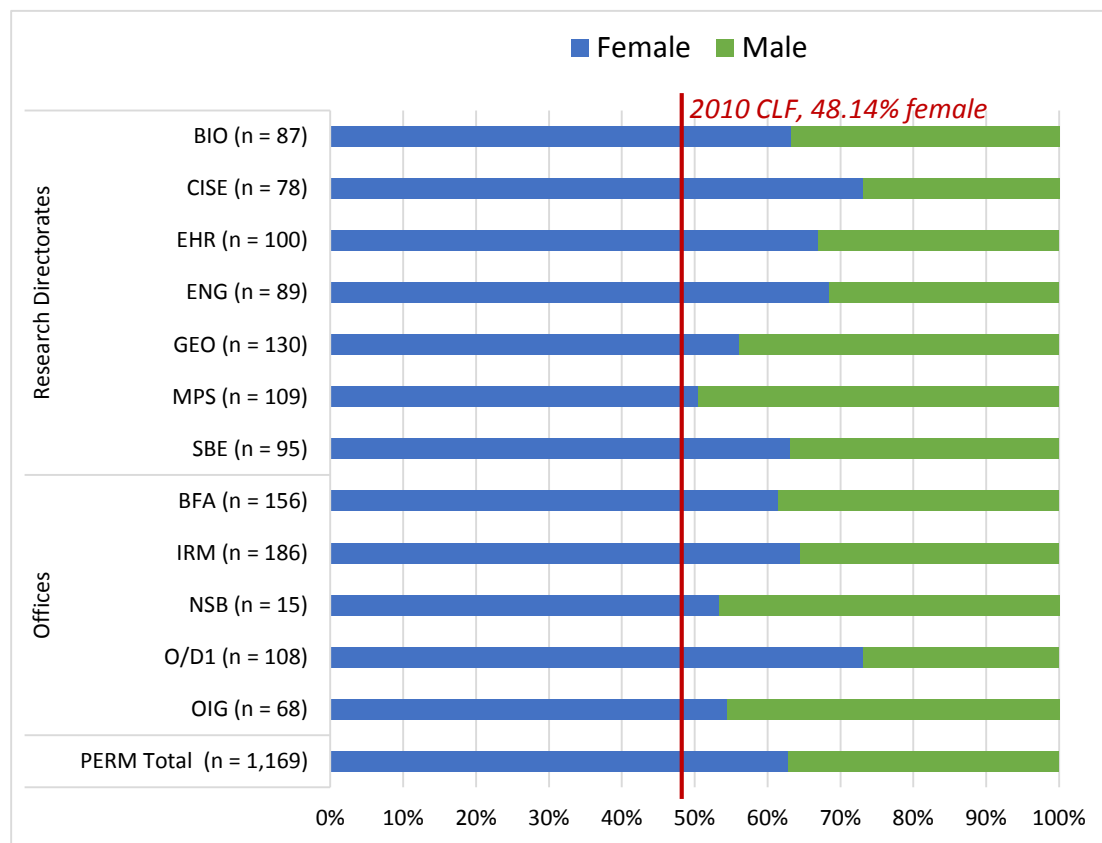
\*Note: CLF = Civilian Labor Force

The Federal high for Individuals with Targeted Disabilities was 2.0

- NSF’s 1,221 permanent employees in 2015 were distributed across 12 components including seven “research directorates,” which are tightly connected to the agency mission of implementing programs, and five “offices” that support the NSF mission via business and administrative functions.
- The demographic composition for each of NSF’s 12 components by sex and race/ethnic category are shown in Chart 3 (sex) and Chart 4 (race/ethnic category).

**Chart 3. Sex of NSF Permanent Workforce by Component, FY 2015**

(Source: Workforce Data Table A2-Permanent)



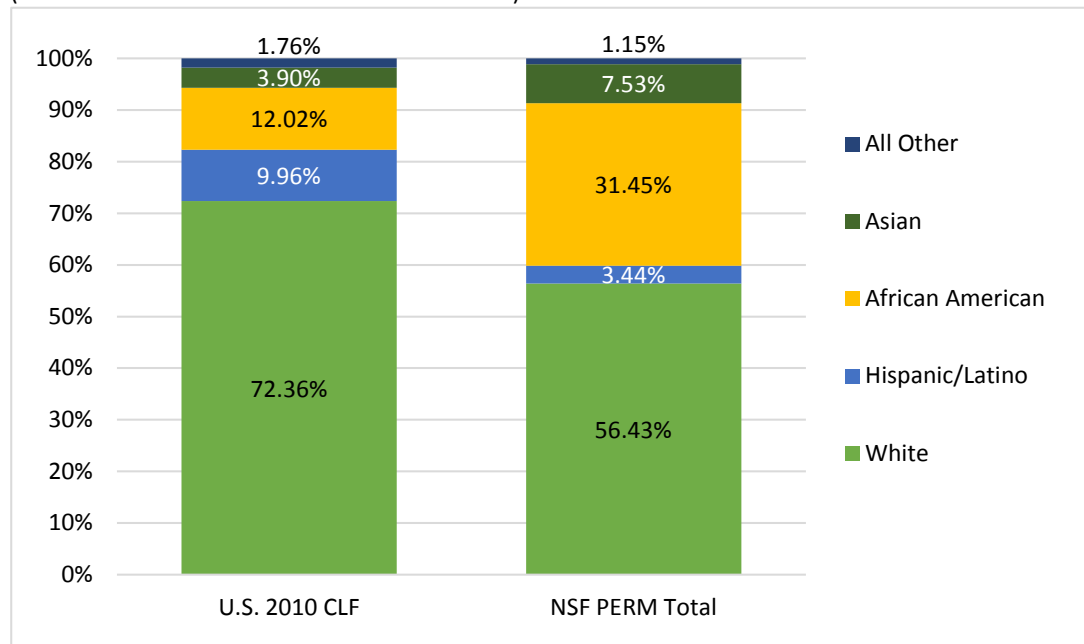
- Overall, 63% of NSF’s permanent employees were female, which is higher than the U.S. national representation of females in the labor force (48% female);
- Females accounted for at least half of all permanent employees in all of NSF’s directorates;
- The Mathematics and Physical Sciences (MPS) directorate had the lowest relative number of female employees (50%);
- Females accounted for more than 70% of employees in the Office of the Director (O/D) and in the Computer and Information Science and Engineering (CISE) directorate.

Charts 4 and 5 show the race/ethnic composition of the FY 2015 NSF permanent workforce. Chart 4 shows that overall, the NSF workforce had a relatively higher percentage of minorities<sup>6</sup> (44%) than the CLF (28%).

<sup>6</sup> “Minorities” includes employees who simultaneously did not identify as white and did not indicate Hispanic/Latino origin.

#### Chart 4. Race/Ethnic Composition of the FY 2015 NSF Permanent Workforce Compared to the 2010 U.S. Civilian Labor Force (CLF)

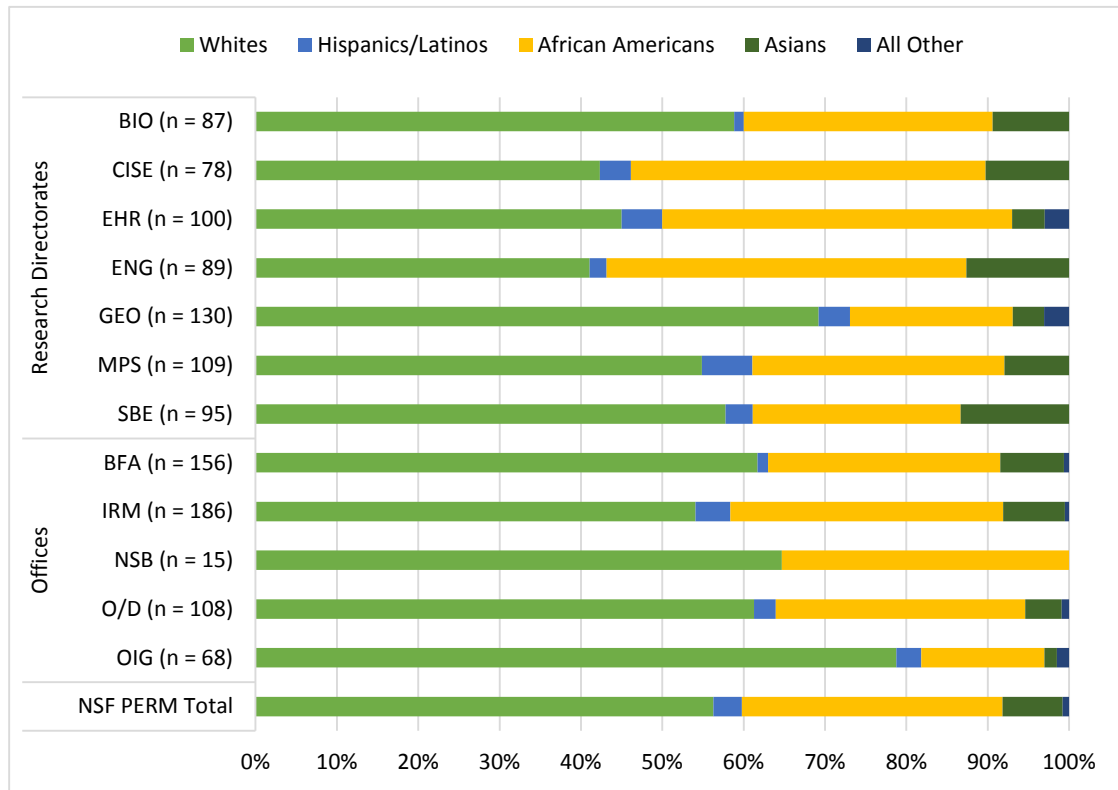
(Source: Workforce Data Table A2-Permanent)



- NSF’s components’ ethnic compositions varied greatly, for example:
  - 79% of the NSF Office of the Inspector General (OIG) permanent workforce were white, with relatively small representations of Asians and African Americans when compared to other directorates;
  - African Americans accounted for 43-44% of the permanent workforce in three directorates: Engineering (ENG), Computer and Information Science and Engineering (CISE), and Education and Human Resources (EHR).
  - While Asian employees accounted for ~7% of NSF’s overall permanent workforce and 4% of the comparable CLF, both ENG and the directorate of Social, Behavioral, and Economic Sciences (SBE) had workforces with 13% Asian permanent employees.
- Hispanic/Latinos accounted for 3.5% of the NSF workforce, a rate lower than the comparable CLF of 10% - the MPS directorate had the highest representation of Hispanic/Latino permanent employees (~6%).

**Chart 5. Race/Ethnic Composition of FY 2015 NSF Permanent Workforce by Component**

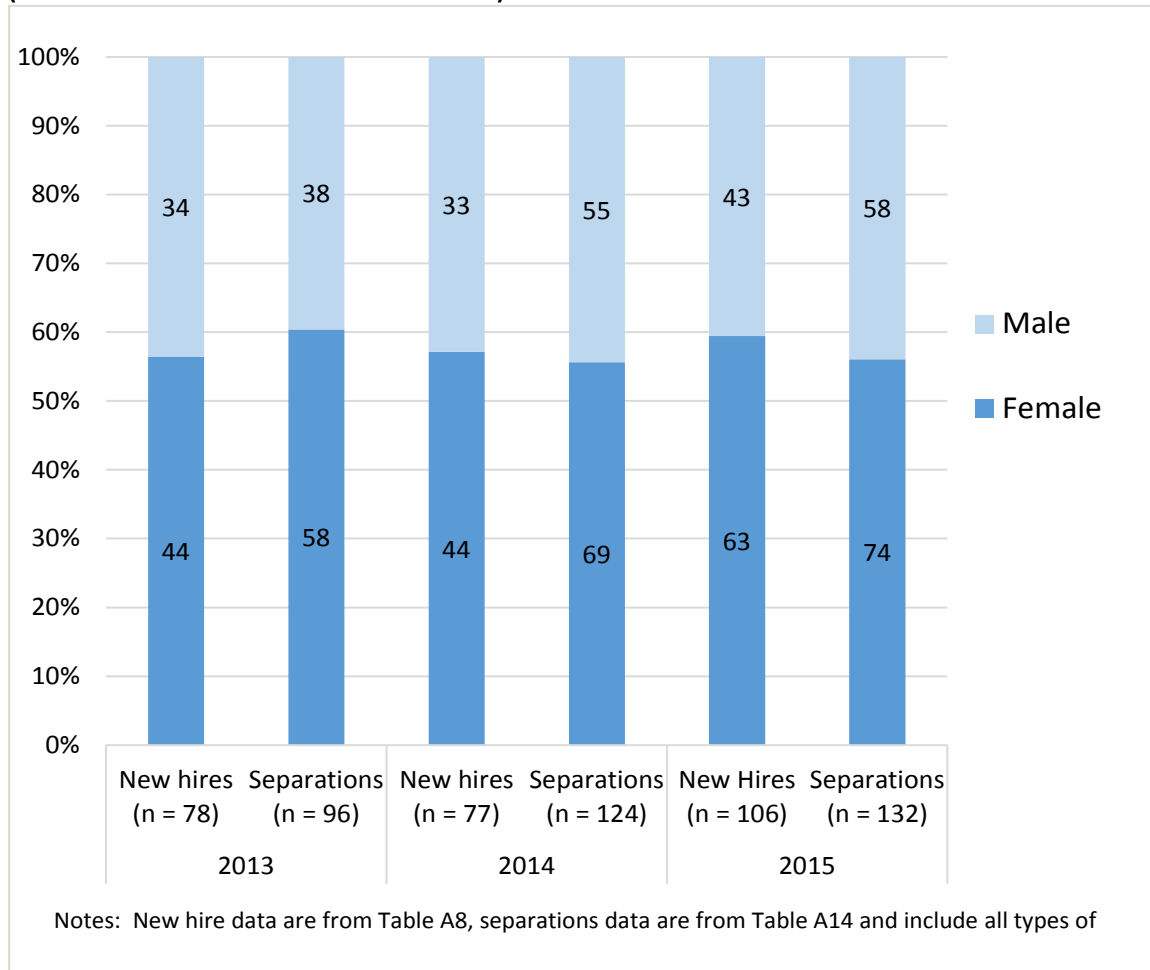
(Source: Workforce Data Table A2)



- Recent new hires to and separations from the NSF permanent workforce by race/ethnicity and sex are shown in Charts 6 and 7.
- There were a similar number of new hires in both 2013 and 2014 with a 38% increase in new hires in 2015.
- The number of total separations from the NSF workforce has risen each year since 2013 from 96 to 132 in 2015, representing a 37.5% increase over that period.

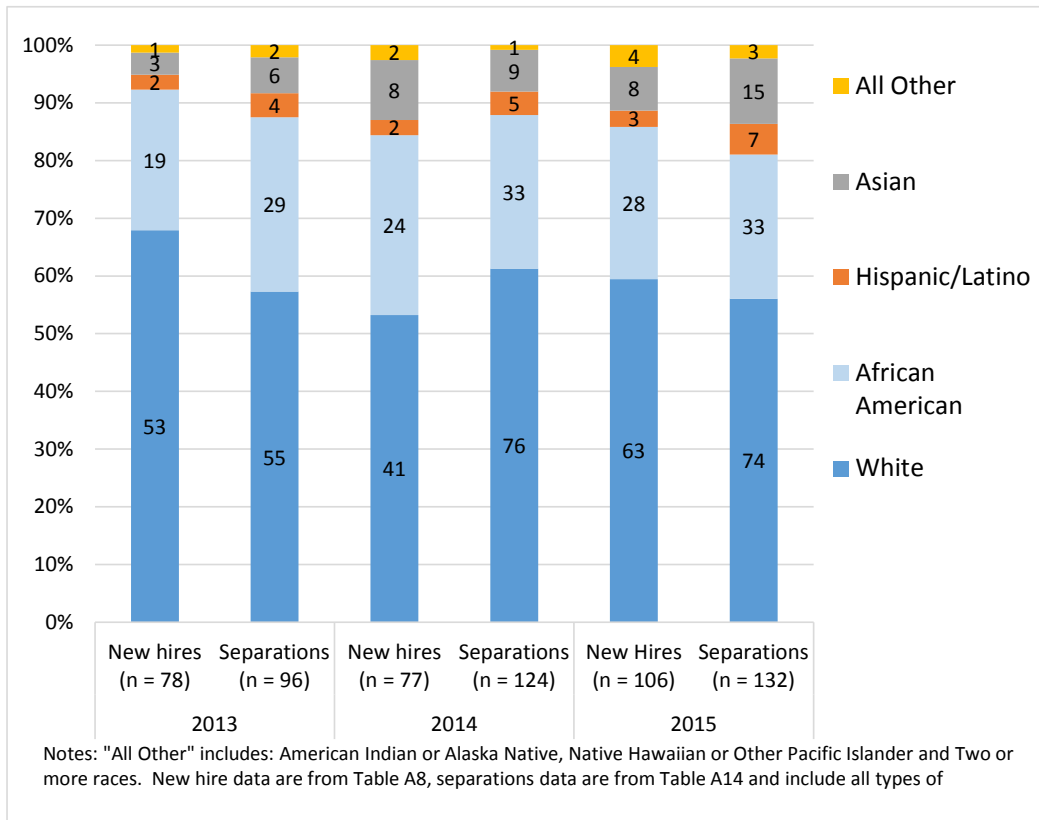
**Chart 6. NSF New Hires and Separations (all types) by Sex, FY 2013 - 2015**

(Source: Workforce Data Tables A8 and A14)



- The sex representation among new hires was similar in 2013 and 2014;
- In 2015, women’s representation among newly hired permanent employees increased slightly to just over 59%;
- Men accounted for a higher percentage of separations in 2014 and 2015 (44%) than in 2013 (40%).

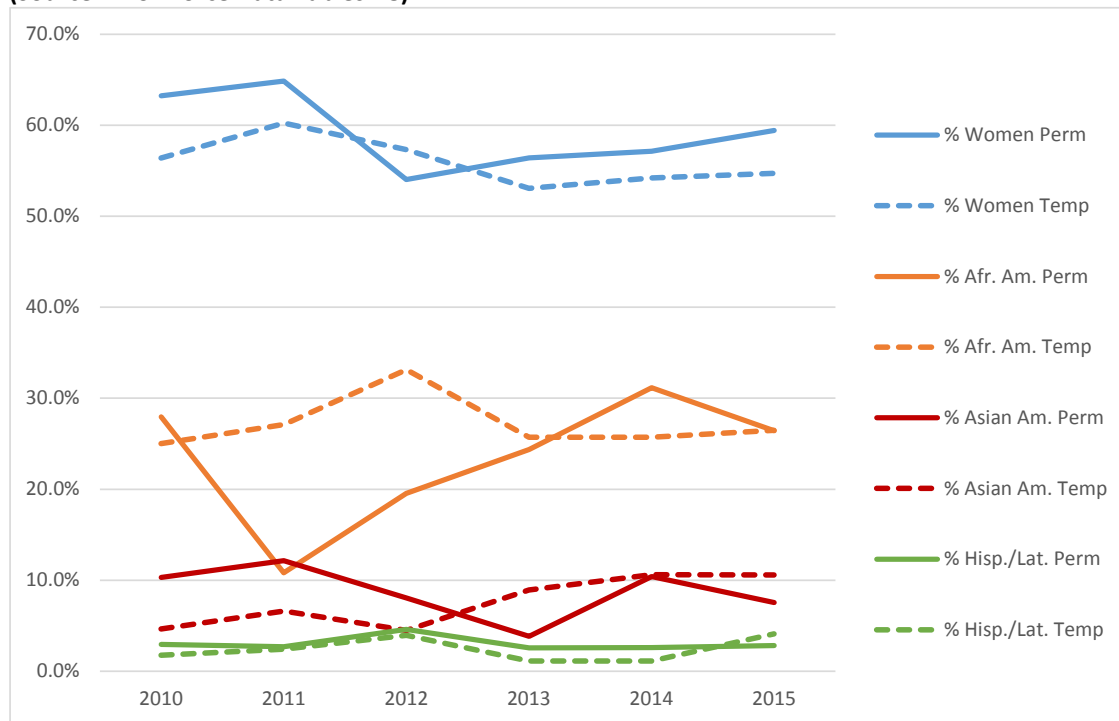
**Chart 7. NSF New Hires and Separations (all types) by Race/Ethnicity, FY 2013 – FY 2015**  
 (Source: Workforce Data Tables A8 and A14)



- African Americans accounted for 26% of permanent new hires in 2015, a decrease from the 31% in 2014;
- The representation of African Americans among permanent separated employees continued to decline in FY 2015 to 25% from the 30% level in 2013;
- Hispanic/Latinos accounted for just under 3% of new hires in each of the three years, underscoring previously identified issues associated with representation of Hispanic/Latinos in the NSF permanent workforce;
- Hispanic/Latinos accounted for a slightly higher percentage of separated permanent employees in 2015 (5%) compared to 2014 (4%);
- The representation of Asians among new hires increased from 4% in 2013 to 10% in 2014 and decreased slightly to just under 8% in 2015; and
- The representation of whites among new hires declined from 68% in 2013 to 53% in 2014 and increased to 59% in 2015.

The minor year-on-year volatility suggests that three-year moving averages might be more useful in understanding trends in workforce composition by both sex and race/ethnicity.

**Chart 8. NSF New Hires by Appointment Type, Sex, and Selected Race/Ethnicity, FY 2010 – FY 2015**  
 (Source: Workforce Data Tables A8)



**Longer Term Trends**

Chart 8 shows the demographic trends in hiring for both permanent (solid lines) and temporary (dashed lines) staff at NSF.

- With the exception of African American new hires in 2011, the relative representation of groups among NSF’s new hires varied little between 2010 and 2015.
- Women accounted for more than half of NSF’s temporary and permanent new hires since 2010.
- Hispanic/Latinos accounted for five percent or less of new hires since 2010.

For this report, NSF focused on the five areas that were part of the EEOC's Federal Sector Complement Plan Review in 2014: (1) Schedule A conversions and (2) reasonable accommodation program in regard to NSF's Disability Program; (3) anti-harassment program; (4) barrier analysis of executive level positions, and (5) compliance with the EEOC's management directive. In 2014, NSF began to identify relevant benchmarks and promising practices for these focus areas, which are addressed in other agency reports, including the Federal Equal Opportunity Recruitment Program (FEORP) and the Disabled Veterans Affirmative Action Plan (DVAAP).

### **Disability Program**

The Office of Personnel Management (OPM) provides the most current federal workforce data available for Individuals with Disabilities (IWDs) and Individuals with Targeted Disabilities (IWTDs). According to OPM, in 2014, the federal workforce reported 8.99% IWDs and 1.07% IWTDs.

An analysis of IWDs in NSF's workforce shows that 125 employees at NSF reported having disabilities, representing 8.55% of the total workforce, and 15 employees self-identified as having targeted disabilities, representing 1.03% of the total workforce. The number of IWTDs is below the federal high for individuals, which is 2% (Table B1). There was no change in the number of IWTDs from FY14 to FY15 despite having an agency Plan for the Recruitment and Hiring of Individuals with Disabilities and Targeted Disabilities FY 2011 – 2016, which sets forth a 2% hiring goal for IWTDs.

Among NSF's scientific staff, which comprise the majority of NSF's mission critical occupations as well as new hires, 8.3% are IWDs and 0.85% are IWTDs. A more relevant comparison is the Survey of Doctorate Recipients (Table 1). According to the most recent survey (2013), of the 837,900 people in the U.S. with doctoral degrees in science and engineering, 73,300 (8.75%) have a disability. The survey does not distinguish between people with disabilities and people with targeted disabilities. The percentage (8.55%) of employees at NSF who reported having a disability is very close to the national benchmark.



**Table 1. Doctoral scientists and engineers, by field of doctorate and disability status: 2013**

Field	Total		With disability		Without disability	
	Number	SE	Number	SE	Number	SE
<b>All fields</b>	837,900	950	73,300	1,250	764,600	1,600
<b>Science</b>	649,000	1,000	58,900	1,200	590,100	1,600
<b>Biological/ agricultural/ environmental life sciences</b>	211,900	700	16,800	650	195,100	850
Agricultural/ food sciences	19,900	500	2,100	250	17,800	500
Biochemistry/ biophysics	32,400	1,000	1,900	250	30,400	950
Cell/ molecular biology	23,600	650	1,500	200	22,100	650
Environmental life sciences	9,100	400	1,000	200	8,000	400
Microbiology	15,200	650	1,100	200	14,100	600
Zoology	12,000	550	1,600	250	10,400	550
Other biological sciences	99,700	1,350	7,600	500	92,200	1,300
<b>Computer/ information sciences</b>	23,000	300	1,500	200	21,500	300
<b>Mathematics/ statistics</b>	39,200	400	3,800	350	35,400	550
<b>Physical sciences</b>	148,800	500	13,400	600	135,400	750
Astronomy/ astrophysics	5,700	400	300	100	5,400	400
Chemistry, except biochemistry	76,600	450	7,000	450	69,600	600
Earth/ atmospheric/ ocean sciences <sup>a</sup>	22,500	300	2,100	250	20,400	350
Physics	44,000	500	4,000	300	40,000	550
<b>Psychology</b>	120,200	500	10,900	500	109,400	700
<b>Social sciences</b>	105,900	600	12,600	550	93,300	750
Economics	27,600	350	2,800	300	24,800	450
Political sciences	24,400	650	3,000	300	21,300	650
Sociology	17,800	500	2,400	250	15,400	500
Other social sciences	36,100	750	4,300	350	31,800	750
<b>Engineering</b>	150,600	650	11,100	550	139,500	750
Aerospace/ aeronautical/ astronautical engineering	5,800	450	400	150	5,400	450
Chemical engineering	19,300	750	1,300	200	18,100	750
Civil engineering	12,700	650	1,000	200	11,800	650
Electrical/ computer engineering	43,800	400	3,300	300	40,500	500
Materials/ metallurgical engineering	15,700	650	1,300	250	14,400	600
Mechanical engineering	21,000	800	1,400	250	19,600	800
Other engineering	32,200	850	2,500	300	29,700	800
<b>Health</b>	38,300	350	3,300	300	35,000	450

Despite the challenges, NSF is committed to meeting the objectives of E.O. 13548 in a manner consistent with both NSF’s workforce needs for mission accomplishment and the agency’s employment targets. Annually, NSF sponsors the National Disability Employment Awareness Month observance. Through special emphasis programs and targeted recruitment strategies, NSF will improve its participation rates for this segment of our workforce. Some of NSF’s strategies are outlined below.

### (1) Schedule A Conversions

In FY 2015, NSF hired three employees using the Schedule A Hiring Authority. The number of Pathways participants who self-identified as having a disability was five, which represents 6.3% of all Pathways hires in FY 2015. Of the six Pathways students that were converted to permanent positions in FY 2015, none of those employees had a self-identified disability.

The agency participated in six outreach activities focused on recruiting IWDs (see Table 1).

**Table 2. NSF’s Outreach Activities Focused on IWDs in FY 2015**

	<b>Event</b>	<b>Location</b>
<b>1</b>	Operation War Fighter Job Fair	Fort Belvoir, VA; Bethesda, MD
<b>2</b>	Persons with Disabilities Diversity Career Expo	Washington, DC
<b>3</b>	Department of Veterans Affairs Rehabilitation Services Career Fair	Washington, DC
<b>4</b>	Operation War Fighter Employment Workshop	Washington, DC
<b>5</b>	Non-Paid Work Experience Career Fair	Washington, DC
<b>6</b>	Job Fair at Gallaudet University	Washington, DC

### (2) Reasonable Accommodations Program

Supporting persons with disabilities through reasonable accommodations (RA) in compliance with laws and regulations governing Federal sector equal employment opportunity (EEO) and civil rights is a high priority of NSF. NSF also works to ensure equal opportunity through policy development, workforce analyses, outreach, and education. These programs benefit NSF employees with disabilities, specifically, but also help NSF provide an open and inclusive environment for all employees. NSF’s Division of Administrative Services (DAS) continues to provide services to all NSF employees who request changes in their workspaces, such as standing work stations, combination workstations, and other modifications. Such requests are often submitted directly to DAS without requiring formal involvement by ODI.

NSF continued its partnership with the Department of Defense (DoD) Computer/Electronics Accommodation Program (CAP) to acquire assistive technology and accommodations for individuals with disabilities. The NSF Accessibility and Assessment Center (NAAC) was a collaborative effort between ODI, DAS, and DoD’s CAP. Opened in October 2015, the NAAC provides NSF employees with on-site access rather than needing to schedule an appointment to travel to the Pentagon to use the CAP. NSF employees can now test assistive technologies, receive virtual assessments from CAP representatives, and submit online equipment requests to CAP from the NAAC.



All new employees are provided information about NSF’s RA services as a regular part of the onboarding process to ensure persons with disabilities know how to obtain an accommodation. NSF also delivered Disability Employment and Reasonable Accommodations training for all NSF managers and supervisors. The training provided: an overview of the laws governing EEO as they relate to disability employment and reasonable accommodations; a description of the process of requesting reasonable accommodations; and the role managers and supervisors play in this process. Training sessions are held every other month to provide on-going topics of interest to the NSF community about topics associated with Section 508.

### (3) Anti-Harassment Programs

In 2015, NSF facilitated Civil Treatment for Leaders, sponsored by ELI, which addressed the agency’s need for managing conflict and for creating and maintaining a civil, productive, and inclusive work environment. The topics included welcoming concerns, coaching and managing performance, addressing inappropriate behavior, making employment decisions, and modeling behaviors that ensure an inclusive work environment. Staff from the Office of Diversity and Inclusion and Employee Relations Branch received their certification to facilitate Civil Treatment training.

### (4) Barrier Analysis of Executive Level Positions

#### Glass Ceiling Benchmarks and SES Pipeline Analyses, FY 2015

The Upward Mobility Benchmark (UMB) for each race/ethnicity by sex group was computed via the following equation using data in Table A4-1, with analysis restricted to the GS-ranks:

$$(UMB_{i,j}) = \frac{x_{i,j}}{\sum_{i=1, j=1}^{2,5} x_{i,j}} \quad (1)$$

Where:  $x_{i,j}$  Permanent NSF workforce of given sex and race/ethnicity  
 $i = \text{sex}$  (2 categories: female, male)  
 $j = \text{race/ethnicity}$  (5 mutually exclusive categories: Asian, Black or African American, Hispanic or Latino, White, Other<sup>7</sup>)

Other includes all individuals who indicated a race/ethnicity of “American Indian/Alaska Native,” “Native Hawaiian/Pacific Islander,” or “Two or More Races.” Due to small subgroup sizes, (n = 10 total, both sexes) separate data are not reported in the “Glass Ceiling Benchmarks and SES Pipeline, FY 2015” table. These individuals were included in the computation of the denominator in the above equation.

The UMB for disability status was computed via the following equation using data from Table B4-1:

$$(UMB_k) = \frac{x_k}{\sum_{k=1}^3 x_k} \quad (2)$$

Where:  $x_k$  Permanent NSF workforce of given disability status  
 $k = \text{disability status}$  (3 categories: Reported a disability, no disability reported, and not identified)

<sup>7</sup> Throughout this document, “Whites”, “Blacks/African Americans”, “Asians”, and “Others” are all non-Hispanic.

Data on “Professionals,” includes NSF permanent employees as reported in Table A3-1 (race/ethnicity and sex) and B 3-1 (disability status). SES includes members of the NSF permanent workforce who were in the Excepted Service pay plan. The equations, above, were used to compute the SES and “Professional Category” benchmarks for each of the four race/ethnicity and sex categories and the three disability status categories (i.e., “Glass Ceiling Benchmarks and SES Pipeline, FY 2015”).

Demographic data on the 324 NSF permanent AD-4 and AD-5 employees<sup>8</sup> were included as an additional benchmark for the pipeline analysis because AD-4 and AD-5 employees form a potential feeder pool to the SES.

Many of the AD-4 employees at NSF are individuals with advanced training in various science and engineering (S&E) and education fields, who serve as program officers/directors to administer the funds granted to universities, industry, and non-profits to advance the frontiers of science in the United States. Qualifications for these positions generally require a doctoral degree and six years of work experience beyond the doctoral degree. As such, the characteristics of the national pool of individuals with doctoral degrees in S&E fields is relevant for understanding this labor force within the Foundation.

The most recent data about the U.S. doctoral-degreed workforce are available from the Survey of Doctorate Recipients, a nationally-representative biennial survey program of the NSF started in 1973. Detailed statistical tables for the most recent data, collected in 2013, indicate that there were 745,900 economically active<sup>9</sup> individuals with doctoral degrees in S&E fields; among the 720,800 who were currently employed, 83.7 percent (n = 576,200) were six years or more beyond their doctoral degree.

The chart, below, shows how NSF’s AD-4 and AD-5 workforce compares to this national pool from which NSF’s S&E program officers and division leadership are drawn. Using this benchmark, the NSF AD-4 and AD-5 workforce has had success in African American and Hispanic/Latino recruitment from the small pools of available S&E PhDs with the appropriate level of post-PhD experience. However, the NSF recognizes that these national numbers, themselves, are a problem. The agency has worked for more than 30 years to address the national-level problem of groups underrepresented in S&E. Over the years, the Louis Stokes Alliance for Minority Participation, the Alliance for Graduate Education and the Professoriate, Gender in Science and Engineering, ADVANCE: Institutional Transformation, Broadening Participation in Computing, Centers for Research Excellence in Science and Technology and many other programs have sought to increase the participation of underrepresented groups in S&E across the educational pipeline.

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<sup>8</sup> The NSF AD workforce is included as “All other (unspecified)” in the original MD 715 workbook on tabs A4-1 and A4-2.

<sup>9</sup> Economically active includes individuals who are employed (part and full time) and unemployed. It excludes individuals who are retired or who are not employed and not seeking work.

**Table 3. Pool that Meets the Educational Requirements for Employment at NSF**

National PhD Pool, 6+ years Post-PhD*								
	Asian		Black or African American		Hispanic or Latino		White	
	Female	Male	Female	Male	Female	Male	Female	Male
Number	26,300	76,500	7,800	9,700	7,300	11,600	134,600	294,600
Percent	4.56%	13.28%	1.35%	1.68%	1.27%	2.01%	23.36%	51.13%
<b>NSF AD-4 and AD-5</b>	<b>5.86%</b>	<b>5.56%</b>	<b>4.01%</b>	<b>1.85%</b>	<b>2.16%</b>	<b>2.47%</b>	<b>32.10%</b>	<b>45.37%</b>

\*National PhD pool also includes: 700 men and 400 women of American Indian/Alaska Native heritage and 4100 men and 2,600 women of "Other" heritage. Other includes Native Hawaiian or other Pacific Islander and persons reporting more than one race who are not of Hispanic or Latino ethnicity. The grand total number of employed PhD S&Es 6 or more years beyond their PhD in the United States is, therefore, 576,200 (the denominator for the percentage computations, above).

Source: Human Resource Management, Strategic Human Capital Planning analysis of data from National Center for Science and Engineering Statistics. 2014. *Survey of Doctorate Recipients, 2013: Data Tables, Table 27-1.*

Table 3 is a representation of the national applicant pool where NSF is likely to yield qualified applicants in the S&E fields, and the AD-4 is the feeder pool where most of the S&E positions advance to the SES level. Therefore, based on this benchmark, we observe that the participation rates among African Americans and Hispanics/Latinos of both sexes as well as Asian and White women exceed the rates among those groups in the national pool. Asian and White men are below the rates associated with the national pool.

**The Role of Educational Attainment in Advancement at the National Science Foundation**

Additional analysis using other data available about NSF’s employees in FPPS was completed to examine the extent to which educational attainment may present a barrier to advancement at NSF. Employees’ self-reported education level is included in the system; these were dichotomized into two categories: those who reported having earned a master’s, doctoral, or first professional degree (graduate-degreed) and those who did not report holding a graduate degree. Results showing the percentage of each race/ethnicity-by-sex category within each of the ranks in the GS- and AD-4 and AD-5 pathways to the SES are shown in Table 4.

Educational Attainment is important within the NSF workforce for placement into the SES. As discussed earlier, the generally high levels of education of those in the permanent AD-4 and AD-5 positions at NSF is consistent with educational attainment of those in the SES at the Foundation, with few exceptions. As shown in Table 5, GS-13 African Americans reported low rates of graduate degree attainment with just 3.85% of females and 9.09% of males holding a master’s, doctoral, or first professional degree. In contrast, half of Asian males, 25.64% of white females, and 40.91% of white males at the GS-13 level had earned a graduate degree. The gap in graduate degree attainment between African Americans, Asians, and Whites decline for those at the GS-14 and GS-15 levels, but African American females, in particular, lag other groups in educational attainment even at GS-14 and GS-15 levels.

**Table 4. Glass Ceiling Benchmarks and SES Pipeline, FY 2015<sup>1</sup>**

	Asian		Black or African American		Hispanic or Latino		White		Disability Status		
	Female	Male	Female	Male	Female	Male	Female	Male	Reported a Disability	No Disability Reported	Not Identified
SES <sup>2</sup>	4.17	1.39	8.33	1.39	1.39	2.78	40.28	40.28	4.17	93.06	2.78
Professionals <sup>3</sup>	5.91	5.09	6.92	3.05	2.44	2.65	34.01	39.31	9.16	87.58	3.26
Upward Mobility Benchmark - GS <sup>2</sup>	3.67	2.53	37.47	7.59	1.65	1.01	27.09	17.72	9.37	88.35	2.28
Upward Mobility Benchmark – All PERM <sup>4</sup>	11.58	2.11	22.11	4.21	1.05	2.11	27.37	28.42	8.90	88.62	2.48
AD-4 and AD-5 <sup>5</sup>	5.86	5.56	4.01	1.85	2.16	2.47	32.10	45.37	9.88	87.34	2.78
GS-15 <sup>2</sup>	2.25	0.00	11.24	3.37	0.00	1.12	42.70	39.33	6.74	92.13	1.12
GS-14 <sup>2</sup>	5.41	3.24	16.76	5.41	2.16	2.70	39.46	23.24	5.41	91.89	2.70
GS-13 <sup>2</sup>	1.42	3.55	37.59	9.93	0.71	0.00	27.66	19.15	9.22	89.36	1.42
<b>Gaps - Differences</b>											
SES - Professionals	-1.74	-3.70	1.41	-1.66	-1.05	0.13	6.27	0.97	-4.99	5.48	-0.48
SES - AD4 and AD5	-1.69	-4.17	4.32	-0.46	-0.77	0.31	8.18	-5.09	-5.71	5.72	0.00
SES - GS15	1.92	1.39	-2.91	-1.98	1.39	1.66	-2.42	0.95	-2.57	0.93	1.66
GS15 - GS14	-3.16	-3.24	-5.52	-2.04	-2.16	-1.58	3.24	16.09	1.33	0.24	-1.58
GS14 - GS13	3.99	-0.31	-20.83	-4.52	1.45	2.70	11.80	4.09	-3.81	2.53	1.28

Notes:

- (1) All percentages are as computed via Equations 1 and Equation 2. With only 10 NSF GS-ranks permanent employees in “other” race/ethnicity categories (i.e., American Indian/Alaska Native, Native Hawaiian/Pacific Islander, or two or more races) data not separately reported.
- (2) GS-13, GS-14, GS-15, SES, and Upward Mobility Benchmark - GS data are from Table A4-1 and B4-1. Upward Mobility Benchmark – GS includes NSF GS-ranks permanent workforce (n = 790).
- (3) Professionals (n = 491) includes NSF permanent employees as reported in Table A3-1 and Table B3-1.
- (4) Upward Mobility Benchmark – All PERM data are from Table A2 and Table B2, with an NSF total PERM workforce of 1,169.
- (5) AD-4 and AD-5 computations from NSF data included in supplemental MD-715 workbook tables “A4: Participation Rates for AD Grades by Race/Ethnicity and Sex (Permanent)” and “B4: Participation Rates for AD Grades by Disability”.

**Table 5. Percent with a Graduate Degree\***

	Asian		Black or African American		Hispanic or Latino		White		Disability Status		
	Female	Male	Female	Male	Female	Male	Female	Male	Reported a Disability	No Disability Reported	Not Identified
SES	100.00	100.00	100.00	100.00	50.00	100.00	88.46	93.10	100.00	90.48	100.00
AD-4 and AD-5	89.47	100.00	92.85	100.00	85.71	100.00	97.20	94.56	93.75	96.52	100.00
GS-15	100.00	NA	33.33	50.00	NA	0.00	53.66	58.62	80.00	51.90	100.00
GS-14	50.00	50.00	32.00	47.50	0.00	25.00	44.59	47.50	30.00	42.68	60.00
GS-13	0.00	50.00	3.85	9.09	50.00	NA	25.64	40.91	38.46	16.53	0.00

\*Graduate Degrees include Master's, First Professional, and Doctoral degrees.

*Note: Caution needs to be exercised in interpreting data about Hispanic/Latino employees at NSF, given their overall small size (n=51 permanent NSF employees who identified as Hispanic/Latino; this particular chart reports on 28 NSF Hispanic/Latino employees across the five specified ranks).*

The agency also has a flourishing mentoring program, which is offered to all employees<sup>10</sup>. As shown in Chart 9, the program grew from 39 to 67 mentees (72% growth) and from 34 to 64 mentors (88% growth), reflecting the perceived value of the program among NSF’s workforce. Men continue to be underrepresented as compared to their participation in the NSF workforce, but the gap between men’s and women’s participation in the mentoring program narrowed between 2014 and 2015.

African Americans and Hispanic/Latinos were overrepresented among mentees when compared to the representation of these groups in the NSF total workforce, while whites were underrepresented among mentees. Hispanic/Latinos were also overrepresented among mentors, whites participated as mentors at a rate similar to their representation in the NSF workforce while Asian American and African American employees were less likely to be mentors when compared to their representation in the NSF total workforce.

**Chart 9. Mentoring Program Participant Demographics FY 2014 and FY 2015**

	FY 2014 Participants		FY 2015 Participants		
	Mentees (n = 39)	Mentors (n = 34)	Mentees (n = 67)	Mentors (n = 64)	Total Workforce
<b>Sex</b>					
Female	87.18%	73.53%	71.64%	67.19%	60.51%
Male	12.82%	26.47%	28.36%	32.81%	39.49%
<b>Race/Ethnicity</b>					
White	46.15%	61.76%	44.78%	60.94%	59.27%
African American	41.03%	32.35%	34.33%	26.56%	28.26%
Asian American	10.26%	2.94%	8.95%	3.12%	7.86%
Hispanic/Latinos	2.56%	2.94%	10.48%	7.81%	3.51%
All Other	0.00%	0.00%	1.50%	1.56%	1.10%
<b>Disability Status</b>					
People with Disabilities	10.26%	5.88%	8.95%	14.06%	9.11%

**(5) Compliance with the EEOC’s Management Directives**

**Summary of Results of Agency’s Annual Self-Assessment against MD-715 “Essential Elements”**

NSF became one of the first Federal agencies to incorporate language into its Strategic Plan that specifically connects the goal of attaining model EEO status to EEOC-specific criteria. In its FY 2014-2018 Strategic Plan, one of the three strategic goals is to Excel as a Federal Science Agency. Within that goal is the strategic objective: Build an increasingly diverse, engaged, and high-performing workforce by fostering excellence in recruitment, training, leadership, and management of human capital.

The following depicts some of the agency’s major accomplishments under each of the six essential elements:

<sup>10</sup> Includes Interagency Personnel Agreement (IPA) employees, Visiting Scientists, Engineers, and Educators, Experts and Consultants.



### **Essential Element A: Demonstrated Commitment from Agency Leadership**

On March 16, 2015, the Agency Director issued revised policies on Equal Opportunity; Prevention of Harassment; and Diversity and Inclusion (D&I). These policies illustrate NSF's commitment to D&I and a work environment that is free of discrimination and harassment.

Some highlights of the accomplishments under this element include the following:

- Disseminated copies of NSF's existing EEO policy statements to all new employees through the agency's New Employee Orientation (NEO) program, Program Management Seminar for new Program Officers, and specialized EEO briefings to the various NSF divisions and/or units.
- Ensured that new managers and existing employees, when promoted to supervisory ranks, were provided a copy of the EEO policy statement.
- Facilitated *Civil Treatment for Leaders*, sponsored by ELI, which addressed the agency's need for managing conflict and for creating and maintaining a civil, productive, and inclusive work environment. The certification training was provided to key personnel from the Office of Diversity and Inclusion, and the Human Resource Management Division's Employee Relations Branch staff.
- Launched a new course entitled Federal Supervision at NSF, which contains the ELI *Civil Treatment for Leaders* course content as well as content on EEO and Anti-discrimination, Merit Principles and Prohibited Personnel Practices, D&I, and Employee Engagement and other related topics.
- NSF managers and supervisors actively supported the agency's EEO program and objectives by participating in a variety of EEO and D&I related training or in which EEO was discussed, including Annual EEO Briefing for Managers and Supervisors; Franklin Covey's Leading at the Speed of Trust training; Federal Supervision at NSF, etc. The percent of employees who participated in EEO and D&I related training was 21.29 percent, and the percent of senior leadership who participated in formal D&I training was 62.16 percent.<sup>11</sup>
- NSF managers and supervisors actively supported the agency's EEO program and objectives by participating in a wide variety of outreach and recruitment activities.

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

In FY 2015, NSF met all measures under **Essential Element B**. Some highlights of accomplishments under this element include the following:

- Participated in various EEO/diversity training and conferences covering the following areas: EEO investigations; EEO counseling; gender stereotyping; disability program management/reasonable accommodations; EEO complaints process, including dismissal of EEO complaints, motions, hearings, and sanctions; Special Emphasis Program Management; employee engagement; and diversity and inclusion.

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<sup>11</sup> Source: NSF FY 2014 Federal Equal Opportunity Recruitment Program Report

- Processed, via NSF’s centralized fund, 288 reasonable accommodation actions for people with disabilities totaling approximately \$282k. The purpose of the centralized fund is to ensure that all employees, panelists, visitors, and applicants with disabilities are provided reasonable accommodations.
- Processed all new complaints and offered alternative dispute resolution to all complaints involved in the EEO complaints process, resulting in one settlement agreement.
- Provided significant input into the agency strategic plans and affirmative employment plans.
- Made available written materials regarding NSF’s EEO programs to all employees and applicants.
- Updated, revised, and disseminated all EEO and related posters throughout NSF facilities addressing the EEO process, harassment, and reasonable accommodations.
- Offered EEO briefings to directorates and offices regarding the EEO program and processes.

### **Essential Element C: Management and Program Accountability**

In FY 2015, NSF met all measures under **Essential Element C**. Some highlights of the accomplishments under this element include the following:

- ODI staff participated in a variety of training, including the following: Diversity Intelligence Advantage; New IQ Master Game Changer Certification Course; EEOC Excel Conference; Micropact 462 Symposium; EEOC Basic MD-715 Course; EEO Counselor Training for New Counselors; ELI Civil Treatment Certification; Leading at the Speed of Trust; FAPAC National Leadership Training Program; LRP Publications “What to Do About EEO Retaliation in Your Agency”; Partnership for Public Service (PPS) Action Planning Facilitation; PPS Employee Engagement; Federal Supervision at NSF.
- Agency staff participated in and served on a variety of councils, working groups, and committees, including the following: EEOC’s EEO Directors meetings; OPM’s D&I 60+ Federal Agencies Strategic Partnership; Federal Interagency Diversity Partnership; DOJ’s Title VI Working Group; Interagency Alternative Dispute Resolution Working Group; Limited English Proficiency Working Group; Language Access Working Group; and Veterans Employment Program Working Group, just to name a few.
- Provided input and assisted in the coordination, development, and implementation of the following EEO and related plans, which included collaboration with HRM, agency counsel, and other applicable officials:
  - ***The Annual Federal Equal Opportunity Recruitment Program (FEORP) Plan and the Hispanic Employment Report***, which involves targeted recruitment efforts based on a determination of underrepresentation of minorities and/or women in the various occupational categories, both nationally and in specific geographic locations.
  - ***The Disabled Veterans Affirmative Action Program (DVAAP) Representation and Assessment and Action Plan***, which focuses on methods used to recruit and employ disabled veterans, especially those who are 30 percent or more disabled.

- ***The Government-Wide Inclusive Diversity Strategic Plan*** requires all federal agencies to develop and implement a more comprehensive, integrated, and strategic focus on diversity and inclusion as a key component of their human capital strategies, per an Executive Order issued by the President in August 2011. Agency staff participated in the planning sessions to update the government-wide D&I Strategic Plan and Implementing Guidance as part of OPM's D&I 60+ Federal Agencies Strategic Partnership.
  - ***NSF's Diversity and Inclusion Action Plan*** provides a shared direction, encourages commitment, and creates alignment so NSF can approach its workplace diversity and inclusion efforts in a coordinated, collaborative, and integrated manner.
  - ***NSF's Limited English Proficiency (LEP) Plan*** complies with the requirement that federal agencies provide financial assistance to develop guidance to its recipients on the obligation to provide meaningful access to limited English proficient persons.
- Responded, in a timely manner, to compliance issues related to the EEOC and other applicable orders.

#### **Essential Element D: Proactive Prevention of Unlawful Discrimination**

In FY 2015, NSF continued to meet all measures under **Essential Element D**. Some highlights of accomplishments under this element include the following:

- In FY 2015, NSF conducted compliance desk reviews of academic institutions.
- Continued to work with senior managers in identifying and implementing action plans to eliminate identified barriers. Established a standing collaboration meeting with the NSF Academy staff to identify training and professional development opportunities focused on overcoming barriers impeding employment and advancement by members of underrepresented groups, e.g., minorities and women at the SES level, and people with disabilities.
- Conducted workforce analyses in regards to race, ethnicity, sex, and disability in which the groups were evaluated via workforce profiles, major occupations, grade level distribution, compensation and reward system, and management/personnel policies and procedures. Such information was disseminated to senior managers via NSF's "State of the Agency Briefing" as well as individually by directorate and/or office.
- Encouraged the use of ADR to all employees via its Alternative Dispute Resolution Program, inclusive of supervisors and managers.
- Offered ADR in every EEO complaint, resulting in one settlement agreement.

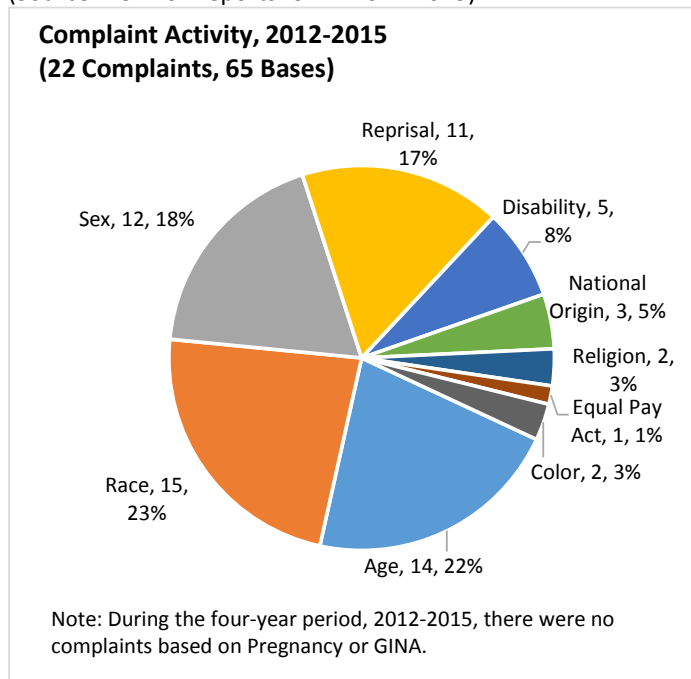
## NSF Complaint Activity Analysis

Chart 10 shows the distribution across bases alleged by 22 complainants (1.5 percent of the average NSF total workforce) during the four-year period 2012-2015.

- Age, sex, and race, together, accounted for 63 percent of complaints;
- Race was the most common complaint basis, accounting for 26.3% (n=15) -- the 15 complaints shown included nine from Black/African American employees, three from Asian American employees and three from white employees;
- Age was the second most common basis of complaints made to EEO between 2012 and 2015;
- The twelve sex-based complaints included seven from men and five from women.

### Chart 10 NSF Complaint Activity FY 2012 – FY 2015

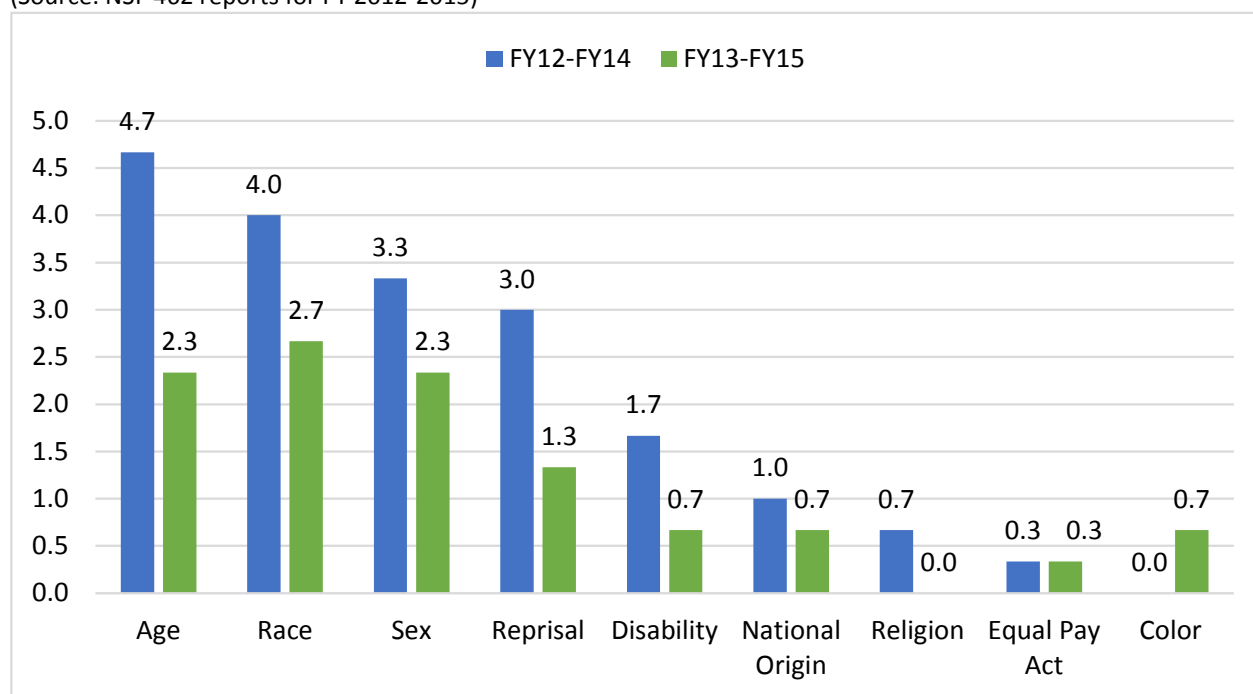
(Source: NSF 462 reports for FY 2012-2015)



EEO complaints at NSF have declined since 2012, when there were 32 complaints to the 9 complaints reported in FY 2015. With such a small number of annual complaints, three-year moving averages analysis results are shown in Chart 11 to provide details about the trend in complaint bases. The instance of age as a basis for complaints has declined from an average of 4.7 per year in FY12 – FY14 to 2.3 per year in the most recent three-year period. Indeed, there were no complaints based on age in FY 2015. The NSF Academy has made online training programs available to NSF employees about the importance of generational issues. In FY 2015, six leaders (five of whom were SES) in four different organizational units took one of two such courses in the “Managing Workforce Generations” series: “Introduction to Cross-Generational Employees” or “Working with the 21<sup>st</sup> Century Generational Mix.” Additionally, large declines in the incidence of reprisal and disability as complaint bases occurred when comparing the three year averages. Finally, less significant declines for race and sex as complaint bases is shown in Chart 11, indicating that work associated with these areas needs to be continued.

**Chart 11 Three-Year Moving Averages of NSF Complaint Activity by Complaint Basis, FY 2012 – FY 2015**

(Source: NSF 462 reports for FY 2012-2015)



### Essential Element E: Efficiency

In FY 2015, NSF met all measures under **Essential Element E**. Some highlights of accomplishments under this element include the following:

- Continued to track and monitor all EEO complaint activity throughout the complaints process via iComplaints. The system allows NSF to identify issues and bases of complaints, identify the persons who filed the complaint, named managers, and other relevant information to allow NSF to analyze complaint activity and trends.
- Held all contractors accountable for any delays in counseling and/or investigation processing times via bi-weekly status reports and contract oversight.
- Required that all contract firms provide documentation to illustrate that all new counselors and investigators received the 32 hours of training per the MD-110.
- Forwarded all investigative files to the EEOC immediately upon request for receipt and complied with all EEOC AJ decisions that were not the subject of an appeal by NSF. Additionally, matters addressed as part of the EEO complaints process were processed and reviewed for legal sufficiency in a neutral manner.
- Maintained an established ADR program, in which ADR is offered to every person who files a complaint during the pre- and formal complaint stages of the EEO process.
- Completed, in a timely manner, all obligations for settlements reached in EEO complaints.

- Required all managers to participate in ADR when the agency has offered and the complainant elected to participate in ADR. Participating managers are required to have the applicable settlement authority.
- Continued to identify and monitor trends in complaint processing to ensure the agency is meeting its obligations under applicable laws.
- Consulted, through attendance at various EEO conferences and meetings, with agencies of similar size on the effectiveness of the EEO program and identified and shared best practices including attendance at meetings sponsored by the EEOC, the Federal EEO and Civil Rights Executives, and the EEOC's Executive Leadership Conference.

### **Essential Element F: Responsiveness and Legal Compliance**

In FY 2015, NSF continued to meet all measures under **Essential Element F**. Some highlights of accomplishments under this element include the following:

- Continued to implement a system of management control via ODI and the Office of General Counsel (OGC) to ensure timely compliance with all orders and directives issued by EEOC Administrative Judges.
- Continued to maintain control over the payroll processing function to guarantee responsive and timely processing of any monetary relief and to process any other form of ordered relief, if applicable.
- Ensured the responsibility of complying with EEOC orders is encompassed in the performance standards of the following agency employee:

Rhonda J. Davis, Office Head, Office of Diversity and Inclusion

- Continued to be the unit charged primarily with the responsibility for compliance with EEOC orders.
- Provided, to the EEOC, all documentation for completing compliance in a timely manner.

**U.S. Equal Employment Opportunity Commission  
FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT**

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

I, Rhonda J. Davis am the

(Insert name above)

(Office Head, ODI)

Principal EEO Director/Official for

**National Science Foundation**

(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.

Rhonda J. Davis

2-12-2016

Signature of Principal EEO Director/Official

Date

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

Sam A. Wilton





Feb 12, 2016

Signature of Agency Head or Agency Head Designee



Date

**EEOC FORM  
715-01 PART G—FY 2014**

*U.S. Equal Employment Opportunity Commission*  
**FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT**  
AGENCY SELF-ASSESSMENT CHECKLIST MEASURING ESSENTIAL ELEMENTS





<b>EEOC FORM 715-01 PART G</b>		<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>		
<b>Essential Element A: DEMONSTRATED COMMITMENT FROM AGENCY LEADERSHIP</b> Requires the agency head to issue written policy statements ensuring a workplace free of discriminatory harassment and a commitment to equal employment opportunity.				
 <b>Compliance Indicator</b>	<b>EEO policy statements are up-to-date.</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		<b>Yes</b>	<b>No</b>	
The Agency Head was installed on <u>April 2, 2014</u> . On March 16, 2015, revised policy statements were issued for Equal Opportunity, Prevention of Harassment, and Diversity and Inclusion. 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		
 <b>Compliance Indicator</b>	<b>EEO policy statements have been communicated to all employees.</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		<b>Yes</b>	<b>No</b>	
Have the heads of subordinate reporting components communicated support of all agency EEO policies through the ranks?		X		
Has the agency made written materials available to all employees and applicants, informing them of the variety of EEO programs and administrative and judicial remedial procedures available to them?		X		
Has the agency prominently posted such written materials in all personnel offices, EEO offices, and on the agency's internal website? <b>[see 29 CFR §1614.102(b)(5)]</b>		X		







 <b>Compliance Indicator</b>	<b>Agency EEO policy is vigorously enforced by agency management.</b>	Measure has been met		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
		Yes	No	
 <b>Measures</b>				
Are managers and supervisors evaluated on their commitment to agency EEO policies and principles, including their efforts to:				
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.**

 <b>Compliance Indicator</b>	<b>The reporting structure for the EEO Program provides the Principal EEO Official with appropriate authority and resources to effectively carry out a successful EEO Program.</b>	Measure has been met		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
		Yes	No	
 <b>Measures</b>				
	Is the EEO Director under the direct supervision of the agency head? <b>[see 29 CFR §1614.102(b)(4)]</b> 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 <sup>nd</sup> level reporting components, are there organizational charts that clearly define the reporting structure for EEO programs?	NA		
	If the agency has 2 <sup>nd</sup> level reporting components, does the agency-wide EEO Director have authority for the EEO programs within the subordinate reporting components?	NA		
	If not, please describe how EEO program authority is delegated to subordinate reporting components.			
 <b>Compliance Indicator</b>	<b>The EEO Director and other EEO professional staff responsible for EEO programs have regular and effective means of informing the agency head and senior management officials of the status of EEO programs and are involved in, and consulted on, management/personnel actions.</b>	Measure has been met		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		Yes	No	
	Does the EEO Director/Officer have a regular and effective means of informing the agency head and other top management officials of the effectiveness, efficiency and legal compliance of the agency's EEO program?	X		





Following the submission of the immediately preceding FORM 715-01, did the EEO Director/Officer present to the head of the agency and other senior officials the "State of the Agency" briefing covering all components of the EEO report, including an assessment of the performance of the agency in each of the six elements of the Model EEO Program and a report on the progress of the agency in completing its barrier analysis including any barriers it identified and/or eliminated or reduced the impact of?		X		
Are EEO program officials present during agency deliberations prior to decisions regarding recruitment strategies, vacancy projections, succession planning, selections 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? <b>[see 29 C.F.R. § 1614.102(b)(3)]</b>		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		
 <b>Compliance Indicator</b>	<b>The agency has committed sufficient human resources and budget allocations to its EEO programs to ensure successful operation.</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		<b>Yes</b>	<b>No</b>	
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 space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
		Yes	No	
 Measures				
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? <b>[see 29 C.F.R. § 1614.102(b)(5)]</b>		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		





<b>Essential Element C: MANAGEMENT AND PROGRAM ACCOUNTABILITY</b>				
<b>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.</b>				
 <b>Compliance Indicator</b>	<b>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.</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		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		
 <b>Compliance Indicator</b>	<b>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)]</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		Yes	No	
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		
 <b>Compliance Indicator</b>	<b>When findings of discrimination are made, the agency explores whether or not disciplinary actions should be taken.</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		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		NA. The supervisor named in case resulting in NSF's lone finding within the past two years is no longer employed at NSF.

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.**

 <b>Compliance Indicator</b>	<b>Analyses to identify and remove unnecessary barriers to employment are conducted throughout the year.</b>	Measure has been met		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
		Yes	No	
 <b>Measures</b>				
Do senior managers meet with and assist the EEO Director and/or other EEO Program Officials in the identification of barriers that may be impeding the realization of equal employment opportunity?		X		
When barriers are identified, do senior managers develop and implement, with the assistance of the agency EEO office, agency EEO Action Plans to eliminate said barriers?		X		
Do senior managers successfully implement EEO Action Plans and incorporate the EEO Action Plan Objectives into agency strategic plans?		X		
Are trend analyses of workforce profiles conducted by race, national origin, sex and disability?		X		
Are trend analyses of the workforce's major occupations conducted by race, national origin, sex and disability?		X		
Are trends analyses of the workforce's grade level distribution conducted by race, national origin, sex and disability?		X		
Are trend analyses of the workforce's compensation and reward system conducted by race, national origin, sex and disability?		X		
Are trend analyses of the effects of management/personnel policies, procedures and practices conducted by race, national origin, sex and disability?		X		
 <b>Compliance Indicator</b>	<b>The use of Alternative Dispute Resolution (ADR) is encouraged by senior management.</b>	Measure has been met		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		Yes	No	
Are all employees encouraged to use ADR?		X		
Is the participation of supervisors and managers in the ADR process required?		X		

<b>Essential Element E: EFFICIENCY</b>				
Requires that the agency head ensure that there are effective systems in place for evaluating the impact and effectiveness of the agency's EEO Programs as well as an efficient and fair dispute resolution process.				
 <b>Compliance Indicator</b>	<b>The agency has sufficient staffing, funding, and authority to achieve the elimination of identified barriers.</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		Yes	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?	NA		
	Is there a designated agency official or other mechanism in place to coordinate or assist with processing requests for disability accommodations in all major components of the agency?	X		
	Are 90% of accommodation requests processed within the time frame set forth in the agency procedures for reasonable accommodation?	X		
 <b>Compliance Indicator</b>	<b>The agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the agency's EEO Programs.</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		Yes	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:				
	Does the agency monitor and ensure that new investigators, counselors, including contract and collateral duty investigators, receive the 32 hours of training required in accordance with EEO Management Directive MD-110?	X		
	Does the agency monitor and ensure that experienced counselors, investigators, including contract and collateral duty investigators, receive the 8 hours of refresher training required on an annual basis in accordance with EEO Management Directive MD-110?	X		







 <b>Compliance Indicator</b>	<b>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.</b>	Measure has been met		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
		Yes	No	
 <b>Measures</b>				
	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	Some counseling is extended to 90 days for the completion of the ADR process and/or settlement.
	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	With the Complaints and Adjudication Manager position vacant, there have only been a few instances in which the timeframe was exceeded.
	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		
 <b>Compliance Indicator</b>	<b>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.</b>	Measure has been met		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		Yes	No	
	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		
	Does the responsible management official directly involved in the dispute have settlement authority?	X		



 <b>Compliance Indicator</b>	<b>The agency has effective systems in place for maintaining and evaluating the impact and effectiveness of its EEO programs.</b>	Measure has been met		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
		Yes	No	
 <b>Measures</b>				
	Does the agency have a system of management controls in place to ensure the timely, accurate, complete and consistent reporting of EEO complaint data to the 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		
 <b>Compliance Indicator</b>	<b>The agency ensures that the investigation and adjudication function of its complaint resolution process are separate from its legal defense arm of agency or other offices with conflicting or competing interests.</b>	Measure has been met		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
 <b>Measures</b>		Yes	No	
	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?	X		

**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.

 <b>Compliance Indicator</b>	<b>Agency personnel are accountable for timely compliance with orders issued by EEOC Administrative Judges.</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
		<b>Yes</b>	<b>No</b>	
 <b>Measures</b>				
	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?	X		
 <b>Compliance Indicator</b>	<b>The agency's system of management controls ensures that the agency timely completes all ordered corrective action and submits its compliance report to EEOC within 30 days of such completion.</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
		<b>Yes</b>	<b>No</b>	
 <b>Measures</b>				
	Does the agency have control over the payroll processing function of the agency? If Yes, answer the two questions below.	X		
	Are there steps in place to guarantee responsive, timely, and predictable processing of ordered monetary relief?	X		
	Are procedures in place to promptly process other forms of ordered relief?	X		
 <b>Compliance Indicator</b>	<b>Agency personnel are accountable for the timely completion of actions required to comply with orders of EEOC.</b>	<b>Measure has been met</b>		<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
		<b>Yes</b>	<b>No</b>	
 <b>Measures</b>				
	Is compliance with EEOC orders encompassed in the performance standards of any agency employees?	X		
	If so, please identify the employees by title in the comments section, and state how performance is measured.	Rhonda J. Davis, Office Head, ODI, measured this as part of the MD-715 assessment, which is an agency performance goal.		
	Is the unit charged with the responsibility for compliance with EEOC orders located in the EEO office?	X		
	If not, please identify the unit in which it is located, the number of employees in the unit, and their grade levels in the comments section.	NA		
	Have the involved employees received any formal training in EEO compliance?	X		
	Does the agency promptly provide to the EEOC the following documentation for completing compliance:	X		

Attorney Fees: Copy of check issued for attorney fees and /or a narrative statement by an appropriate agency official, or agency payment order dating the dollar amount of attorney fees paid?	X		
Awards: A narrative statement by an appropriate agency official stating the dollar amount and the criteria used to calculate the award?	X		
Back Pay and Interest: Computer print-outs or payroll documents outlining gross back pay and interest, copy of any checks issued, narrative statement by an appropriate agency official of total monies paid?	X		
Compensatory Damages: The final agency decision and evidence of payment, if made?	X		
Training: Attendance roster at training session(s) or a narrative statement by an appropriate agency official confirming that specific persons or groups of persons attended training on a date certain?	X		
Personnel Actions (e.g., Reinstatement, Promotion, Hiring, Reassignment): Copies of SF-50s	X		
Posting of Notice of Violation: Original signed and dated notice reflecting the dates that the notice was posted. A copy of the notice will suffice if the original is not available.	X		
Supplemental Investigation: 1. Copy of letter to complainant acknowledging receipt from EEOC of remanded case. 2. Copy of letter to complainant transmitting the Report of Investigation (not the ROI itself unless specified). 3. Copy of request for a hearing (complainant's request or agency's transmittal letter).	X		
Final Agency Decision (FAD): FAD or copy of the complainant's request for a hearing.	X		
Restoration of Leave: Print-out or statement identifying the amount of leave restored, if applicable. If not, an explanation or statement.	X		
Civil Actions: A complete copy of the civil action complaint demonstrating same issues raised as in compliance matter.	X		
Settlement Agreements: Signed and dated agreement with specific dollar amounts, if applicable. Also, appropriate documentation of relief is provided.	X		

Footnotes:

1. See 29 C.F.R. § 1614.102.

2. When an agency makes modifications to its procedures, the procedures must be resubmitted to the Commission. See *EEOC Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation* (10/20/00), Question 28.

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

National Science Foundation		FY <u>2015</u>
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	<p><b>Element E – Efficiency</b></p> <p>In regard to the statement: 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, NSF reported no for two measures that pertain to counseling and investigations. NSF reported a few instances in which the EEO counseling extended to 90 days for the completion of alternative dispute resolution (ADR). In such instances, an extension in writing was agreed upon by the parties. Also, there have been a few instances in which the timeframe for completing EEO investigations has been exceeded because the Complaints and Adjudication Manager position was vacant and had not yet been backfilled.</p>	
OBJECTIVE:	Permanently fill the position of Complaints and Adjudications Manager as well as other FTEs that will augment the complaint processing function.	
RESPONSIBLE OFFICIAL:	Rhonda J. Davis, Office Head, Office of Diversity and Inclusion	
DATE OBJECTIVE INITIATED:	September 2015	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	September 2016	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE: AS RESOURCES ALLOW	TARGET DATE (Must be specific)	
Announce vacancy for Complaints Adjudication Manager position.	04/2016	
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
In September 2015, the agency hired an EEO expert to temporarily fill the position of Complaints and Adjudications Manager.		

<b>EEOC FORM 715-01 PART I</b>	<b><i>U.S. Equal Employment Opportunity Commission</i></b> <b>FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
National Science Foundation	FY <u>2015</u>	
<p><b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b></p> <p>Provide a brief narrative describing the condition at issue.</p> <p>How was the condition recognized as a potential barrier?</p>	<p>The workforce data reflected similar patterns as prior years regarding low participation rates for Hispanics.</p> <p>The National Science Foundation has a highly-educated workforce with 43% of employees holding doctoral degrees and 18% holding master’s degrees. NSF recruits nationwide for its science, technology, engineering, and mathematics (STEM) positions in the seven research directorates in which 57% of employees hold doctoral degrees. The requirements for the largest STEM position grouping (program director/officer2) include a doctoral degree and a minimum of six years of post-doctoral experience. Candidates for leadership positions in the seven research directorates are also often drawn from a similar talent pool in alignment with NSF’s mission to expand the frontiers of science. Hispanics accounted for 3.59% of NSF’s permanent and temporary employees in FY 2015. National trends in Hispanic participation in doctoral education impacted this talent pool.</p>	
<p><b>BARRIER ANALYSIS:</b></p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>In-depth analyses were conducted on various sources of data:</p> <ol style="list-style-type: none"> <li>1. EEO complaint activity for the past 4 years;</li> <li>2. Workforce data provided by the FPPS system, as reflected in data tables A1 – A14 and B1-B14. More specifically, we focused on Tables A1 and B1, A2 and B2, A8 and A14.</li> <li>3. Employee Viewpoint Survey.</li> <li>4. Agency policies and procedures.</li> </ol>	

<b>STATEMENT OF IDENTIFIED BARRIER:</b>  Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.		Potential barriers exist for Hispanic employees in the NSF workforce.
<b>OBJECTIVE:</b>  State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.		Increase the participation rates of Hispanic employees.
<b>RESPONSIBLE OFFICIAL:</b>		Head, Office of Diversity and Inclusion and Chief Human Capital Officer, OIRM.
<b>DATE OBJECTIVE INITIATED:</b>		02/01/16
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>		09/30/16
<b>EEOC FORM 715-01 PART I</b>	<b>EEO Plan To Eliminate Identified Barrier</b>	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>		<b>TARGET DATE (Must be specific)</b>
Perform in-depth analysis of the potential barriers affecting this segment of the workforce, including focus studies and other forums to obtain valuable input. Evaluate the effectiveness of ongoing recruitment and retention strategies and develop alternative approaches.		06/30/16

## REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE

Despite NSF's asserted efforts to increase the participation rates among Hispanic employees, the low participation rates still persist.

NSF involvement in key activities to engage individuals in the educational pipeline towards STEM research careers and with graduate-educated STEM professionals is important in developing the network connections for subsequent recruitment to the Foundation

NSF's HRM strategies to more effectively deploy social media in recruitment have been highlighted by the Partnership for Public Service (PPS) as a "Promising Practice," with an agency presentation made at a PPS meeting on August 27, 2015. Several important actions undertaken over the past three years were essential in establishing a coordinated, agency-level approach to using social media, which include an increasingly important set of outreach channels. Hispanics have been on the leading edge of social media usage among U.S. racial/ethnic groups with 65% reporting using social media compared to 59% of non-Hispanic whites in 2014.

- (1) In FY 2013, standard operating procedures, an external website career page, and branding associated with the "Picture Yourself Where Discoveries Begin" were developed. This theme pervades content across social media channels.
- (2) In FY 2014, and continuing through FY 2015, agency-wide opportunities to learn about social media were held as social media labs, collaboration at recruitment events, and new articles to highlight the use of social media.
- (3) In FY 2015, a campaign drawing on LinkedIn's big data analytics was launched to bring NSF job opening content to individuals likely to be of Hispanic backgrounds. The campaign highlights NSF's career opportunities to more than 79,000 members of the target occupational/demographic group. (Campaign will end in FY 2016.)
- (4) On-going in-reach within NSF has engaged key stakeholders, including: senior management, the Chief Human Capital Officer, the program officer community, IT professionals, and public affairs.

These partnerships have enabled development of consistent messaging, in general, and particularly about how employees can improve NSF's web presence via social media. A short segment of every bi-monthly New Employee Orientation, required of all new NSF employees, briefs new hires about NSF's social media campaign, requesting those who have LinkedIn pages to add their NSF position to their profiles and those on Facebook to like and connect with NSF. Such efforts have been essential in establishing NSF's strong web presence to engage the American public and nurture the Foundation's future workforce for the near and long terms.

**REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE Continued**

In FY 2015, NSF engaged in personal outreach to the Hispanic/Latino community at nine events and worked with HACU to bring interns to NSF in the Summer Scholars Internship Program. To reach out to non-STEM business professionals, NSF has signed a Memorandum of Understanding with the National Association of Hispanic Federal Executives (NAHFE) and has collaborated with the National Society of Hispanic Masters of Business Administration (NSHMBA) to share information about NSF's non-STEM career opportunities.

National Association of Hispanic Federal Executives (NAHFE)

- NAHFE Mentoring Event (10/15/2014)
- Leadership Mentoring (12/5/2014)

Hispanic Association of Colleges and Universities

- Conference (Denver, 10/5/2014)
- NSF Summer Scholars Internship Program

Society for the Advancement of Chicanos and Native Americans in Science (SACNAS) Conference (10/15-18/2015, Los Angeles)

Hispanic Heritage Youth Awards (12/9/2014)

Society for Hispanic Professional Engineers (12/10/2014, Executive Speaker Series)

Hispanic/Latinos Professionals Association (4/29/2015)

National Society for Hispanic MBAs Career Fair (9/11/15)

League of United Latin American Citizens (LULAC)

Federal Training Institute Partnership SES Roundtable Coaching (9/24/2015)



EEOC FORM 715-01 PART J	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities</b>
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<b>PART I Department or Agency Information</b>	1. Agency	1. National Science Foundation
	1.a. 2 <sup>nd</sup> Level Component	1.a.
	1.b. 3 <sup>rd</sup> Level or lower	1.b.

<b>PART II Employment Trend and Special Recruitment for Individuals With Targeted Disabilities</b>	Enter Actual Number at the ...	... beginning of FY.		... end of FY.		Net Change	
		Number	%	Number	%	Number	Rate of Change
	Total Work Force <sup>12</sup>	1432	100.00%	1451	100.00%	19	1.33
	Reportable Disability	125	8.73	124	8.55	-1	-0.80
	Targeted Disability*	15	1.05	15	1.03	0	0
	* If the rate of change for persons with targeted disabilities is not equal to or greater than the rate of change for the total workforce, a barrier analysis should be conducted (see below).						
1. Total Number of Applications Received From Persons With Targeted Disabilities during the reporting period.					234 <sup>13</sup>		
2. Total Number of Selections of Individuals with Targeted Disabilities during the reporting period.					3 <sup>14</sup>		

**PART III Participation Rates In Agency Employment Programs**

Other Employment/Personnel Programs <sup>15</sup>	TOTAL	Reportable Disability		Targeted Disability		Not Identified		No Disability	
		#	%	#	%	#	%	#	%
3. Competitive Promotions <sup>16</sup>	30	0	0	0	0	26	86.67	4	13.33
4. Non-Competitive Promotions	84	8	9.52	2	2.38	4	4.76	72	85.71
5. Employee Career Development Programs <sup>17</sup>	NA	NA	NA	NA	NA	NA	NA	NA	NA
5.a. Grades 5 - 12	NA	NA	NA	NA	NA	NA	NA	NA	NA
5.b. Grades 13 - 14	NA	NA	NA	NA	NA	NA	NA	NA	NA

<sup>12</sup> Includes permanent and temporary workforce data.

<sup>13</sup> Source: Table B7

<sup>14</sup> Source: Table B8. Note: applicant tracking data from Monster.com indicated 234 IWTDS as applicants and one hire (Tables B7 perm and temp). Among actual new hires in Table B8, based on FPPS data, three individuals reported a targeted disability (1.09%).

<sup>15</sup> Includes only permanent NSF employees.

<sup>16</sup> Based on selections (see Table B9)

<sup>17</sup> NSF does not have OPM-defined career development programs. New programs will be in place in FY 2015.

5.c. Grade 15/SES	NA	NA	NA	NA	NA	NA	NA	NA	NA
6. Employee Recognition and Awards									
6.a. Time-Off Awards (Total hrs awarded)	1493	127	8.51	8	0.54	20	1.34	1346	90.15
6.b. Cash Awards (total \$\$\$ awarded)	2,156,187	172,843	8.02	13,830	0.64	63,560	2.95	1,919,784	89.04
6.c. Quality-Step Increase	408,882	28,920	7.07	3,027	0.74	7,698	1.88	372,264	91.04

EEOC FORM 715-01 Part J	Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities
<b>Part IV</b> Identification and Elimination of Barriers	Table B1 shows that the participation rate of Persons with Targeted Disabilities (PWTD) in the agency's total workforce is 1.03%. This rate is below the federal high of 2.0%. The EEOC guidance states that if the rate of change for persons with targeted disabilities is not equal to or greater than the rate of change for the total workforce, a barrier analysis should be conducted. The rate of change for the total workforce was 1.33% as compared to 0% for IWTD. Therefore, in accordance with the EEOC guidance, a barrier analysis was conducted. NSF's ongoing recruitment and retention strategies are outlined in the Executive Summary of this report. Although no barrier was identified in regard to the agency's policies, procedures, or practices, attitudinal barriers may exist. Sponsoring focus groups and forums, such as Lunch and Learns and diversity speaker series to raise awareness would provide an opportunity to have open conversations that may provide additional insight into this population. NSF realizes that increasing its utilization of hiring authorities, such as Schedule A could bring more IWTDs into its workforce. In FY 2015, NSF hired only three employees using the Schedule A Hiring Authority. The number of Pathways participants who self-identified as having a disability was five, which represents 6.3% of all Pathways hires in FY 2015. Looking ahead, NSF will more fully utilize the Pathways Programs to hire IWTDs, which provides an opportunity for students to be converted to permanent positions.
<b>Part V</b> Goals for Targeted Disabilities	In FY 2011, NSF established a multi-year plan for the "Recruitment and Hiring of Individuals with Disabilities and Targeted Disabilities FY 2011 – 2016," which set forth an annual hiring goal of 2 percent. We will continue to examine and refine our recruitment and hiring strategies to for this segment of NSF's workforce. Additionally, NSF will continue to use methods such as Schedule A Hiring Authority and other proven methods.