DOE/S-0007

130

10-17-78

16.597

MASTER

Equal Employment Opportunity Plan Development Guidance

September 1978

U.S. Department of Energy
Office of the Secretary
Office of Equal Opportunity

DISTRIBUTION OF THIS DOCUMENT IS UNLIMITED

DISCLAIMER

This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency Thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof.

DISCLAIMER

Portions of this document may be illegible in electronic image products. Images are produced from the best available original document.

Available from:

National Technical Information Service (NTIS)
U.S. Department of Commerce
5285 Port Royal Road
Springfield, Virginia 22161

Price:	Printed copy:	\$5.25
	Microfiche:	\$3.00

Equal Employment Opportunity Plan Development Guidance

September 1978

NOTICE

This report was prepared as an account of work sponsored by the United States Government. Neither the United States nor the United States Department of Energy, nor any of their employees, nor any of their contractors, subcontractors, or their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness or usefulness of any information, apparatus, product or process disclosed, or represents that its use would not infringe privately owned rights.

U.S. Department of Energy
Office of the Secretary
Office of Equal Opportunity

DISTRIBUTION OF THIS DOCUMENT IS UNLIMITED

Department of Energy
Washington, D.C. 20545

The purpose of this publication is to provide instructions for the development of EEO Plans for Fiscal Year 1979. It supplements the National EEO Plan for the Department of Energy issued in August 1978 (DOE/S-0002).

The material included should be used immediately as guidance to develop, document, and implement subordinate echelon commitments to EEO. A schedule for the development and submission of EEO Plans is included.

Most of the continuing requirements will be published at a later date as part of the directives system. Any comments or helpful suggestions concerned with the program outlined would be appreciated by the Office of Equal Opportunity.

Marion A. Bowden

Marion A. Bowden, Director
Office of Equal Opportunity

TABLE OF CONTENTS

	<u>PAGE NO.</u>
I. EEO Plan Submission Schedule	1
II. Department of Energy EEO Plan Development Guidance	2
1. General	2
2. Legal Requirements of EEO Plans	2
3. Civil Service Commission Directives	2
4. National EEO Plan	2-3
5. Regional EEO Plans	3-5
6. Subordinate EEO Plans	5
7. Assessment Procedures	6-8
8. Reporting Requirements	8-10
Appendix I - Organizations Required to Prepare Regional Plans	11
Appendix II - National Availability Materials	12-15
Appendix III - Reporting Requirements and Formats	16-21
Illustration I - Sample Pre-Plan Development Assessment	22-25
III. Section 717 of the Equal Employment Opportunity Act of 1972	26-28
IV. CSC Bulletin 713-50, Fiscal Year 1979 Equal Employment Opportunity Plans	29-33
V. FPM Letter 713-40, Equal Employment Opportunity Plans	34-56

EEO PLAN SUBMISSION SCHEDULE

July 7	Distributed preliminary National EEO Plan for the Department of Energy
August 11	Distributed National EEO Plan approved by Civil Service Commission
Sept. 29	Distributed EEO plan development guidance
Oct. 2-31	<p>Each organization reviews all program areas of the Departmental Plan and determines the action items which it needs to implement. It assesses its own EEO situation and based upon these reviews sets forth in an EEO Plan its EEO commitments. These commitments identify the problem, state what can be done to overcome it (in quantitative terms, if applicable), who is going to do it, and when it will be done.</p> <p>Each organization identified in Appendix I submits its EEO Plan to the Office of Equal Opportunity. Those expected to submit a plan to the CSC, also identified in Appendix I, submit the plan to the CSC at this time.</p>
Nov. 1-20	The Office of Equal Opportunity either approves the EEO Plan and notifies the organization to proceed to fulfill its commitments or will return the document to the organization for necessary adjustment.

EQUAL EMPLOYMENT OPPORTUNITY PLAN DEVELOPMENT
GUIDANCE

1. General. This publication is to provide guidance in the development and submission of EEO Plans. It requires affirmative action by all echelons within the Department of Energy. Affirmative Action is defined as positive action designed to bring about meaningful change. Its purpose is to overcome the effects of past discrimination and to prevent the occurrence of employment discrimination. It consists of policies, practices and actions specifically designed to improve the opportunities for minorities and women, along with others, for employment, development, and advancement. The following programs and requirements are for the purpose of integrating equal employment opportunity considerations with the day-to-day personnel management activities of every manager and supervisor.
2. Legal Requirements of EEO Plans. The EEO Act of 1972 requires Federal agencies to submit national and regional Equal Employment Opportunity Plans to the Civil Service Commission annually, for approval. The law provides further that the plans submitted shall include, but not be limited to:
 - A. provisions for the establishment of training and education programs designed to provide a maximum opportunity for employees to advance so as to perform at their highest potential.
 - B. a description of the qualifications in terms of training and experience relating to equal employment opportunity for principal officials responsible for carrying out the EEO program.
 - C. the allocation of personnel and resources proposed to carry out the EEO program.
3. Civil Service Commission Directives. The instructions for development and submittal of EEO Plans contained in current CSC directives are applicable within the Department of Energy (See FPM Letter 713-40 and CSC Bulletin 713-50). Specific responsibilities and supplemental instructions are provided in the following paragraphs.
4. National EEO Plan. The Department of Energy National Plan is the EEO Plan issued by the Deputy Secretary. It identifies problems that exist on a Department-wide basis, specifies actions planned for their resolution during the time frame of the plan, assigns major responsibility for carrying out planned action, and establishes target dates for accomplishment.

- A. Development. The Director of Equal Employment Opportunity (Director, Office of Equal Opportunity) prepares the DOE plan, obtaining appropriate participation and coordination of planned actions and targets. The Director, Office of Personnel Management advises on and participates in development of the National EEO Plan.

(1) Directors of Special Emphasis Programs (Federal Women's Program, Hispanic Employment Program, Upward Mobility Program, develop action items based on their assessment of the EEO situation and incorporate the action items into the overall EEO Plan.

- B. Approval. The DOE National EEO Plan is approved by the Office of Federal Equal Employment Opportunity, U. S. Civil Service Commission.

- C. Communication. The DOE Plan is responsive to the overall EEO situation and needs of the Department and contains actions required to be taken within subordinate organizations. It is sent to all responsible officials at the time of its submittal to the Civil Service Commission to provide a basis for preparation and submittal of Regional EEO plans as discussed below.

- D. Revisions of the DOE EEO Plan. Following review by the Civil Service Commission or at any time during the time frame of the plan, the DOE plan may be revised. Revisions will be developed, approved, and communicated as in the initial plan.

5. Regional EEO Plans. The EEO Act of 1972 requires Regional EEO Plans. A separate plan is required by each DOE organization identified in Appendix I. These plans are to be prepared by the EEO Officer in cooperation with the Special Emphasis Program Managers, and representatives of the personnel staff in accordance with current CSC directives. The purpose of the regional plans is to encourage and provide information on specific affirmative actions based on local situations.

- A. Regional Plans for Washington, D. C. The Federal Energy Regulatory Commission and the Headquarters Organization of DOE will prepare separate plans and submit them to the Director, Office of Equal Opportunity for approval. Both plans will be submitted to the Civil Service Commission for review and approval.

- B. Exclusion of Field Offices. Field organizations not included in Appendix I will prepared EEO commitments. These commitments should follow the modified plan development procedure given in current CSC directives. These plans will not be submitted to the regional offices of the CSC, but should be made available to those offices upon request.

- C. Development. Plans should be based on the identification of problem areas or impediments to equal employment opportunity in all organizations, occupations, and levels of responsibility.
- D. Format and Content. Regional plans should be similar in format to the DOE EEO Plan. They should cover only those items where the assessment indicates that there is a local problem which coincides with the identified national problem. Also, items which provide for management and staffing of the EEO function should be included for implementation. The plans should include additional planned action based on the assessment of the local situation. All organizations listed in Appendix I, regardless of size, will prepare full EEO plans.

The actions included under each program area will vary among offices and with local situations. It is not necessary to include an action which is not significant simply to account for it in the plan. A small number of specific planned actions in significant areas may comprise an effective plan for a given period, whereas comprehensive statements of general intent are inadequate as action plans. All plans must provide for coverage of the legal requirements in the EEO Act of 1972 and current CSC directives.

- E. Goals. The long-range goals of the regional EEO plans should directly or indirectly incorporate long-range goals of the Department EEO Plan which are common goals but may include additional goals based on local situations. The immediate goals of the regional plans should reflect the local situation and potential but should be generally consistent with the goals of the Department plan. They should be specific and expressed in terms which permit achievement to be evident from employment data. They should be ambitious in meeting problems but realistic in view of the potential in the period covered.
- F. Action Items. Specific planned actions which are responsive to the problem identified in the assessment, should be clearly stated along with the organization or person responsible for each action. The actions should be directed at existing problems in assuring equal employment opportunity. Actions called for in special emphasis programs, such as the Federal Women's Program, the Hispanic Employment Program, and the Upward Mobility Program should be considered in view of the local situation. All planned actions should be consistent with DOE personnel management policies and procedures.

- G. Target Dates. Wherever practical, target dates should be established for actions which have identifiable stages of completion. The frequency or extent of an action may be suitable as a target when the action is of a "continuing" or "as needed" nature.
- H. Consultation. In the development of EEO objectives and goals, there should be consultation with minority groups, community leaders, labor organizations, employees, women's groups, and other interested parties and suggestions received from those sources considered in setting commitments.
- I. Submittal of Regional EEO Plans. All regional plans will be submitted to the Director of Equal Employment Opportunity for review, comment, and approval. Plans should be received ninety days after receipt of the National EEO Plan for the Department of Energy. All plans should be ready for implementation at the start of the fiscal year. Organizations of 1,000 or more employees required to submit plans to the CSC should do so at the same time the plan is forwarded to the Office of Equal Opportunity.
- J. Revision of Regional EEO Plans. Following review and approval by the Director of Equal Employment Opportunity, and by the Civil Service Commission, or at any time during the life of the plan, revision may be required or warranted. Revisions should be developed and submitted as in the initial regional plan.
- K. Communication of Regional EEO Plans. The regional plan is responsive to the local situation and contains actions to be taken by different officials within the organization. It is sent to all responsible officials, as well as to advisory committees and employees with special EEO responsibilities. Presentation and discussion of the EEO plan and related plans for personnel management among officials and supervisors at staff meeting is a suggested step in communicating the plan.
6. Subordinate EEO Plans. EEO commitments of offices within or serviced by field organizations, and individual Assistant Secretaries and other offices at headquarters, may be required to submit commitments. The commitments of these organizations contribute to regional plans and reflect commitment to and participation in affirmative actions. Subordinate commitments are prepared in accordance with instructions from the officials requiring them. Such officials will determine the form and content of the commitments and the schedules for submittal.

7. Assessment Procedures. An accurate and comprehensive assessment of the organization's EEO situation is the first step in the development of an effective EEO affirmative action program. Such an assessment includes an analyses of factual data and the identification of major EEO problems.

A. Purpose. The purposes of the assessment are:

- (1) to address any objectives which were unattained and action items still in process or unresolved from the previous plans;
- (2) to provide clear and comprehensive narrative assessment summaries of the current status of major EEO program areas;
- (3) to identify any current conditions which impede full realization of EEO goals;
- (4) to identify (through concise problem statements) those EEO problems which require priority attention and solution based upon the conditions identified as a result of (1), (2), and (3) above.

B. Self-assessment guide. A self-assessment guide is contained in FPM Letter 713-40. The criteria listed in the guide are intended to serve as a starting point for the assessment process and may well suggest other factors to be considered. Specifically responding to the questions listed is not necessary since many of the responses may not be meaningful with respect to the overall assessment or will not relate to any of the priority problems identified, and therefore, will merely add to the length of the plan. A workforce analysis technique, which may be used in pre-plan development, is described in Illustration I.

C. Evaluations of personnel and equal employment opportunity conducted by the Department, the CSC or other Federal or private organizations should be used in the assessment process.

D. Recruitment and Placement Goals. Each organization must evaluate its own unique EEO situation and, as a result of the evaluation, establish employment goals and the timetable for accomplishment. Individual organization goals may be the same as the national goals or they may be higher or lower as the organization EEO profile indicates as necessary. See paragraphs 4 and 5 above.

- (1) Realistic Base. All EEO goals must be developed and structured around pertinent and quantifiable data and information which contributes to the assessment of the program and the attainment of EEO objectives. Commitments and goals must be established on a realistic basis, taking into account available opportunities within the organization, estimated turnover, anticipated hiring and occupational needs. These factors should be related to the potential supply of women and minority group persons from the workforce and in the recruiting area who are qualified or who can reasonably be expected to qualify after appropriate training and development.
- (2) Reasonable Representation. Any numerical recruitment and placement goals which are established must relate and apply as closely as possible to the organizational, grade level or occupational areas which are below what reasonably could be expected within the availability of candidates. In the CSC system which is uniformly applied to several departments and agencies, there are fewer opportunities for improvisation in the conduct of a recruitment and examination program. When establishing goals for professional hires consider the presence of minorities and women in each particular academic discipline and in currently graduating classes, availability within the Federal workforce and on CSC registers. The recruitment area customarily used as a source for general recruitment for each occupation or grade level should be used as the base reference. It may be the immediate commuting area, the standard metropolitan area, a section of the country or the entire country.

The ability to staff vacancies through upward mobility programs also must be considered. Limited national availability materials are given in Appendix II. Appropriate offices of the CSC and the Department of Labor can supply more definitive local information.

- (3) Presentation. Numerical recruitment and placement goals should be presented with reference to the total number of anticipated opportunities for taking affirmative action. Furthermore, goals should be established by sex and individual minority group when the assessment indicates that a particular group is underrepresented.

- (4) Merit System. Affirmative action to attain numerical recruitment and placement goals must be carried out within the context of the merit system. Affirmative action can be accomplished within the merit system, although it may involve exploring and using alternative staffing options.
- (5) Exceptions. Regional plans which apply to organizations of 75 or less should include specific planned actions which are designed to achieve, within the merit system, the numerical goals established, rather than include the numerical goals themselves. The goals should be submitted for review and approval with the EEO plan.

8. Reporting Requirements. A continual critical review of the progress made against the commitments outlined in the EEO Plan is essential.

A. Purpose

- (1) measure progress in the employment and utilization of women and minorities;
- (2) determine patterns of selection of women and minorities, identify the causes of non-selection and take positive steps toward effecting change;
- (3) identify and analyze problem areas and initiate projects or program changes; and,
- (4) revise EEO commitments.

B. Types. A brief description of each report is provided below. Instructions for the completion of the statistical reports is given in Appendix III.

(1) Annual Accomplishment Reports

(a) National. In accordance with the EEO Act of 1972 and Civil Service Commission requirements, the National EEO Plan for the Department of Energy submitted to the Commission for approval, includes a report of accomplishment of the action items included in the previous plan. The Director, Office of Equal Opportunity prepares the report using information from automated records, quarterly narrative and statistical reports, and personnel management and EEO evaluations. Achievements or the extent of achievements, together with problems encountered, are summarized as the basis of the

report. Action items which are significant are discussed in terms of their contribution to achievement of the goals. The Director, Office of Personnel Management advises on and participates in preparation of the accomplishment report and concurs in each report prior to referral to the Deputy Secretary.

(b) Regional. A separate accomplishment report must be submitted with the EEO Plan by each office required to prepare a regional plan. It is to be submitted to the Director, Office of Equal Opportunity and the appropriate CSC office, when CSC plan approval is required (See Appendix I). A summary of achievement of the previous plan provides the basis for reporting accomplishment of separate action items. Each action item in the previous EEO plan should be considered; however, it is not necessary to discuss an item merely to account for it in the report. The significant action items should be discussed in terms of achievement or nonachievement of the goals and in statistical terms whenever possible.

(2) Report on National EEO Plan and Action Coordination and Tracking System (ACTS) Report

Each organizational unit of the Headquarters office, the Federal Energy Regulatory Commission, and the offices listed in Appendix I shall report on a quarterly basis the progress made toward achieving the Department's goals to increase overall minority representation and to increase the utilization of women in positions GS-9 and above.

(3) Quarterly Narrative Reports. Each office required to prepare a regional EEO plan will submit on a quarterly basis a narrative report signed by the head of the organization, to the Director, Office of Equal Opportunity. The report should include significant progress made under the organization's EEO programs, problems encountered in program implementation, and projects undertaken to enlarge job opportunities for women and minority group members.

(a) The report should indicate the total number of lateral reassignments into the organization and the number of women and members of minority groups since this data will not be provided by the statistical summaries.

(b) Noteworthy accomplishments, breakthrough appointments, or any other material which could be shared with others should be submitted in the form of articles ready for publication within the Department or by the CSC in its EEO publications. When possible photographs should be included.

- (4) Quarterly Accession, Promotion and Current Staffing Reports. Each office required to prepare a regional EEO plan will submit statistical data on accessions, promotions, and current staffing with its narrative report. Once the data maintained in the Personnel Automated Records and Information System (PARIS) has been validated, the statistical summaries will be discontinued.

ORGANIZATIONS REQUIRED TO PREPARE
REGIONAL PLANS

Plan Approval Required by
Office of Equal Opportunity

Plan Approval Required by
Appropriate CSC Office

Region I, Boston
Region II, New York
Region III, Philadelphia
Region IV, Atlanta
Region V, Chicago
Region VI, Dallas
Region VII, Kansas City
Region VIII, Denver
Region IX, San Francisco
Region X, Seattle

Chicago Operations Office
Idaho Operations Office
Oak Ridge Operations Office
Richland Operations Office
(Includes Fast Flux Project Office)
San Francisco Operations Office
Savannah River Operations Office
Nevada Operations Office
Albuquerque Operations Office

Dallas

Alaska Power Administration
Southeastern Power Administration
Southwestern Power Administration
Bonneville Power Administration
Western Area Power Administration

Seattle
Denver

Bartlesville Energy Technology Center
Grand Forks Energy Technology Center
Laramie Energy Technology Center
Morgantown Energy Technology Center
Pittsburgh Energy Technology Center

Environmental Measurement Laboratory, New York
Uranium Resource Facility, Grand Junction
Clinch River Project Office
Pittsburgh Naval Reactors Office
Schnectady Naval Reactors Office
Naval Petroleum Reserve, Elk Hill
Technical Information Center, Oak Ridge
Headquarters
Federal Energy Regulatory Commission

Washington, D.C.
Washington, D.C.

Appendix II

MINORITY/SEX DISTRIBUTION BY WHITE-COLLAR OCCUPATION
 ALL-AGENCY SUMMARY: FULL-TIME PERMANENT
 FEDERAL GOVERNMENT EMPLOYEES
 11/30/76

Occupation Group Title, Code and Number of Employees	% TOTAL		% BLACKS		% HISPANICS		AMERICAN % INDIAN		% ORIENTALS		% OTHER	
	Total	Women	Total	Women	Total	Women	Total	Women	Total	Women	Total	Women
Miscellaneous Occupations 1-99 (48,238)	100.0	7.3	15.7	1.8	4.2	0.2	1.1	0.1	0.4	0.0	78.6	5.1
Social Science-Psyc. Welfare 100 (57,185)	100.0	34.6	12.6	6.3	3.6	1.3	1.0	0.5	1.2	0.4	81.6	26.0
Personnel-Management 200 (43,369)	100.0	56.5	15.2	11.4	2.8	1.5	0.7	0.4	1.0	0.6	80.3	42.6
General Administrative 300 (455,520)	100.0	68.3	17.1	13.2	2.7	1.8	1.1	0.8	0.9	0.6	78.2	51.9
Biological Sciences 400 (41,271)	100.0	9.0	4.8	1.1	1.7	0.1	1.4	0.0	0.7	0.2	91.4	7.6
Accounting and Budget 500 (118,707)	100.0	48.4	12.5	9.2	2.5	1.1	0.5	0.3	1.7	0.6	82.8	37.2
Medical and Health Sciences 600 (113,732)	100.0	60.4	22.0	13.7	2.3	1.0	1.9	1.5	1.9	1.2	71.9	42.9
Veterinary Medical Sciences 700 (3,055)	100.0	2.4	3.1	0.1	3.0	0.1	0.2	0.0	2.8	0.2	91.0	2.0
Engineering and Architecture 800 (148,504)	100.0	1.6	3.2	0.1	1.9	0.0	0.7	0.0	1.6	0.0	92.6	1.4
Legal and Related Occupations 900 (63,104)	100.0	54.7	15.7	12.3	2.8	1.9	0.4	0.3	1.0	0.5	80.2	39.7
Information and Arts 1000 (20,023)	100.0	32.6	7.9	3.4	2.6	0.8	0.4	0.1	1.9	0.5	87.2	27.8
Business and Industry 1100 (67,835)	100.0	29.2	8.5	4.7	2.7	0.7	0.8	0.3	0.8	0.3	87.2	23.1
Copyright-Patent-Trademark 1200 (1,342)	100.0	4.5	7.8	1.6	0.9	0.0	0.0	0.0	1.4	0.1	89.9	2.7
Physical Sciences 1300 (40,901)	100.0	9.6	5.3	1.1	1.4	0.1	0.2	0.0	1.9	0.3	91.2	8.1
Library Science and Archives 1400 (7,384)	100.0	66.0	18.4	11.7	1.3	0.8	0.3	0.2	1.3	1.0	78.6	52.3
Mathematics-Statistics 1500 (14,238)	100.0	34.5	14.0	9.5	1.4	0.4	0.1	0.1	1.7	0.4	82.8	24.1
Equipment Facilities 1600 (13,591)	100.0	2.8	5.2	0.6	2.2	0.0	0.4	0.0	0.8	0.0	91.4	2.2
Education 1700 (27,886)	100.0	40.8	5.4	2.5	1.5	0.5	14.9	9.8	1.1	0.4	77.1	27.6
Investigation 1800 (45,683)	100.0	6.5	4.7	1.0	3.5	0.3	0.4	0.0	0.6	0.1	90.8	5.1
Commodity Quality Control 1900 (18,433)	100.0	3.5	4.4	0.3	2.6	0.1	0.3	0.0	0.9	0.0	91.8	3.1
Supply 2000 (58,479)	100.0	44.0	15.0	8.3	4.0	1.3	0.7	0.2	0.9	0.4	79.4	33.8
Transportation 2100 (42,719)	100.0	16.3	7.5	3.0	2.2	0.4	0.4	0.1	0.5	0.2	89.4	12.6
Postal Service 2300 (464,030)	100.0	15.5	19.7	6.2	3.1	0.3	0.2	0.0	0.7	0.1	76.4	8.9
Students 3500 (590)	100.0	67.5	44.6	30.5	9.7	6.8	1.0	0.7	1.2	0.7	43.6	28.8

U.S. CIVIL SERVICE COMMISSION
EQUAL EMPLOYMENT OPPORTUNITY PROGRESS REPORT
AS OF NOVEMBER 1977

FULL-TIME PERMANENT EMPLOYMENT
NOV 77

	<u>GOVT-WIDE TOTAL (NON-POSTAL)</u>			<u>ENERGY</u>	
	NUMBER	PERCENT	NUMBER	PERCENT	
TOTAL	1,774,447	100.0	16,332	100.0	
WOMEN	614,627	34.6	4,983	30.5	
BLACK	264,627	14.9	1,066	6.5	
HISPANIC	64,211	3.6	613	3.8	
NATIVE AMERICAN	20,534	1.2	121	0.7	
ORIENTAL	19,220	1.1	191	1.2	

DISTRIBUTION OF WOMEN AND MINORITIES

FEDERAL FULL-TIME
PERMANENT EMPLOYMENT

NATIONAL NON-FARM
LABOR FORCE EMPLOYMENT

November 30, 1977

1977 Annual Average

WOMEN	35%	41% (36% of full-time)
BLACK	15%	9%
HISPANIC	4%	4%
NATIVE AMERICAN, ORIENTAL & ALL OTHER	2%	2%

REPRESENTATION BY GRADE LEVEL

	GS 1-8 (\$6,219-\$17,757)	GS 9-12 (\$15,090-\$28,444)	GS 13-15 (\$26,022-\$47,025)	GS 16-18 (\$42,423-\$47,500)
% Women	68.2	22.5	5.9	3.2
% Minority	25.8	12.2	6.7	4.9

	GS 13-15		GS 16-18	
	<u>November 1976</u>	<u>November 1977</u>	<u>November 1976</u>	<u>November 1977</u>
% Women	5.5	5.9	2.8	3.2
% Minority	6.4	6.7	4.7	4.9

TOTAL REPRESENTATION VS DOE

Total representation of women and minorities is as follows:

	<u>Energy</u>	<u>Federal Full-Time Permanent Employment Average, Nov. 30, 1977</u>	<u>National Non-Farm Labor Force Employment 1977 Annual Average</u>
Women	30.5%	34.6%	41.2%
Minority	12.2%	20.8%	15.2%

REPRESENTATION BY GRADE LEVEL

As indicated in the report to the President, we believe the level of jobs held by women and minorities to be a better measure of their advancement (and therefore of the effectiveness of affirmative action efforts) than overall representation. For your agency, these representation levels are as follows:

Distribution of Women and Minorities by General Schedule Grade Full Time Permanent Employment Nov. 30, 1977 GENERAL SCHEDULE & EQUIVALENT

	<u>Energy</u>	<u>Government Average</u>
GS 1-8		
% Women	72.6	68.2
% Minority	22.1	25.8
GS 9-12		
% Women	23.6	22.5
% Minority	10.1	12.2
GS 13-15		
% Women	6.1	5.9
% Minority	5.6	6.7
GS 16-18		
% Women	1.1	3.2
% Minority	3.4	4.9

Over the past year, the following changes took place:

Grade by Grade Representation-Net Change in Percentage Nov. 30, 1976-Nov. 30, 1977 GENERAL SCHEDULE & EQUIVALENT

	<u>Energy</u>	<u>Government Average Change from 1976.</u>
GS 1-8		
Women	NA	+0.5
Minorities	NA	+0.5
GS 9-12		
Women	NA	+1.2
Minorities	NA	+0.5
GS 13-15		
Women	NA	+0.4
Minorities	NA	+0.3
GS 16-18		
Women	NA	+0.4
Minorities	NA	+0.2

(Extract)

U.S. Civil Service Commission Memo

Employment of Women and Minorities in the Federal Service - Special
Report April 7, 1978 and April 28, 1978.

National Availability of Women and Minorities for
Positions in Officials & Managers, and Professional Employment Categories

Women & Minority Availability Conclusions
for Consideration in Preparing EEO Plans
(FY 78-79)

	<u>% Women</u>	<u>% Total Minority</u>	<u>% Blacks</u>	<u>% Spanish Origin</u>	<u>% Asian American</u>	<u>% American Indians</u>
Engineers	1.85	4.75	1.45	1.63	1.58	0.09
Chemical Engineering	1.80	3.83	0.82	1.24	1.62	0.15
Civil Engineering	1.54	5.92	1.49	1.97	2.24	0.22
Electrical Engineering	1.69	5.39	1.76	1.48	2.08	0.07
Mechanical Engineering	1.00	4.22	1.37	1.30	1.49	0.06
Metallurgical Engineering	1.06	2.83	0.92	1.12	0.79	-
Mathematics	39.35	9.74	5.62	1.61	2.24	0.27
Chemistry	15.55	9.85	4.01	2.21	3.45	0.18
Biology	32.33	17.27	7.83	2.80	6.24	0.40
Physics	6.31	5.78	1.63	1.43	2.65	0.07
Accounting	25.22	11.05	4.82	3.73	2.32	0.18
Computing	20.62	8.12	4.62	1.81	1.59	0.10
Nursing	98.63	14.03	9.93	2.38	1.46	0.26
Physicians	11.01	18.46	4.46	7.18	6.70	0.12
Economics	12.38	5.35	2.59	1.84	.78	0.14
Library Science	82.83	10.37	7.30	1.60	1.31	0.16
Legal	8.46	7.82	4.14	2.92	.58	0.18
Personnel	41.00	16.11	10.00	4.51	1.24	0.36
Procurement	41.00	16.11	10.00	4.51	1.24	0.36

Ref: P/RA Research, Inc., report to ERDA (May 1976)

APPENDIX III

Reporting Requirements for EEO

Frequency	Activity	Subject	Report to	Due	Remarks
1. Annual	OEO	Accomplishment of EEO Objectives	CSC Office of Federal EEO	With submission of National EEO Plan	See instructions given in section on reporting requirements.
2. Annual	Organizations listed in Appendix I	Accomplishment of EEO Objectives	Director, OEO	With submission of Regional EEO Plan.	See instructions given in section on reporting requirements.
3. Quarterly	Hdqtrs: FERC Organizations listed in Appendix I	FTP Hires All Levels and GS-9 and above	Director, OEO	1st week after end of FY quarter.	See instructions given in this Appendix and section on reporting requirements
4. Quarterly	Organizations listed in Appendix I	Narrative Report: Statistical Summaries (1) FTP Hires (2) Promotions (3) Current Staffing	Director, OEO	10th of month following the end of quarter (orig. & 1 copy)	See instructions given in this Appendix and section on reporting requirements.

REPORT ON NATIONAL EEO PLAN

ORGANIZATION _____

FISCAL QUARTER _____

		TOTAL HIRES				MINORITY HIRES											
					%	BLACK		HISPANIC		INDIAN		ASIAN		TOTAL MINORITIES			
	Quarter	T	M	F	F	M	F	M	F	M	F	M	F	M	F	T	%
All grade levels	I																
	II																
	III																
	IV																
Total (Cumulative)																	
GS-9 and above	I																
	II																
	III																
	IV																
Total (Cumulative)																	

Fiscal Quarter

- I - 1 Oct.-31 Dec.
- II - 1 Jan.-31 Mar.
- III - 1 Apr.-30 June
- IV - 1 July-30 Sept.

Remarks

- (1) Total Cumulative - Reflect activity of earlier quarters as well as last quarter submission.

Report on National EEO Plan
and
Action Coordination and Tracking System (ACTS) Report

Reporting Organization: Headquarters; Federal Energy Regulatory Commission
All field offices listed in Appendix I

General Instructions: DOE National EEO Plan and
Office of Equal Opportunity Memorandum of July 31, 1978

1. Each organizational unit will report on a quarterly basis the progress made toward achieving the Department's goals to increase overall minority representation and to increase women in positions GS-9 and above.
2. Reports will consist of: the total full-time permanent hires during the last fiscal quarter and the number and proportion who were minorities; the total number of hires GS-9 and above, and the number and proportion of women and minorities. The numbers to be reported should reflect (1) full-time permanent hires into DOE; (2) transfers into DOE from other government agencies; (3) reinstatements; and (4) conversions from other than full-time permanent to full-time permanent. Information concerning promotions, reassignments (including from field to Headquarters and between separate organizational entities at headquarters), and hires of other than full-time permanent should not be included on this report. The date FTP hire is placed on DOE payroll will determine the proper quarter for reporting. Quarterly reports are due in the Office of Equal Opportunity one week after the end of each fiscal quarter. Each major organizational unit at Headquarters reports quarterly progress at the first ACTS meeting scheduled in the month following the end of the fiscal quarter.

EEO Progress Report Quarterly

Organization _____

Fiscal Qtr.

Report of

- a. Accessions
b. Promotions
c. Current Staffing

- I 1 Oct-31 Dec
II 1 Jan-31 Mar
III 1 Apr-30 Jun
IV 1 Jul - 30 Sep

Pay Plan and Grade	Reporting Period	Total				Minority												Other			
		T	M	F	F%	Black		Hispanic		Am. Ind.		Asian		Total Minorities			%	M	F	T	% Tot.
						M	F	M	F	M	F	M	F	M	F	T					
1-4	a																				
	b																				
5-8	a																				
	b																				
9-12	a																				
	b																				
13-15	a																				
	b																				
16 and above	a																				
	b																				
Total GS	a																				
	b																				
EES	a																				
	b																				
Wage Systems	a																				
	b																				
Other Pay Plans	a																				
	b																				
Total All Pay Plans	a																				
	b																				

Quarterly EEO Progress Reports

Reporting Organization: Each organization listed in Appendix I.

General Instructions: Section on Report Requirements and information provided below.

1. Each report shall consist of a brief narrative summary which describes the operation of the EEO Plan. Reports are to reach the Office of Equal Opportunity by the 10th of the month following the end of the quarter.
2. Statistical Reports. The form provided in this Appendix will be used in reporting the following:
 - (1) Full-time permanent accessions; (2) Promotions; and (3) Current staffing at the close of the fiscal quarter. A separate copy of the form will be used to report each of the above.
 - a. Full-Time Permanent Accessions:
 - (1) Full-time permanent hires into DOE; (2) transfers into DOE from other government agencies; (3) reinstatements; and (4) conversions from other than full-time permanent to full-time permanent. Information concerning promotions, reassignments (including from field to Headquarters and between separate organizational entities at headquarters), and hires of other than full-time permanent should not be included on this report. The date FTP hire is placed on DOE payroll will determine the proper quarter for reporting.
 - b. Promotion:

The quarterly promotion report is a count of the number of promotions into each grade; and the definition of "promotion" for this purpose is any action (irrespective of action code) which changes an employee's position and advances the employee to a higher grade and/or which increases the employee's salary.
 - c. Current Staffing:

Report the current staffing at the end of the fiscal quarter, using the last day of the quarter for reporting.

Quarterly EEO Progress Reports
(continued)

Reporting Organization: Each organization listed in Appendix I.

General Instructions: Section on Report Requirements and information provided below.

d. Use of Format:

- (1) Line a) - Report data for current quarter. Use separate form to report accessions, promotions, and current staffing.
- (2) Line b) - Report cumulative totals. Use separate form to report accessions, promotions, and current staffing.
- (3) Fiscal Quarters are:
 - I - 1 Oct. - 31 Dec.
 - II - 1 Jan. - 31 Mar.
 - III - 1 April - 30 June
 - IV - 1 July - 30 Sept.

Note: Complete forms in detail and include all percentages at each grade-level group and totals. Complete percentage for Total Minorities.

PRE-PLAN-DEVELOPMENT ASSESSMENT

WORKFORCE ANALYSIS

The analytic technique described in this appendix is one acceptable method of determining the representativeness of the workforce. The analysis will help you to determine how the organization's occupations compare to government-wide employment in the same occupations and whether all organizations are open to minorities and women.

Ideally, we should be able to compare occupations in the Federal workforce with occupations in the civilian labor force. However, occupational classifications used by the Census Bureau, the Department of Labor, and the Federal government for its civilian and military employees are not directly comparable. Under the leadership of the Office of Management and Budget, work is currently proceeding to develop a Standard Occupational Classification system which could permit direct comparisons of occupations between the Federal and civilian labor forces. Until this work is completed, we will have to use analytic techniques which are not quite as precise as we would like.

The analysis presented here describes a simple method by which you can compare the composition of your organization's workforce with that of the government as a whole. The first question to answer for each distinct occupation analyzed is, which workforce should be used as the base of reference, the national Federal workforce, or the local Federal workforce?

The choice between the local or national Federal workforce is determined by the normal recruiting area for the occupation and grade level being analyzed. If the recruiting area for the occupation being analyzed is a local area or state, then local or state-wide Federal workforce statistics should be used as the base of reference. If the recruiting area is nationwide, then national figures should be used. Current national base reference workforce figures are provided. Local base reference figures are available to you by the appropriate U. S. Civil Service Commission Regional Office.

Following selection of the base reference workforce, the second step is to identify the percentage of minorities and non-minorities, by sex, in the base reference workforce for occupations comparable to those existing in the organization.

The next step is to identify the central tendency for each comparable occupation. The central tendency or representative employment range is administratively defined as the percentage of minorities and non-minorities, by sex, plus or minus 25 percentage, employed in each of the comparable occupations in the base reference workforce.

An example may help here. If the percentage of Black males in the base reference workforce in the occupation being analyzed is 10 percent, then 25 percent of that percentage is 2.5 percent. The representative employment range for Black males is therefore between 7.5 percent and 12.5 percent for that specific occupation.

Now compare the percentage of minority and non-minority groups, by sex, in each occupation with the central tendency or representative ranges previously computed for the same occupation in the base workforce. This step will identify potential problem areas in specific occupations which must be investigated to explain why the occupation is not within the representative range of the base reference workforce. Occupations having less than 25 employees should not be analyzed.

This analysis is not to be submitted as part of the assessment report, but it must be available for review if requested. You are to report the output of this last step in the enclosed format. If all occupations analyzed are within the representative range by minority and majority group, by sex, nothing needs to be reported.

It is important to point out here that this analysis does not constitute a mathematical definition of equal employment opportunity. It is a simple analytic technique designed to isolate those occupations in which the probability of barriers to equal opportunity could reasonably be expected to be highest. Conversely, it arbitrarily excludes from consideration those occupations in which a minimum probability of barriers to equal opportunity could reasonably be expected to exist.

It would be a mistake to conclude that an occupation in the table automatically indicates that there is an EEO problem or discrimination. It does not. What it indicates is the possibility of an EEO problem. It is your job to explore the reasons behind the tendency and to determine whether or not there is a problem requiring affirmative action.

For example, the examination as to why a particular group is tabulated in a specific occupation may reveal a pattern of relative difference over a long time span, but it may also reveal that for the past three years the accession rate of that group has been within or above the representative range for that occupation. Therefore, while there had been a barrier to equal employment opportunity in the past, there is not one now due to affirmative actions practiced during the past three years.

On the other hand, if the examination discloses that both the employment and accession rate for a particular group in a specific occupation are not within the representative range, and there are no other mitigating factors, then it would be reasonable to conclude that there is a potential problem or barrier requiring affirmative action. It would then be your responsibility to establish strong affirmative action objectives to identify and remove barriers.

REASONABLE REPRESENTATION ANALYSIS

OCCUPATIONAL TITLE	EMPLOYMENT		AVAILABILITY		UNDERUTILIZATION	
	Min. %	Women %	Min. %	Women %	Min.	Women

SECTION 717

PUBLIC LAW 92-261

MARCH 24, 1972

THE EQUAL EMPLOYMENT OPPORTUNITY ACT OF 1972

Public Law 92-261
92nd Congress, H. R. 1746
March 24, 1972

An Act

86 STAT. 103

To further promote equal employment opportunities for American workers.

* * *

"NONDISCRIMINATION IN FEDERAL GOVERNMENT EMPLOYMENT

"SEC. 717. (a) All personnel actions affecting employees or applicants for employment (except with regard to aliens employed outside the limits of the United States) in military departments as defined in section 102 of title 5, United States Code, in executive agencies (other than the General Accounting Office) as defined in section 105 of title 5, United States Code (including employees and applicants for employment who are paid from nonappropriated funds), in the United States Postal Service and the Postal Rate Commission, in those units of the Government of the District of Columbia having positions in the competitive service, and in those units of the legislative and judicial branches of the Federal Government having positions in the competitive service, and in the Library of Congress shall be made free from any discrimination based on race, color, religion, sex, or national origin.

80 Stat. 378.

"(b) Except as otherwise provided in this subsection, the Civil Service Commission shall have authority to enforce the provisions of subsection (a) through appropriate remedies, including reinstatement or hiring of employees with or without back pay, as will effectuate the policies of this section, and shall issue such rules, regulations, orders and instructions as it deems necessary and appropriate to carry out its responsibilities under this section. The Civil Service Commission shall—

Enforcement;
rules and
regulations.

"(1) be responsible for the annual review and approval of a national and regional equal employment opportunity plan which each department and agency and each appropriate unit referred to in subsection (a) of this section shall submit in order to maintain an affirmative program of equal employment opportunity for all such employees and applicants for employment;

National and
regional plan,
annual review.

Progress reports,
publication.

"(2) be responsible for the review and evaluation of the operation of all agency equal employment opportunity programs, periodically obtaining and publishing (on at least a semiannual basis) progress reports from each such department, agency, or unit; and
"(3) consult with and solicit the recommendations of interested individuals, groups, and organizations relating to equal employment opportunity.

The head of each such department, agency, or unit shall comply with such rules, regulations, orders, and instructions which shall include a provision that an employee or applicant for employment shall be notified of any final action taken on any complaint of discrimination filed by him thereunder. The plan submitted by each department, agency, and unit shall include, but not be limited to—

"(1) provision for the establishment of training and education programs designed to provide a maximum opportunity for employees to advance so as to perform at their highest potential; and

"(2) a description of the qualifications in terms of training and experience relating to equal employment opportunity for the principal and operating officials of each such department, agency, or unit responsible for carrying out the equal employment opportunity program and of the allocation of personnel and resources proposed by such department, agency, or unit to carry out its equal employment opportunity program.

Librarian of
Congress,
authority.

With respect to employment in the Library of Congress, authorities granted in this subsection to the Civil Service Commission shall be exercised by the Librarian of Congress.

42 USC 2000e
note.

"(c) Within thirty days of receipt of notice of final action taken by a department, agency, or unit referred to in subsection 717(a), or by the Civil Service Commission upon an appeal from a decision or order of such department, agency, or unit on a complaint of discrimination based on race, color, religion, sex or national origin, brought pursuant to subsection (a) of this section, Executive Order 11478 or any succeeding Executive orders, or after one hundred and eighty days from the filing of the initial charge with the department, agency, or unit or with the Civil Service Commission on appeal from a decision or order of such department, agency, or unit until such time as final action may be taken by a department, agency, or unit, an employee or applicant for employment, if aggrieved by the final disposition of his complaint, or by the failure to take final action on his complaint, may file a civil action as provided in section 706, in which civil action the head of the department, agency, or unit, as appropriate, shall be the defendant.

Ante, p. 104.

78 Stat. 259.
42 USC 2000e-
5.

"(d) The provisions of section 706 (f) through (k), as applicable, shall govern civil actions brought hereunder.

USC prec.
title 1.

"(e) Nothing contained in this Act shall relieve any Government agency or official of its or his primary responsibility to assure non-discrimination in employment as required by the Constitution and statutes or of its or his responsibilities under Executive Order 11478 relating to equal employment opportunity in the Federal Government."

* * *

U. S. GOVERNMENT PRINTING OFFICE : 1972 O - 480-537 (132)

CSC BULLETIN 713-50

FISCAL YEAR 1979 EQUAL EMPLOYMENT OPPORTUNITY PLANS

Bulletin

Bulletin No. 713-50

Washington, D. C. 20415

June 12, 1978

SUBJECT: Fiscal Year 1979 Equal Employment Opportunity Plans

Action Date:

Heads of Departments and Independent Establishments:

1. This bulletin contains updated guidance for the preparation and submission of Fiscal Year 1979 equal employment opportunity plans. Agencies should comply with FPM Letter 713-40 except where changes are made by this bulletin.
2. The following special instructions apply to FY 1979 EEO plans:

- a. Career Development for EEO Specialists. Agencies will report plans for implementing career development programs for EEO specialists in accordance with guidelines forwarded by Chairman Campbell's memorandum to heads of departments and agencies, dated January 11, 1978.

Agency plans, activities and accomplishments will be reported to the Civil Service Commission under the section in the EEO plan entitled, "Full Utilization of Skills and Training," and will include the following:

- (1) A summary of the agency's analysis of the cross-training needs of personnel and EEO specialists;
- (2) Actions underway or proposed to meet these needs;
- (3) An assessment of how well specialists who have undergone training have increased their effectiveness; and
- (4) A summary of any career progression of EEO specialists in personnel or other management fields.

Efforts undertaken during FY 1978 should be reported in Part B of the FY 1979 plan submitted to the Commission. All FY 1979 plans submitted to the Commission will be expected to include provisions for a comprehensive, continuing effort to implement this policy.

- b. Submission of EEO plans. Agencies required to submit EEO plans for Civil Service Commission review should make every effort to forward approvable plans well in advance of the fiscal year so that Commission reviews may be completed as early as possible and agencies can begin the fiscal year with an approved plan. Plans received by August 1, 1978 will be given priority attention by Civil Service Commission offices and every effort will be made to complete the plan review process prior to the beginning of the fiscal year. In any case, however, FY 1979 plans must arrive at the appropriate Civil Service Commission office not later than October 1, 1978.

Inquiries: Office of Federal Equal Employment Opportunity, Affirmative Action/Upward Mobility Section, (202) 632-6256

Code: 713, Equal Employment Opportunity

Distribution: FPM

Bulletin Expires: April 20, 1979

- c. Agencies required to prepare and submit major subordinate organization plans are listed in the attachment to this Bulletin. Regional offices and local installations required to submit plans will be notified by the appropriate Civil Service Commission regional office.
- d. This report has been cleared in accordance with FPMR 101-11.11 and assigned interagency report control number 1046-CSC-AN.

Raymond Jacobson
Executive Director

The following agencies are required to review, approve, and submit EEO plans for the organizations listed. Such plans will be forwarded to the Director, Office of Federal Equal Employment Opportunity, U. S. Civil Service Commission, with written affirmation that they meet the requirements of FPM Letter 713-40.

1. Department of Agriculture
 - Farmers Home Administration
 - Forest Service
 - Soil Conservation Service
 - Agricultural Stabilization and Conservation Service
 - Agricultural Marketing Service
 - Food and Nutrition Service
 - Agricultural Research Service
 - Animal Plant Health Inspection Service
 - Federal Grain Inspection Service
 - Food Safety and Quality Service
2. Department of Army
 - U. S. Army Material Development and Readiness Command
 - U. S. Training and Doctrine Command
 - U. S. Army Health Services Command
3. Department of Commerce
 - National Bureau of Standards
 - National Oceanic and Atmospheric Administration
 - Patent and Trademark Office
 - Bureau of the Census
4. Department of Health, Education, and Welfare
 - Office of the Secretary
 - Office of Human Development Services
 - Public Health Service
 - Health Care Financing Administration
 - Social Security Administration
 - Education Division
5. Department of Interior
 - National Park Service
 - Geological Survey
 - Bureau of Reclamation
 - Bureau of Mines
 - Bureau of Indian Affairs
6. Justice
 - Federal Bureau of Investigation
 - Immigration and Naturalization Service
 - Bureau of Prisons
 - Drug Enforcement Administration

7. Department of Labor
 - Employment and Training Administration
 - Employment Standards Administration
8. Department of Transportation
 - U. S. Coast Guard
 - Federal Aviation Administration
 - Federal Highway Administration
9. Department of Treasury
 - Internal Revenue Service
 - U. S. Customs Service
 - Bureau of Engraving and Printing
 - Bureau of Alcohol, Tobacco and Firearms
 - Bureau of the Mint
10. U. S. Postal Service
 - Eastern Region
 - Central Region
 - Northeast Region
 - Southern Region
 - Western Region

FPM LETTER 713-40

EQUAL EMPLOYMENT OPPORTUNITY PLANS

Federal Personnel Manual System

FPM Letter 713-40

SUBJECT: Equal Employment Opportunity Plans

Published in advance
of incorporation in FPM

Chapter 713
RETAIN UNTIL SUPERSEDED

Washington, D. C. 20415

August 17, 1977

FPM Letter 713-35 is superseded

Heads of Departments and Independent Establishments:

1. This letter transmits updated guidelines for the preparation of equal employment opportunity plans which are submitted by Federal agencies to the Civil Service Commission for review and approval. The guidelines detailed in the attachment to this letter supersede those issued in FPM Letter 713-35, dated April 30, 1976.
2. The guidelines embody a number of changes - some suggested by agency officials - which are intended to improve the EEO planning process and substantially contribute to the attainment of EEO program objectives. Particular emphasis is given to the requirement for each agency to conduct a comprehensive assessment of its EEO status; to state concisely the EEO problems which exist in the agency; to establish measurable objectives which will solve those problems, and to list specific affirmative actions designed to meet EEO objectives. In addition, these guidelines stress the need for timely preparation of EEO plans and require that plans to be reviewed for approval in accordance with P.L. 92-261 be submitted to the Civil Service Commission not later than October 1.
3. These guidelines become effective for plans developed for Fiscal Year 1978.
4. This report has been cleared in accordance with FPMR 101-11.11 and assigned interagency report control number 1046-CSC-SA.

Raymond Jacobson
Executive Director

Attachment

Inquiries: Office of Federal Equal Employment Opportunity, (202)632-6256, 632-6257

CSC Code: 713, Equal Employment Opportunity

Distribution: FPM (advance edition limited)

**Guidelines for the Development of Agency
Equal Employment Opportunity Plans**

PREPARATION AND SUBMISSION OF EEO PLANS

1. All plans will be developed on a fiscal year basis and become effective on the first day of the fiscal year.
2. Each department and agency identified in Section 717(a) of P.L. 92-261 shall prepare a national equal employment opportunity plan. Such plans shall be submitted by the department or agency to the Director, Office of Federal Equal Employment Opportunity, U. S. Civil Service Commission, Washington D. C. 20415, not later than October 1 each year.
3. Major subordinate command organizations of the above departments and agencies shall prepare such plans as the Commission shall require. Such plans shall be reviewed and submitted by the department or agency to the Director, OFEEO, not later than October 1 each year.
4. Regional offices and field installations of the above departments and agencies shall submit such EEO plans as the appropriate U. S. Civil Service Commission Regional Director, or for installations in the Washington D. C. metropolitan area the Director, OFEEO, shall require. Of these plans, those covering 1,000 or more employees shall be submitted by the head of the regional office or field installation directly to the appropriate U. S. Civil Service Commission office, not later than October 1 each year. A regional office or field installation preparing a plan which covers fewer than 1,000 employees will submit that plan for Commission review only upon the specific request of the Commission.
5. With one exception, organizations required to submit plans will develop them in accordance with instructions in this Letter. Excepted are small national agencies, generally those having fewer than 500 employees, and small local installations, generally those having fewer than 100 employees. These organizations are authorized to prepare modified EEO plans which will consist of the following elements:
 - a. Title page and Part A per these Guidelines.
 - b. Assurance that a current policy statement signed by the head of the agency which outlines the agency's commitment to equal employment opportunity has been distributed to all employees;
 - c. Assurance that all employees have been made aware of the discrimination complaint procedure, the name and location of the EEO counselor(s), and the name, title and location of the official with whom a formal discrimination complaint may be filed; and
 - d. Assurance that there is a provision for the establishment of training and education programs and upward mobility efforts designed to provide a maximum opportunity for employees to advance so as to perform at their highest potential.

Such modified EEO plans shall be submitted for Commission review only upon the request of the Commission.

6. Agencies may develop and submit plans whose objectives and action items (Part D) extend beyond one fiscal year. The report of objectives and action items of national plans of agencies and major command organizations may not extend beyond four (4) years and regional plans beyond two (2) years. In each subsequent year, the agency will submit an Introduction, Accomplishment Report, Assessment Report, and, if appropriate, an updated Report of Objectives and Action Items. The updated Part D will be required to show new, modified, or terminated objectives or action items resulting from program changes within an agency, accomplishment or lack of accomplishment, or changes in results of assessment.

PLAN DEVELOPMENT PROCESS - PROGRAM ASSESSMENT

7. The first step in EEO plan development is to assess the current status of equal employment opportunity within the agency or installation. The person or staff responsible for preparing the plan must request and consider input from managers, supervisors the coordinators of the Spanish Speaking, Federal Women's, and Upward Mobility Programs, plus any employee groups, labor organizations, minority and women's groups, and other parties having a responsible interest in the agency's EEO program. Agencies must also draw upon the results of personnel management and EEO program evaluations conducted by the U. S. Civil Service Commission or agency internal evaluation units. EEO-related actions which an agency has been required to take in an official U. S. Civil Service Commission personnel management evaluation report must be addressed in the agency's EEO plan.
8. It is very important that the assessment process be initiated early enough to allow ample time for solicitation and consideration of input from all sources, and to assure that the plan is ready by October 1.
9. For program assessment and planning purposes the EEO program is divided into eight major areas of concern:
 - a. Organization and Resources
 - b. Discrimination Complaints
 - c. Recruitment
 - d. Full Utilization of Skills
 - e. Upward Mobility
 - f. Supervisory and Management Commitment
 - g. Community Outreach
 - h. Program Evaluation

During the plan development process, agencies must evaluate the status of their EEO program in terms of these eight areas of concern. To assist agencies in this process, suggested criteria are presented in Appendix A for each of the eight areas.

CONTENT OF EEO PLANS

10. EEO plans will be comprised of a title page, four major parts, and one attachment.

a. Title Page (See Exhibit 1)

b. Part A - Introduction. This part must contain:

(1) one copy of the official internal Personnel Manual Chapter on Equal Employment Opportunity to include the official policy statement on equal employment opportunity.

(2) statement explaining the delegated authorities, roles, and interrelationships of the EEO Director, EEO Officer, Coordinators of Federal Women's, Spanish Speaking, and Upward Mobility programs, Counselors, Investigators, Personnel Officers, and EEO Committee members.

(3) a statement showing the extent of expected involvement in the EEO program of line and staff managers and supervisors, unions and other employee groups, and employees.

(Statements required by 1, 2, and 3, above, once submitted to the Civil Service Commission, may be referenced in subsequent plans. Any update or significant modifications should be submitted to the Commission.)

(4) a certification of qualifications of principal officials. (See Exhibit 2).

(5) a report of the personnel and resources which the agency plans to allocate to the program. (See Exhibit 3).

c. Part B - Accomplishment Report. This part must show:

(1) results achieved for each objective listed in the previous year's plan. (See Exhibit 4).

(2) a summary of discrimination complaint activity for the previous year. (See Exhibit 5).

(3) results of upward mobility program activities for the previous year. (See Exhibit 6).

NOTE: To avoid delays in the preparation and submission of EEO plans, accomplishments shown in Part B may be reported as of the end of the third quarter, provided that a supplemental report of Part B only, showing fourth quarter accomplishments, is submitted to the appropriate Civil Service Commission office not later than January 1.

d. Part C - Assessment Report. This part must contain:

(1) a summary of the assessment of each of the eight EEO areas of concern. Each summary will conclude with a brief statement of a specific problem or problems found as a result of the assessment. If no problem is identified within a particular area of concern, the words "no problems identified" should be stated.

(2) statistical data for each pay system used.
(See Exhibits 7 and 8).

e. Part D - Report of Objectives and Affirmative Actions must contain: (See Exhibit 4).

(1) clearly stated, specific, and measurable objectives and supporting action items which will solve problems identified in the assessment process.

(2) assignment of a responsible official for each objective and action item listed.

(3) a target date for reaching each objective and action item.

f. As an attachment to the EEO plan, agencies and installations will include their Worker-Trainee Opportunities Plan. Guidelines for participation in this program, eligibility criteria for ceiling exemption, and formats for plan submission are contained in FPM Letter 713-33 dated October 3, 1975.

U. S. CIVIL SERVICE COMMISSION REVIEW OF EEO PLANS

11. P.L. 92-261 requires an annual review of agency EEO plans by the U. S. Civil Service Commission. The Commission's review is designed to assure that agency EEO plans are submitted on time, are complete in coverage, and are adequate in response to the assessment of EEO problems. Each plan will be substantively reviewed to determine whether it represents adequate efforts to assess the current status of equal employment opportunity within the agency and to deal reasonably with known problems or to bring about necessary improvements.

12. As a result of this substantive review, modification of agency plans will be required by the Commission on a finding that:

a. Problems or improvements needed and identified by either the agency or the Commission have not been addressed adequately or in a meaningful or reasonable manner; or

b. Numerical goals and timetables are established in a manner not consistent with appropriate Commission regulations and guidance; or

- c. Goals and timetables are not included where circumstances clearly indicate that they would be appropriate and useful; or
 - d. Regional plans routinely follow national guidance and do not relate to local problems; or
 - e. Significant slippage has occurred in accomplishing objectives and/or action items and insufficient information is provided to demonstrate the nature and extent of efforts made.
13. When the Commission requires modifications of plans, agencies will be given a specified time period within which to respond.

SELF-ASSESSMENT GUIDANCE

The following pages contain criteria which each agency's EEO program should meet if it is to be viable and results-oriented. Where agency EEO programs fall short of these criteria appropriate problem statements, objectives, and action items should be listed. While these criteria form a basis for the assessment (Part C), such an assessment need not - and seldom should - be limited to this particular list. The criteria listed here are intended to serve as a starting point for the assessment process and may well suggest other factors to be considered in plan development.

1. Organization and Resources

- a. Criteria are established to measure the productivity and the cost-effectiveness of the EEO staff.
- b. EEO staff officer or director has direct access to top management and lines of communication to agency supervisors.
- c. EEO program officials have received sufficient training in EEO, personnel, administration, and management to deal knowledgeably with issues and problems within their areas of responsibility.
- d. Adequate management and fiscal controls are established to track all resources devoted to the EEO program.
- e. EEO officials have adequate delegations of authority to prepare dispositions and resolve complaints of discrimination, and alternative delegations of authority are established so that complaints filed alleging discrimination within the EEO staff may be expeditiously handled.
- f. The Federal Women's, Spanish Speaking, and Upward Mobility program coordinators devote sufficient time to accomplishing program objectives and EEO officials who have other principal assignments devote sufficient time to EEO program matters.
- g. The Federal Women's, Spanish Speaking, and Upward Mobility program coordinators have adequate delegations of authority to promote these programs and to accomplish program objectives.
- h. EEO officials serve as technical advisors to the personnel office.

2. Discrimination Complaints

- a. Counselors are accessible to all employees at all locations.
- b. All counselors have received training in personnel management and basic and advanced counseling.
- c. The performance of counselors is periodically evaluated.
- d. Complaints are processed within 180 days.
- e. The discrimination complaints process is periodically reviewed to eliminate barriers.
- f. All discrimination complaint investigators have received training in personnel management and EEO.
- g. Bases of complaints are analyzed and efforts made to prevent recurrence.
- h. Regulations and supplemental guidance regarding class complaints have been distributed and explained.

3. Recruitment

- a. Present recruitment sources yield qualified minority and female applicants who meet organizational needs.
- b. Qualification requirements and procedures for hiring have been examined to determine whether barriers to EEO exist.
- c. Recruitment literature reflects the agency's desire to reach all segments of the potential workforce.
- d. EEO officials participate in the development of new-hires estimate report data.
- e. Recruitment efforts are coordinated across organizational or, where appropriate, agency lines to obtain maximum effectiveness and efficiency.
- f. EEO officials provide technical assistance to the personnel office and monitor (or participate in) recruitment efforts.
- g. The interview and screening process is reviewed periodically to ensure equal treatment regardless of race, color, religion, sex, national origin or age.
- h. An analysis of relevant statistical data on the agency workforce is made periodically to show:
 - (1) composition of the agency's and subordinate organizations' workforce by racial, ethnic and sex groupings at the various grade levels.
 - (2) composition of each major occupation (job series) by racial, ethnic, and sex groupings at the various grade levels. As supervisory position data become available, supervisory positions should be identified in each major occupation by grade.
 - (3) the number and kinds of jobs expected to be filled in the coming year based on a review of past turnover rates in each of the major occupations and anticipated expansion or contraction of programs.
 - (4) comparison of agency or installation occupational data with appropriate Federal civilian workforce data.
- i. When paid advertising is used for recruitment or institutional purposes, coverage in minority media is included where appropriate.

4. Full Utilization of Skills and Training

- a. A survey of current skills and training of the agency's workforce has been conducted to determine the availability of employees, including minorities and women, having skills required to meet agency staffing needs.
- b. Information from the survey of skills is available for use in identifying underutilized employees so they may be considered for positions which will make full use of their skills.
- c. A system for updating a record of employee skills and training is in operation.
- d. Studies have been conducted on time-in-grade to determine the reasons for any differentials which exist by minority status and sex.
- e. Studies have been conducted to examine relative upward movement of employees to full performance, professional, supervisory and highest grade levels.
- f. Career counseling is available to all employees.
- g. Efforts are being made to ensure that appropriate training opportunities are available to employees at all grade levels and in all occupational areas, without regard to minority status and sex.
- h. Staffing plans take into account the need to assure meaningful career opportunities at all grade and pay levels for the on-board workforce.
- i. Internal selection or promotion qualification requirements and procedures are valid and job-related, and include no unnecessary barriers to full utilization of skills and training.

5. Upward Mobility for Lower Level Employees

- a. Upward mobility target jobs are systematically identified to meet appropriate current and projected staffing needs.
- b. Procedures are established to identify and advance under-utilized employees.
- c. Career counseling services are provided for all employees, including participants in UM programs.
- d. Individual development plans are used in the design of training which will help employees to qualify for higher level jobs.
- e. The Upward Mobility program is systematically monitored and evaluated.
- f. EEO and Personnel officials, supervisors, and managers seek to improve and expand advancement opportunities for lower level employees.
- g. The Upward Mobility program complies fully with program requirements published by U. S. Civil Service Commission on Upward Mobility.

6. Supervisory and Management Commitment

- a. All supervisory and management personnel have attended formal training which included coverage of their equal employment opportunity responsibilities.
- b. The incentive awards system has been utilized to recognize supervisory and managerial personnel for their understanding and support of, and accomplishment in, equal employment opportunity.
- c. Performance evaluations of supervisory and managerial personnel include a specific item or items evaluating understanding, support, and achievement of equal employment opportunity.

7. Community Outreach

- a. Management makes itself available to community, civic, and other groups interested in enhancing equal employment opportunities.
- b. The agency participates in cooperative efforts with Federal and other organizations to deal with employment related problems in the community, including needs for improved public transportation, education, and community services.
- c. The agency provides opportunities and services to the community such as cooperative education programs and shared use of training facilities.
- d. The agency participates in community career information programs, conferences, and occupational study projects.
- e. The agency has examined means for expanding worker-trainee placements. Current plans call for maximum participation in the Worker-Trainee Opportunities program with particular emphasis on the identification of developmental positions.

8. Program Evaluation

- a. Findings from EEO program evaluations are incorporated into the required annual EEO plan development process.
- b. EEO program evaluation is conducted by the EEO office, personnel office, internal management audit office, joint effort of above offices or by some other organization. Lead and support responsibilities have been specified.
- c. EEO Committees, where established, consult with the EEO officer, personnel office, and internal management office to ensure that each makes its contribution to EEO program evaluation.
- d. Statistical data necessary for EEO program evaluation are accurate, timely, and readily obtainable.
- e. The staff responsible for conducting the EEO program evaluation is fully trained in EEO and merit system requirements as set forth in CSC regulations and instructions.
- f. EEO program evaluations include specific inputs from Federal Women's and Spanish Speaking Program coordinators.
- g. Consultations with special emphasis program coordinators point up issues worthy of follow-up.
- h. Evaluations are scheduled so that their results are useful in EEO plan development.

(Title Page)

Equal Employment Opportunity Plan

Fiscal Year _____

Name of Organization

Address of Organization

Number of Employees Covered by this Plan

Name and Title of Head of Organization

Signature

Date

Name and Title of Principal EEO Official

Signature

Date

1046-CSC-SA

Certification of Qualifications of Principal EEO Officials

I certify that the qualifications of all staff officials, full-time or part-time, concerned with administration of the EEO Program, including the Director of Equal Employment Opportunity; EEO Officer(s); Federal Women's Program Coordinator(s); and Spanish Speaking Program Coordinator(s) have been reviewed by competent authority and the incumbents of these positions meet the standards outlined in Qualifications Standards Handbook X-118 under "Equal Opportunity Specialist GS-160" or "Qualifications Guide for Collateral Assignments Involving Equal Employment Opportunity Duties." Evidence that the review has been made and its findings are on file and available for review by Civil Service Commission officials.

I further certify that the provisions of FPM Letter 713-37, Documenting EEO Collateral Duties in Official Position Descriptions, have been, or are in the process of being, met.

Director of EEO

Signature

Date

Allocation of Personnel and Resources for EEO

Program Areas	FT	PT	(a)%	Costs (b)
EEO Program Admin. and Mgmt.				
a. EEO Director				
b. EEO Officer(s)				
c. Federal Women's Coordinator(s)				
d. Spanish Speaking Coordinator(s)				
e. Upward Mobility Coordinator(s)				
f. EEO Specialist(s)				
g. EEO Counselor(s)				
h. EEO Investigator(s)				
i. Other Personnel				
j. Other Administrative Expenses				(c)
TOTAL				

- a. When more than one employee has the same responsibility in the program, i.e, counseling, do not show the percent of time spent.
- b. For lines a through i enter base salary plus 8 1/2%.
- c. Include all non-salary administrative expenses for EEO program such as travel, transcripts, reimbursement fees for EEO Investigators and EEO Complaints Examiners, and costs of training the above EEO officials.

2	Area of Concern: Discrimination Complaints S A M P L E		
2.1	Problem Statement: Discrimination complaints are processed on an average of 210 days.		
2.1.1	Objective: To process all discrimination complaints in less than 180 days.		
	Responsible Official: Director of EEO Target Date: September 30, 19__		
2.1.1.1	Affirmative Actions: Hire 3 new investigators	Responsible Official: Director of EEO	Target Date 11-15-__
2.1.1.2	Issue revised discrimination complaint processing section of personnel manual	Director of Personnel	12-1-__
2.1.1.3	Delegate authority to issue proposed dispositions to regional directors	Director of EEO	12-15-__
2.1.1.4	Provide new investigators with appropriate training	Director of EEO	12-30-__
2.1.1.5	Provide current investigators with refresher training	Director of EEO	1-15-__
Report of Accomplishment of Objective: Objective accomplished-discrimination complaints were being processed in an average of 125 days by September 30, 19__. New investigators not actually hired since decision to delegate authority to make proposed dispositions to the regional directors was found to be key to faster processing.			

Part B Accomplishment Report

(Part B may show accomplishments through the third quarter of the fiscal year, in which case a supplemental report of Part B only, showing fourth quarter accomplishments will be submitted to the appropriate Civil Service Commission office not later than January 1.)

I. Show the extent of accomplishment of each objective listed in the previous year's plan. (See Exhibit 4 for format).

II. EEO Complaint Processing Summary

Number of Complaints:	Type of Complaint	
	Individual	Class
On hand at beginning of the year		
Received during the year		
Closed during the year		
On hand at end of the year		

Upward Mobility Program Achievement

A. Number of employees at and below GS-9 or equivalent who participated in at least three planned upward mobility program activities^{1/} and who were competitively promoted or reassigned into target positions.^{2/}

1. within the same occupational series _____

2. Into a different occupational series _____

B. Number of employees at and below GS-9 and equivalent who participated in one or more upward mobility program activities but who were neither promoted nor reassigned. _____

C. Universe of potential Upward Mobility Opportunities: Total number of position vacancies filled competitively through merit principles below GS-10 and equivalent in all series and from all sources. _____

1/ Upward Mobility Program Activities include:

- (1) assessment of an employee's knowledge, skills, abilities, and potential in relationship to the agency's staffing needs;
- (2) counseling to assist employees in the identification and achievement of career goals; (3) formulation of an individual training plan for an employee which contains the sequence, types, sources, dates, and cost of the training and experience required for that employee to qualify for an identified target position or for a longer-range occupational goal; and (4) on-the-job and/or formal classroom training as prescribed by the training plan.

2/ Target positions are specifically identified positions having known advancement potential.

PERCENTAGE DISTRIBUTION OF MINORITY/SEX GROUPS
FULL-TIME GENERAL SCHEDULE EMPLOYMENT
AS OF (DATE)

GENERAL SCHEDULE GRADE	NUMBER EMPLOYEES	% TOTAL		% BLACKS		% HISPANICS		% AMERICAN INDIANS		% ORIENTALS		% OTHER	
		TOTAL	WOMEN	TOTAL	WOMEN	TOTAL	WOMEN	TOTAL	WOMEN	TOTAL	WOMEN	TOTAL	WOMEN
GS-1		100											
GS-2		100											
GS-3		100											
GS-4		100											
GS-5		100											
GS-6		100											
GS-7		100											
GS-8		100											
GS-9		100											
GS-10		100											
GS-11		100											
GS-12		100											
GS-13		100											
GS-14		100											
GS-15		100											
GS-16		100											
GS-17		100											
GS-18		100											

PERCENTAGE DISTRIBUTION OF MINORITY/SEX GROUPS
 TWENTY MOST POPULOUS OCCUPATIONAL SERIES
 AS OF (DATE)

SERIES AND JOB TITLE	NUMBER EMPLOYEES	<u>% TOTAL</u>		<u>% BLACKS</u>		<u>% HISPANICS</u>		<u>% AMER. IND.</u>		<u>% ORIENTALS</u>		<u>% OTHER</u>	
		<u>TOTAL</u>	<u>WOMEN</u>	<u>TOTAL</u>	<u>WOMEN</u>	<u>TOTAL</u>	<u>WOMEN</u>	<u>TOTAL</u>	<u>WOMEN</u>	<u>TOTAL</u>	<u>WOMEN</u>	<u>TOTAL</u>	<u>WOMEN</u>

United States
Department of Energy
Washington, DC 20545

Postage and Fees Paid
U.S. Department of Energy
DOE-350

Official Business
Penalty for Private Use, \$300