

COMMODITY FUTURES TRADING COMMISSION

ANNUAL EQUAL EMPLOYMENT OPPORTUNITY PROGRAM STATUS REPORT

FISCAL YEAR 2021



Data Privacy Notice

In an effort to balance transparency with privacy, the Office of Minority and Women Inclusion (OMWI) has masked the counts in certain data fields in an effort to reduce the risk of reidentification of individuals and prevent the disclosure of sensitive personally identifiable information about the CFTC workforce.

To that end, any value of less than 10, or from which a value of less than 10 can be derived, has been redacted. We have determined that masking data where the value is less than 10 is a relatively well-recognized practice; however, we are continuing to evaluate the most effective methodology to provide maximum transparency in future MD-715 reports while also preserving individual privacy.

EEOC FORM 715-02 PART A - D				FEDERAL	eent Opportunity Comn AGENCY ANNUAL AM STATUS REPOR						
Co	Commodity Futures Trading Commission For period co						vering October 1, 2020 to September 30, 2021				
PART A Department or Agency	1. Agency			1. Commodity Futures Trading Commission							
Identifying Information	1.a 2nd lev	vel reportin	g component								
	2. Address			2. 1155 21	st Street, NW						
	3. City, S	State, Zip Co	ode	3. Washin	gton, DC 20581	1					
	4. Agency	y Code	5. FIPS code(s)	4. CT00		5. 1	11001				
PART B Total Employment	1. Enter to	otal number	of permanent full-time and	part-time emplo	yees		1. 67	79			
	2. Enter to	otal number	of temporary employees			:	2 . 11	l			
	3. TOTA	L EMPLO	YMENT [add lines B 1 thr	rough 2]			4. 69	20			
PART	C		Title Type		Name			Title			
Agency Official(s)) Responsible	Head of Agency		Rostin Behnam			Chairman, Commodity Futures Trading Commission				
For Oversight Program		Principal EEO Director/Official		Tanisha Cole Edmonds			Chief Diversity, Equity, Inclusion and EEO Officer, Office of Minorit and Women Inclusion				
		Diversity	& Inclusion Officer	Tanisha Cole Edmonds				Chief Diversity, Equity, Inclusion and EEO Officer, Office of Minorit and Women Inclusion			
		Principal I	MD-715 Preparer		Sarah Pauly			EEO Specialist			
		Other EEC						EEO Complaints Manager (Detaile			
		Other EEC	O Staff		Derrick Wilson	Diversity Specialist					
								Page 1			

EEOC FORM 715-02 PART A - D		FI	el Employment Opportunity Commiss EDERAL AGENCY ANNUAL PROGRAM STATUS REPORT	ion	
			For period covering	October 1, 2020 to Sept	ember 30, 2021
PART D List of Subordinate Components Covered in This Report	260		Component and Location (City/State)	Country	Agency Code
EEOC FORMS and Documents	Required	Uploaded			
Personal Assistance Services Procedures	Y	Y			
Organization Chart	Y	Y			
Anti-Harassment Policy and Procedures	Y	Y			
Alternative Dispute Resolution Procedures	Y	Y			
Agency Strategic Plan	Y	Y			
EEO Policy Statement	Y	Y			
Reasonable Accommodation Procedure	Y	Y			
Human Capital Strategic Plan	N	N			
Results from most recent Federal Employee Viewpoint Survey or Annual Employee Survey	N	Ν			
Disabled Veterans Affirmative Action Program (DVAAP) Report	N	N			
Federal Equal Opportunity Recruitment Program (FEORP) Report	N	N			
Diversity Policy Statement	N	Ν			
EEO Strategic Plan	N	N			

EEOC FORM	U.S. Equal	Employment Opportunity Commission			
715-02	FE	FEDERAL AGENCY ANNUAL			
PART E.1	EEO	EEO PROGRAM STATUS REPORT			
(Commodity Futures Trading Commission	For period covering October 1, 2020 to September 30, 2021			

EXECUTIVE SUMMARY: MISSION

Congress created the Commodity Futures Trading Commission (CFTC) in 1974 as an independent agency with the mandate to regulate commodity futures and option markets in the United States. The agency's mandate has been renewed and expanded several times since then, most recently by the Dodd-Frank Wall Street Reform and Consumer Protection Act, which includes regulating swaps and educating consumers about commodities fraud.

The CFTC's mission is to promote the integrity, resilience, and vibrancy of the U.S. derivatives markets through sound regulation. It envisions the agency to be the global standard for sound derivatives regulation. The agency's core values are:

- 1. Commitment: Bringing our best to work every day and holding ourselves to the highest professional standards.
- 2. Forward-thinking: Challenging ourselves to stay ahead of the curve.
- 3. Teamwork: Valuing diverse skill sets and backgrounds to achieve our mission.
- 4. Clarity: Providing transparency to market participants about our rules and processes.

EEOC FORM U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL 715-02 PART E.2 EEO PROGRAM STATUS REPORT **Commodity Futures Trading Commission** For period covering October 1, 2020 to September 30, 2021 EXECUTIVE SUMMARY: ESSENTIAL ELEMENT A-F EEOC Management Directive 715 (MD-715) defines the essential elements of a model equal employment opportunity (EEO) program as: (1) demonstrated commitment from agency leadership; (2) integration of EEO into the agency's strategic mission; (3) management and program accountability; (4) proactive prevention of unlawful discrimination; (5) efficiency; and (6) responsiveness and legal compliance. A succinct narrative of key activities under the Commission's EEO program by essential element follows. Essential Element A – Demonstrated Commitment from Agency Leadership. CFTC leadership took concrete actions in FY21 to promote an environment that supports diversity, equity, inclusion, and accessibility (DEIA). During FY21, the CFTC's new agency head Chairman Rostin Behnam (formerly titled "Acting Chairman") took several significant steps that demonstrate his ongoing commitment to DEIA. For example, Chairman Behnam: Released the results of the CFTC's DEIA study to the agency's workforce (Former CFTC Chairman Tarbert announced the commencement of the study on September 1, 2020; the report was completed February 1, 2021); Hosted an agency-wide townhall focused on DEIA; Announced plans to hire a new Chief Diversity, Equity, Inclusion and Equal Employment Opportunity Officer to lead the CFTC's Office of Minority and Women Inclusion (OMWI) and started the hiring process for that position; Announced plans to establish an agency-wide DEIA strategic plan; Announced the expansion of the scope of the OMWI office to include not just workforce DEIA, but also advancing equity within the agency's business (procurement and contracting) operations; Sponsored a panel session of the CFTC's Market Risk Advisory Committee Meeting titled "Can We Talk: Diversity, Equity and Inclusion in the Derivatives Industry:" Attended and provided introductory remarks for special emphasis program events; Sent emails to the workforce highlighting the importance of DEIA, including emails announcing the launch of the agency's new mandatory DEIA training sessions for all employees; ("Understanding and Addressing: Unconcious Bias") and additional mandatory DEIA training for supervisors ("Building Inclusive Teams;") Continued to support the planned formalization of the CFTC's diversity working group. Additionally, other CFTC leaders demonstrated their committment to advancing DEIA. For example, former CFTC Chairman Berkovitz hosted listening sessions for agency affinity group members and sponsored a panel discussion under the Energy and Environmental Markets Advisory Committee on "Environmental, Social, and Governance Initiatives in the Energy and Environmental Markets" in which experts spoke on efforts to advance workforce EEO and DEIA throughout their industry. Furthermore, the agency unanimously approved technical amendments to rules governing its reparations proceedings to ensure that the rules incorporated gender neutral language. Essential Element B – Integration of EEO into Agency Mission. EEO is integrated into the agency's mission and is included in the agency's current 2020 - 2024 Strategic Plan. Strategic Goal 5.4 commits the organization to "attract, retain, and promote a diverse workforce of the best and the brightest." The plan lists one of the agency's core values as teamwork, which is defined as "valuing diverse skill sets and backgrounds to achieve our mission." Furthermore, as described above, Chairman Behnam announced plans in FY21 to create a Commission-wide DEIA strategic plan. The CFTC's EEO program is structured to maintain a workplace that is free from discrimination. The principal EEO official has appropriate

The CFTC's EEO program is structured to maintain a workplace that is free from discrimination. The principal EEO official has appropriate authority to effectively carry out a successful EEO program. The principal EEO official controls all aspects of the EEO program and involves managers in the implementation of its EEO program.

Essential Element C - Management and Program Accountability.

The CFTC's Office of Minority and Women Inclusion (OMWI) advises managers/supervisors on EEO matters. The agency provides the opportunity for employees committed to diversity to be recognized with two awards: 1) the *Excellence in Management Award* for managers and supervisors who recruit, hire and promote a diverse workforce, including within the summer internship program; and 2) the *Staff Excellence Award* for non-supervisory employees who support diversity. In FY21, twenty employees were honored with an 8-hour time off awards for their work to further diversity at the agency.

All employees, even non-supervisors, are rated on whether or not they demonstrate adherence to EEO and diversity principles. The CFTC Performance Assessment (Form 442) used for all employees, includes elements that assess whether the manager and supervisors: 1) encourage and recognize others in the areas of diversity and equal opportunity; 2) demonstrate adherence to EEO and diversity principles within the agency and when representing the agency outside the CFTC; 3) respond constructively and proactively when employees make protected disclosures; and 4) take responsible actions to resolve such disclosures and foster a comfortable work environment for making such disclosures.

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EXECUTIVE SUMMARY: ESSENTIAL ELEMENT A-F

Essential Element D – Proactive Prevention.

The CFTC makes early efforts to prevent discrimination and to identify and eliminate barriers to equal employment opportunity. In FY21, after announcing its launch in September of 2020, the agency completed a DEIA study; agency leadership then shared the results of the study with the CFTC workforce and hosted a townhall to discuss it and hear employee responses.

Furthermore, the CFTC works to foster a culture of inclusion that values diversity. The CFTC has seven active internal employee affinity groups: the Association of African Americans, the Association of Asian Americans & Pacific Islanders, CFTC Pride: Gay, Lesbian, Bisexual, Transgender & Allied Employees, the Latino-Hispanic Employee Association, People with Disabilities Affinity Group, Women @ Work, and the Veterans' Affinity Group. Affinity groups play an important role in promoting a sense of belonging and providing networking and leadership development opportunities. With supervisor approval, affinity group leaders and employee members may use up to six pre-approved hours per month of official time to fulfill their duties and obligations; interns may devote up to two hours of official time per month.

During FY21, the agency conducted a variety of educational events, such as observance events and trainings, to advance inclusive workplace practices. OMWI hosts agency-wide observance events each year that provide consciousness-raising and educational opportunities on DEIA subjects. During FY21, the agency also held its first mandatory DEIA training for all agency employees titled "Understanding and Addressing Unconscious Bias" and additionally conducted a separate mandatory DEIA training for all agency supervisors titled "Building Inclusive Teams." The agency's learning and development team provided a variety of further opportunities for supervisors to ensure that they have the skills they need to effectively and inclusively manage and support the agency's workforce. For example:

- Developmental training sessions were made available for all employees designated as a supervisor or manager; approximately 95 supervisors/managers attended the sessions;
- The CFTC's Learning and Development team offered a CFTC "Leaders' Learning Series" which included sessions on a variety of subjects such as "Ethical Decision Making" and "Our Thinking Capacity;"
- Executive Coaching opportunities were provided to supervisory staff.

Essential Element E – Efficiency.

The CFTC continues to maintain an efficient, fair, and impartial complaint resolution process and in FY21 processed 100% of complaint actions within the timeframes defined in EEOC regulations for processing EEO complaints.

The CFTC's OMWI has an effective and accurate data collection process in place to evaluate its EEO program and to identify significant trends and best practices. One of these best practices is the use of high-quality contractor support for EEO counseling and investigations. The use of quality contractor support with extensive experience in EEO complaint processing is cost-beneficial and ensures that quality work product is consistently delivered. Using internal due dates more aggressive than MD-110 requirements ensures all case actions are processed timely.

Essential Element F – Responsiveness and Legal Compliance.

The CFTC continues to work to comply with EEO statutes, regulations, policy, guidance, and other written instructions. Processes are in place to ensure timely, accurate, and complete compliance with resolutions/settlement agreements as well as predictable processing of ordered monetary relief.

Measures Requiring Agency Action to Achieve Full Compliance.

Nevertheless, the agency has a number of deficiencies under these elements that it is working to address. The FY21 self-assessment revealed the CFTC met 47 of the 100 performance measures. The 53 performance measures that require action are listed throughout Part G. A description of the actions the CFTC plans to take to address the 53 deficiencies and the agency officials responsible for addressing the deficiencies are listed in Parts G and H of this report as required.

EEOC FORM 715-02 PART E.3

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

Commodity Futures Trading Commission

For period covering October 1, 2020 to September 30, 2021

EXECUTIVE SUMMARY: WORKFORCE ANALYSES

Workforce Profile- Introduction.[1] The Workforce Profile section provides an overview of the CFTC's demographics in respect to sex, race, ethnicity, and disability status during FY21. It also describes "triggers" and potential "barriers" that the CFTC has identified by analyzing its workforce profile and workplace. A "trigger" is a trend, difference, variance, outlier, or anomaly that suggests the need for further inquiry into a particular policy, practice, procedure, or condition; a "barrier" is an agency policy, principle, or practice that limits or tends to limit employment opportunities for members of a particular EEO group based on their sex, race, ethnic background, or disability status. After identifying triggers and potential barriers, federal agencies must develop and implement action plans to address the barriers. Only once the agency implements the action plan that eliminates the triggers first observed, can it then be safe to assume that the employment policy, practice, procedure, or condition in question was a barrier.

<u>Workforce Profile- Overview.</u> The CFTC consists of the offices of the Chairman and Commissioners as well as the agency's 13 operating divisions and offices. The CFTC organization is led by the Chairman in the Chairman's capacity as the agency's Chief Executive. The Commission is headquartered in Washington, DC, and has three regional offices located in Chicago, New York, and Kansas City.

At the end of FY21, the Commission employed 690 employees total: 679 in the permanent workforce and 11 in the temporary workforce. Within the permanent workforce, 39% (265 employees) were Attorneys (General Attorney Series 0905); 21% (144 employees) were Economists and Data Analysts (Economist 0110 Series and General Business and Industry 1101 Series); 12% (79 employees) were Auditors, Investigators, Risk Analysts, and Trade Practice Analysts (Auditing 0511 and General Inspection, Investigation and Compliance 1801 Series); and 16% (103 employees) were Management Professionals (Miscellaneous Administration and Program 0301 and Information Technology Management 2210 Series).

During FY21, the CFTC hired 44 total new employees: in the permanent workforce and in the temporary workforce. There were 49 separations total: 32 in the permanent workforce and 17 in the temporary workforce.

Within the overall total CFTC FY21 workforce:

- 58.26% were Male; 41.74% were Female;
- 5.36% were Asian Male; 5.20% were Asian Female;
- 6.09% were Black or African American Male; 11.01% were Black or African American Female;
- 2.17% were Hispanic or Latino Male; 1.45% were Hispanic or Latina Female;
- 44.49% were White Male; 23.77% were White Female;
- Less than % were Native Hawaiian or Other Pacific Islander, American Indian or Alaska Native, or Two or more races;
- 5.8% were people with disabilities; and % were people with targeted disabilities (targeted disabilities are defined as disabilities that the government has, for several decades, emphasized in hiring because they face the greatest barriers to employment, such as blindness, deafness, paralysis, and mental illnesses.)

See Workforce Data Tables "Table A1" and "Table B1" for further details.

<u>Workforce Profile- Potential Barriers.</u> During FY20, the CFTC conducted a study that included a 360-degree DEI review and an agency-wide barrier analysis. The FY20 study identified the below potential barriers and the CFTC has found that those potential barriers continue to persist in FY21. The EEOC advised that the CFTC should resolve the previously identified barriers from FY20 before conducting a new barrier analysis in FY21 and the CFTC has been working diligently to resolve them throughout FY21. The barriers identified were:

- "No Commission wide D&I strategy; No specific D&I strategy exists to guide initiatives and programming;"
- "Talent Processes do not Effectively Mitigate Bias: Standard Operating Procedures for talent processes do not actively
 remove barriers" and "Hiring, performance management, and promotions are highly subjective with no measures to
 combat biases. This reduces the ability of the CFTC to actively promote DEI through talent processes;"
- "No development programs for underrepresented groups: no programs exist to actively support the development of employees from underrepresented backgrounds;"
- "Approach to hiring and recruitment is rudimentary: there are no explicit D&I focused hiring and recruiting programs" and "Hiring is limited to a few positions, mainly high grade, and is done by individual hiring managers who own the roles. This leaves the hiring process open to bias. Additionally, the recruitment processes at the Commission do not proactively source a diverse pool of candidates;"
- "Data only used to meet federal reporting requirements: workforce data is not strategically collected or leveraged to drive decisionmaking."

Commodity Futures Trading Commission

EEOC FORM

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PART E.3

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EXECUTIVE SUMMARY: WORKFORCE ANALYSES

<u>Workforce Profile- Trigger Identification Process.</u> During FY20, as described above, the CFTC conducted a study that included a 360-degree DEI review and an agency-wide barrier analysis. The study identified "triggers" that the CFTC listed in the FY20 MD-715 report. A "trigger" is a trend, difference, variance, outlier, or anomaly that suggests the need for further inquiry into a particular policy, practice, procedure, or condition; statistics are only a starting point for analysis that must consider the totality of the circumstances. To identify triggers from demographic quantitative data, the EEOC asks agencies to compare specific data points within the agency's workforce profile against a variety of specified benchmarks, such as the nation's overall Civilian Labor Force data (CLF), occupational labor force data, and the agency's own permanent workforce. Though in past years the CFTC's MD-715 report has utilized an alternative benchmark (the relevant civilian labor force or "RCLF"), for this year's report, the CFTC is reverting to using the standard CLF benchmark to best ensure that the agency's workforce represents the American public that we serve. In accordance with the FY20 study, the CFTC determined that a trigger existed when there was any difference of 1% or greater between the CFTC's workforce participation and the applicable benchmark.

<u>Workforce Profile- Triggers Persisting between FY20 and FY21.</u> The CFTC has examined the agency's FY21 employment data to see if the triggers identified by the study during FY20 continued to exist in FY21, and has found that they do. Triggers identified by the study in FY20 that persisted during FY21 were:

FY20 and FY21 Trigger 1. Participation of Hispanic employees is below benchmarks. Hispanic or Latino employees were only 3.62% of the total FY21 workforce, well below the benchmark of 12.98% of the CLF. Nevertheless, despite lower than expected representation, the numbers are trending upwards with an increase in Hispanic or Latino employment in the total workforce from 6% of the total workforce in FY20 to 3.62% of the total workforce in FY21, an increase of 6% Hispanic or Latino employees overall.

See Workforce Data Tables "Table A1" for further details.

FY20 and FY21 Trigger 2. Lower than expected representation of racial and ethnic minorities in senior-level (CT16 and above) permanent positions. In FY20, 22% of individuals in CT16+ permanent positions were found to be racial and ethnic minorities, and this rate remained the same in FY21. This rate is less than would be expected because 32% of the CFTC's permanent workforce were racial and ethnic minorities. Further, during FY21:

- % of senior-level permanent positions were Hispanic or Latino Males, though Hispanic Males were 2.21% of the
 permanent workforce;
- 6.19% of senior-level permanent positions were Black Males though Black Males were 6.19% of the permanent workforce;
- % of senior-level permanent positions were Black Females though Black Females were 11.19% of the permanent workforce;
- workforce.

See Workforce Data Table "AltPay CFTC" for further details.

FY20 and FY21 Trigger 3. Participation Below Goals for People with Disabilities (PWD) and People with Targeted Disabilities (PWTD) in permanent positions. The CFTC did not meet its 12% goal for PWD or the 2% goal for PWTD. % of permanent employees in grades CT-1 to CT-10, were PWD or PWTD in FY21, holding constant compared to FY20. Only 6.02% of employees in grades CT 11 and higher in the permanent workforce were PWD in FY21, an increase from 5.47% (37 employees) in FY20 and from 4.76% (31 employees) in FY19; % (employees) were PWTD, a decrease from % (employees) in FY20. Further triggers regarding PWD and PWTD are noted in Part J of the report.

See Workforce Data Tables "Table A1: Total Workforce" and "Table B1: Total Workforce" for further details.

Workforce Profile- New FY21 Triggers. Additionally, new triggers noted by the analysis of the CFTC's demographic data are listed below.

FY21 Trigger 1. Lower than expected representation of Black or African Americans, Hispanic or Latinos Males, and Asian Females at the Executive Level (defined as CT 16 and above and supervisory) in the permanent workforce. Some people of color tend to have lower than expected representation in Executive positions, while White employees tend to have higher than expected representation. Of 41 Executives in the permanent workforce only:

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• % are % we	 % are Hispanic or Latino Male compared to 2.17% of the permanent workforce; % are Black or African American Male compared to 6.09% of the permanent workforce; % were Black or African American Female compared to 11.01% of the permanent workforce; % are Asian Female compared to 5.07% of the permanent workforce. 							
	.05% of the Executives in the permanent workforce workforce. There were no triggers for Asian Males	were White, though White employees were only 68.26% of s or Hispanic Females amongst Executives.						
See Workforce	Data Tables "Table A3: Occupational Categories"	[Permanent] for further details.						
American Fen and people of higher than ex 28.89% w % were h 21.11% w % we % we % we	nales, White Females, and Asians in manageme	workforce; e permanent workforce; nanent workforce; 11.19% of the permanent workforce; workforce;						
In contrast, 57	78% of managers were White Males, though White	e Males were only 44.33% of the permanent workforce.						
See Workforce	Data Tables "Table A3: Occupational Categories"	[Permanent] for further details.						
critical occup represented be than expected the 1101 (Data • 24.11% w • 15.18% w • 15.18% w	ations. Analysis of FY21 data found that females a low benchmarks in non-administrative, mission crit	of the occupational CLF; pational CLF; 7.3% of the occupational CLF;						
		tional CLF, and 58.04% were White Males compared to s series for Hispanic or Latino Males, Black Males, or Asian						
See Workforce	Data Tables "Table A6P: Mission-Critical Occupat	tions" [Permanent] for further details.						
The CFTC's la Oversight, and and less than	rgest, non-administrative Divisions (Division of Enfo Market Participants Division) tend to have higher t	rce in the CFTC's largest, non-administrative divisions. brocement, Division of Clearing and Risk, Division of Market han expected representation of White and Male employees, ble of color in their permanent workforce. For example, of the						
 % are His % are His % are BI % are BI % are Two 	nale, compared to 48.21% of the CLF; spanic or Latino Male compared to 6.82% of the Cl panic or Latina Female, compared to 6.16% of the ack or African American Male compared to 5.7% of ack or African American Female compared to 6.61° or More Races Male compared to 1.05% of the CLF or More Races Female compared to 1.05% of the CLF	CLF; f the CLF; % of the CLF; =;						

EEOC FORM 715-02 PART E.3	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT					
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In contrast:						
	nployees were Male, though Males are only 51.79% of the CLF; oyees were White, though Whites are only 67.47% of the CLF.					
See Workforce	e Data Tables "Table A2 Permanent Workforce by Component" for further details.					
 FY21 Trigger 5. Applicant Flow Data. Lower than expected representation for Females and some categories of people of color in the application processes for the CFTC's mission critical occupations, overall new hires, and internal competitive promotions for mission critical occupations in the CFTC's permanent workforce. For example: Amongst new hires for mission critical occupations in the permanent workforce, out of 24 selections % were Black or African American Male, though Black or African American Males were 12.42% of the total qualified external applicants; (Positively, 60 % of the selections were Black or African American Female, compared to 9.18% of the qualified external appliants and compared to % of the selections for FY20 and FY19, reversing past trends); Amongst internal competitive promotions for mission critical occupations in the permanent workforce, of the 18 selections, 60 % were Female, though females were 38.86% of the qualified internal applicants; 60 % were Black or African American Males were 18.96% of the qualified applicants; Amongst the total new hires in the permanent and temporary workforce, out of the 44 new hires, 60 % were Hispanic or Latina Female compared to 6.16% of the CLF. 						
See Workforce	e Data Tables "Table A6P: Mission Critical Occupations " for further details.					
 \$180,001 or g representation expected representation Though 1 or greater In contras 	 FY21 Trigger 6. Lower than expected representation of Black or African American employees overall in pay of \$180,001 or greater in the Permanent Workforce. Black or African American employees have lower than expected representation amongst the permanent workforce earning \$180,001 or greater, while White employees have higher than expected representation at that pay level. Though 17. 1% of the permanent workforce was Black or African American, only 12.26% of individuals earning \$180,001 or greater were Black or African American; In contrast, though White employees were only 68.26% of the permanent workforce, they were 73.15% of the permanent employees earning \$180,001 or greater. 					
See Workforce	e Data Tables "Table A5P- Salary " for further details.					
less have been the longterm. The including sepa Data issues the the quantitative G of this report category. The including increal allow employe systematically flow data, Mont tracking hires the recollect any high functioning for therefore, there	tative data throughout this report is the best available data. For privacy purposes, derived values of nine or en redacted from the report. The agency is working to continue to improve its data collection and analysis in The agency has made progress and has resolved a number of data issues that were present last year such as ration data, data on Executives, Managers, and Supervisors for the agency, and increased applicant flow data. at remain include, for example: a) it was reported to the EEO office during the FY20 reporting cycle that some of e demographic data reported to it for this and previous MD-715 reports is likely inaccurate, as mentioned in Part t, due a portion of the workforce that has not self-identified having been assigned a default demographic Human Resources Branch is working to update their processes in regards to demographic data collection, asingly emphasizing self-identification of staff. Note this problem likely does not apply to the data points that es to not self-identify, such as the disability data and some applicant flow data. b) Interview data is not collected yet for hires or promotions, but the agency is working to implement systems to do so. c) For applicant ister reported there is no way to distinguish internal from external applicants; d) the agency is currently not through the Schedule A subpart u; e) due to problems with NFC's MD-715 reporting system not alternate pay scale agencies, some of the data was pulled from NFC reports and some was manually tallied; e may be minor inconsistencies in the data; f) breakdowns of occupational categories (professional, etc.) will need to be re-assessed, as the codes do not seem to align with EEOC definitions.					

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EXECUTIVE SUMMARY: ACCOMPLISHMENTS

The CFTC remains committed to preventing and addressing barriers to equal opportunity in the workplace and made positive progress in advancing EEO and DEIA in FY21. The following provides an update and overview of activity completed by the CFTC to correct previously-identified program deficiencies and barriers. Please note that in FY21 the Office of Minority and Women Inclusion was under previous leadership, but the agency will work to continue to address previous as well as newly-identified deficiencies and barriers under the leadership of the agency's new Chief Diversity and EEO Officer in future years. Accomplishments Under Element A- Demonstrated Commitment from Agency Leadership. During FY21, the agency continued to work on its pay and performance reform efforts in order to ensure that the agency informs its employees of behaviors that are inappropriate in the workplace and that could result in disciplinary action, as required by A.2.c.5. Accomplishments Under Element B- Integration of EEO into Agency Mission. During FY21, the agency worked to resolve compliance deficiency B.4.a.3, which requires the EEO Office to have sufficient resources to timely, thoroughly, and fairly process EEO complaints. The agency's new Chief Diversity and EEO Officer found in FY22 that this deficiency had been resolved. Accomplishments Under Element C- Management and Program Accountability. In FY21, the CFTC worked to ensure that all of its policies and procedures comply with EEOC mandates. The CFTC addressed the EEOC's feedback on its draft reasonable accommodation and personal assistance services procedures and the EEOC approved the CFTC's updated draft procedures on 8/11/2021. The CFTC routing the procedures internally for final approval and will then post the procedures on the CFTC's public-facing website to comply with C.2.b, C2.c.1, and C.2.c. 2, which require the CFTC to have compliant reasonable accommodation and personal assistance services procedures and to post them on the agency's public facing website. Additionally, the CFTC's Human Resources Branch has been working on an update to the CFTC's anti-harassment policy and procedures to incorporate feedback provided by the EEOC and to ensure the policy and procedures meet EEOC mandates, in compliance with C.2.a and C.2.a.1. The CFTC made progress to better comply with indicator C.4.c. which requires that the EEO office has timely access to accurate and complete data required to prepare the MD-715 workforce data tables. For example, the agency now has separation data that was not previously provided in FY19. Finally, the agency has continued to work on its performance management reform initiative to fully comply with the criteria in Part G C.3.b.1 through C.3.b.9, which require all supervisors to be rated on specific EEO criteria. Accomplishments to Address Barriers. To address barriers listed in the FY20 report, the CFTC's Chairman Behnam announced plans to hire its first Chief Diversity

and EEO Officer Officer and started the application process for that position. The Chief Diversity and EEO Officer will be tasked with leading agency efforts to develop the agency's first DEIA strategic plan and address other identified barriers. Additionally, during FY21, the CFTC:

- Delivered new training. OMWI, with the support of the agency's learning and training team, launched the agency's first mandatory DEIA training. All CFTC employees were required to attend a 60-minute introductory session titled "Understanding and Addressing Unconscious Bias." The CFTC required all supervisory employees to attend an additional 90-minute training session titled "Building Inclusive Teams." Furthermore, the agency's Human Resources Branch provided a number of training opportunities to supervisors to strengthen their inclusive management skills
- DEIA study results released and discussed in a townhall. After finishing the diversity and inclusion study that was announced in FY20, the CFTC released a report of the results to the agency's workforce. Chairman Behnam then held an agency-wide townhall focused on DEIA to review and discuss the results.
- Launch of PDA. The agency planned a launch of a new affinity group for people with disabilities "PDA" for FY22.

EEOC FORM		
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PART E.5		

Commodity Futures Trading Commission

For period covering October 1, 2020 to September 30, 2021

EXECUTIVE SUMMARY: PLANNED ACTIVITIES

The CFTC plans to engage in a number of tasks to work towards a model EEO program. The actions the CFTC plans to take to address deficiencies and barriers are described below. The performance indicator number that each activity will address is listed in parentheses.

Planned Activities Under Element A- Demonstrated Commitment from Agency Leadership.

To ensure that the CFTC provides training to its employees on the EEO complaint process, the CFTC will launch a new EEO complaint process training. The agency will also determine how often employees will need to complete the training, and when new employees will be required to complete it (A.2.c.1). To ensure that employees know what behaviors are not appropriate in the workplace and could result in disciplinary action, the CFTC will develop such a list as part of its pay and performance reform effort (A.2.c.5). Finally, to ensure that all employees and applicants for employment can access the agency's reasonable accommodation process, the CFTC will continue to vet the reasonable accommodation procedures through internal review and will post them on the CFTC's public facing website when they are complete (A.2.b.3).

Planned Activities Under Element B- Integration of EEO into Agency Mission.

The new Chief Diversity and EEO Officer will continue to assess the EEO office's resource needs and will submit additional resource requests for consideration so that the EEO Office has sufficient staff and funding to: provide all supervisors and employees with training on the EEO program, including but not limited to retaliation, harassment, religious accommodations, disability accommodations, the EEO complaint process, and ADR; effectively administer its special emphasis programs (such as, Federal Women's Program, Hispanic Employment Program, and People with Disabilities Program Manager); maintain accurate data collection and tracking systems; conduct a thorough barrier analysis of its workforce; and participate in agency meetings regarding workforce changes (B.3.a, B.4.a.7, B.4.a.2, B.4.a.4, B.4.a.8).

The Chief Diversity and EEO Officer will coordinate with the training office and other stakeholders on creating systems to train managers and supervisors on their responsibilities under the agency's EEO complaint process pursuant to 29 CFR §1614.102(a)(5), ADR with emphasis on the federal government's interest in encouraging mutual resolution of disputes and the benefits associated with utilizing ADR, and the agency's reasonable accommodation procedures (B.5.a.1, B.5.a.5, B.5.a. 2).

Planned Activities Under Element C- Management and Program Accountability.

Updates to the performance management form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. That reform effort will ensure that rating officials evaluate the performance of managers and supervisors based on: their ability to resolve EEO problems/disagreements/conflicts, including participation in ADR proceedings; provide religious accommodations when such accommodations do not cause an undue hardship; comply with settlement agreements and orders issued by the agency, EEOC, and EEO-related cases from the Merit Systems Protection Board, labor arbitrators, and the Federal Labor Relations Authority; ensure that subordinate supervisors have effective managerial, communication, and interpersonal skills to supervise in a workplace with diverse employees; ensure full cooperation of employees under his/her supervision with EEO officials, such as counselors and investigators; ensure a workplace that is free from all forms of discrimination, including harassment and retaliation; provide disability accommodations when such accommodations do not cause an undue hardship; support the EEO program in identifying and removing barriers to equal opportunity; and support the anti-harassment program in investigating and correcting harassing conduct. (C.3.b.1, C.3.b.5, C.3.b.9, C.3.b.4, C.3.b.8, C.3.b.6, C.3.b.2, C.3.b.3, C.3.b.7, C.5.a).

The Chief Diversity and EEO Officer will start to regularly conduct field audits to assess the CFTC's regional offices for possible EEO program deficiencies, their efforts to remove barriers from the workplace, and the regional office's efforts to comply with the recommendations of the field audit (C.1.a, C.1.b, C.1.c).

The CFTC's Chief Diversity and EEO Officer and Human Resources Branch will collaborate to develop a strategy and process to conduct outreach and recruitment initiatives and to implement the CFTC's Affirmative Action Plan for Individuals with Disabilities (C.4.e.2, C.4.e.1).

The agency will continue to work to establish an anti-harassment policy and disability reasonable accommodation and

EEOC FORM 715-02 PART E.5

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

Commodity Futures Trading Commission

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EXECUTIVE SUMMARY: PLANNED ACTIVITIES

personal assistance services procedures that comply with EEOC's regulations and guidance-- the agency will finish the internal review process that those drafts are currently undergoing. Once the reasonable accommodation and personal assistance services procedures are approved, they will be posted on the public facing website. Additionally, the EEO Office will consider internal standard operating procedures for the OMWI office to determine what changes may need to be made to inform the anti-harassment program of all EEO counseling activity alleging harassment, the Chief Diversity and EEO Officer will assess a way to establish a firewall between the Anti-harassment Coordinator and the EEO Director, and the agency will ensure that its anti-harassment training materials include examples of disability-based harassment (C. 2.b, C.2.c, C.2.a, C.2.a.1, C.2.c.1, C.2.a.4, C.2.a.2, C.2.a.5, C.2.a.6). The agency will develop a strategy and a process for establishing timetables/schedules to review at regular intervals its merit promotion program, employee recognition awards program, employee development/training programs, and management/personnel policies, procedures, and practices for systemic barriers that may be impeding full participation in the program by all EEO groups (C.4.b). The Chief Diversity and EEO Officer will start to inform managers and supervisors about discriminatory conduct if it has a finding of discrimination or settles cases in which a finding was likely (C.5.c). The Human Resources Branch will reach out to employees on a regular basis to encourage employee self-identification and ensure that all of the quantitative workforce data provided to the EEO office is accurate and will work to establish practices for collecting required data under it's purview where such practices may not already be in place. The Office of Minority and Women Inclusion will develop an education campaign around the importance of self-identification (C.4.c.). Planned Activities under Element D- Proactive Prevention. The agency will work to ensure that the plans to address barriers listed in Part I are implemented (D.3.b). The CFTC will also evaluate and start to implement the steps it needs to take to increase the number of persons with disabilities or targeted disabilities employed at the agency until it meets the goals (D.4.d). Planned Activities under Element E- Efficiency. The CFTC will engage in a number of activities to strengthen its approach to alternative dispute resolution (ADR). The Chief Diversity and EEO Officer will take steps to coordinate with stakeholder offices to develop systems, processes, and policies to: ensure a management official with settlement authority is accessible during the dispute resolution process; ensure that there is a policy to mandate that managers and supervisors participate in ADR once it has been offered; prohibit the responsible management official named in the dispute from having settlement authority; annually evaluate the effectiveness of the CFTC's ADR program; encourage all employees to use ADR, where ADR is appropriate; and establish an ADR program for use during both the pre-complaint and formal complaint stages of the EEO process (E.3.d, E. 3.b, E.3.f, E.3.e).

The CFTC will also work to improve its data collection. The Chief Diversity and EEO Officer will coordinate with appropriate offices to develop policy and/or procedures to fully collect, monitor, and analyze external and internal applicant flow data concerning applicants' race, national origin, sex, and disability status as well as its recruitment activities. The CFTC will assess and start to implement next steps to create a system to re-survey the workforce on a regular basis. (E.4.a.4, E.4.b, E. 4.a.3, E.4.a.2)

Planned Activities under Element F- Responsiveness and Legal Compliance.

The CFTC will identify an individual or individuals who are responsible for compliance with EEOC orders, so that they can be held accountable for poor work product or delays during performance review; the CFTC also will assess and start to implement next steps to ensure that the CFTC has a system of management controls to ensure that its officials timely comply with EEOC orders/directives and final agency actions and that it timely posts its guarterly No FEAR Act data (F. 1.e, F.1.a, F.3.b)

EEOC FORM 715-02 PART E.5	FED	Employment Opportunity Commission DERAL AGENCY ANNUAL ROGRAM STATUS REPORT
C	ommodity Futures Trading Commission	For period covering October 1, 2020 to September 30, 2021
	EXECUTIVE SUMMAI	RY: PLANNED ACTIVITIES

Planned Activities to Address Barriers.

To address the barriers identified in this report, the CFTC plans to create an agency-wide DEIA strategic plan. As part of the DEIA strategic planning process, we will identify further actions/activities that we will implement to address potential barriers. Additionally, the agency will:

- Create a diversity recruitment plan;
- Formalize the Diversity Workgroup;
- · Integrate bias mitigation measures and DEIA best practices into the hiring and selection processes;
- Use strategic talent acquisitions platforms to build an intentional and strategic approach to attracting diverse applicants;
- Continue to analyze applicant flow data to better understand by grade, position, and division where potential issues may be.

Planned Disability Program Activities.

The CFTC will evaluate what further training is needed for Disability Program Staff in order to carry out their responsibilities. The new Chief Diversity and EEO Officer will begin briefing and bringing awareness to the gap in expertise, funding, and staffing at the agency to best make the case for further needed resources, and she will work with stakeholder offices to ensure that hiring managers are trained on the use of hiring authorities that take disability into account.

The CFTC has launched a new employee affinity group for People with Disabilities (PWD) and will work with that group to establish and maintain contacts with organizations that can connect the agency with PWD and People with Targeted Disabilities (PWTD). The CFTC will work through its DEIA strategic plan to further develop an approach to ensure advancement opportunities for PWD, including consideration of the use of details, job assignments, and mentoring.

EEOC FORM 715-02 PART F	U.S. Equal Employment Opp FEDERAL AGENC EEO PROGRAM STA	Y ANNUAL
Commodity Futures Trading Commissi	ion For	period covering October 1, 2020 to September 30, 2021
	CATION of ESTABLISHMENT of EMPLOYMENT OPPORTUNITY	Y PROGRAMS
(Insert Name Above)		am the rt official /grade above)
Principal EEO Director/Official for		
	(Insert Agency/Component Nat	me above)
The agency has conducted an annual self-assessment of Secti elements as prescribed by EEO MD-715. If an essential elem further evaluation was conducted and, as appropriate, EEO P Program, are included with this Federal Agency Annual EEC The agency has also analyzed its work force profiles and com management or personnel policy, procedure or practice is ope gender or disability. EEO Plans to Eliminate Identified Barri EEO Program Status Report. I certify that proper documentation of this assessment is in pla	nent was not fully compliant with the Plans for Attaining the Essential Elem D Program Status Report. ducted barrier analyses aimed at detect erating to disadvantage any group bas ers, as appropriate, are included with	standards of EEO MD-715, a eents of a Model EEO cting whether any sed on race, national origin, this Federal Agency Annual
Signature of Principal EEO Director/Official Certifies that this Federal Agency Annual EEO Program State EEO MD-715.	us Report is in compliance with	Date
Signature of Agency Head or Agency Head Designee		Date

EEOC FORM 715-02	U.S. Equal Employment Opportunity Commiss FEDERAL AGENCY ANNUAL	sion			
PART G	EEO PROGRAM STATUS REPORT Commodity Futures Trading Commission For period covering	October	1 2020 #	o Senter	aber 30, 2021
	Agency Self-Assessment Checklist	October	1, 2020 1	o septen	iber 30, 2021
	Essential Element: A Demonstrated Commitment From agency L	eaders	hin		
Comj Indic	bliance	Measu	rnp ure Has n Met	6	For all unmet measures, provide
➡ Meas	A.1. The agency issues an effective, up-to-date EEO policy statement. ures	Yes	No	N/A	a brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
clearly communi	gency annually issue a signed and dated EEO policy statement on agency letterhead that cates the agency's commitment to EEO for all employees and applicants? If "Yes", please al issuance date in the comments column. [see MD-715, ll(A)]	x			02/03/2021 2/3/2021
A.1.b. Does the I pregnancy, sexua reprisal) containe	EEO policy statement address all protected bases (age, color, disability, sex (including l orientation and gender identity), genetic information, national origin, race, religion, and d in the laws EEOC enforces? [see 29 CFR § 1614.101(a)] If the EEO policy statement covers ses (e.g., marital status, veteran status and political affiliation), please list them in the	x			

EEOC FORM 715-02 PART G	U.S. Equal Employment Opportunity Comm. FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT				
Commodi	ty Futures Trading Commission For period coverin	g October	1, 2020 t	o Septen	ıber 30, 2021
	Agency Self-Assessment Checklist				
Compliance Indicator		and a second second second	ıre Has n Met	8	For all unmet measures, provide a
Measures	A.2. The agency has communicated EEO policies and procedures to all employees	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
A.2.a. Does the agency disse	minate the following policies and procedures to all employees:				
A.2.a.1. Anti-harassment pol	icy? [see MD 715, ll(A)]	x			
A.2.a.2. Reasonable accomm	odation procedures? [see 29 CFR § 1614.203(d)(3)]	x			
A.2.b. Does the agency prom website:	inently post the following information throughout the workplace and on its public	Ĭ			
	t information for its EEO Counselors, EEO Officers, Special Emphasis Program ?? [see 29 C.F.R § 1614.102(b)(7)]	x			
A.2.b.2. Written materials co complaint process? [see 29 C	ncerning the EEO program, laws, policy statements, and the operation of the EEO (FR §1614.102(b)(5)]	x			
A.2.b.3. Reasonable accomminternet address in the comm	nodation procedures? [see 29 CFR § 1614.203(d)(3)(i)] If so, please provide the ents column.		X		
A.2.c. Does the agency infor	m its employees about the following topics:				
	ess? [see 29 CFR §§ 1614.102(a)(12) and 1614.102(b)(5)] If "yes", please provide which such training is delivered.		x		An online training is being developed and will be launched by end of 2023.
A.2.c.2. ADR process? [see]	MD-110, Ch. 3(II)(C)] If "yes", please provide how often.	x			The agency's internal policy page outlines guidance on the agency's ADR process.
A.2.c.3. Reasonable accomm how often.	uodation program? [see 29 CFR § 1614.203(d)(7)(ii)(C)] If "yes", please provide	x			Reasonable accommodation information is found within the collective bargaining agreement and on the agency intranet.
	gram? [see EEOC Enforcement Guidance on Vicarious Employer Liability for bervisors (1999), § V.C.1] If "yes", please provide how often.	x			Anti-harassment information is disseminated through collective bargaining agreement and EEO and anti- harassment statement issued annually.

EEOC FORM 715-02 PART G	FEDEL	ployment Opportunity Comm. RAL AGENCY ANNUAL OGRAM STATUS REPORT					
	Commodity Futures Trading Commission	For period covering	ng October	1, 2020 t	o Septen	nber 30, 2021	
	Agency Self-As	sessment Checklist					
A.2.c.5. Behaviors §2635.101(b)] If "	s that are inappropriate in the workplace and could result in disci 'yes'', please provide how often.	plinary action? [5 CFR		X		The agency will develop guidance that lists examples of such behaviors.	
Compl Indica			Measure Has For a Been Met measure				
state Measu	A.3. The agency assesses and ensures EEO principle	es are part of its culture.	Yes	No	N/A	a brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report	
superior accompli	gency provide recognition to employees, supervisors, managers a shment in equal employment opportunity? [see 29 CFR § 1614.1 les in the comments section.		x			Employees are eligible for an award based on their contributions to diversity, equity, and inclusion each year through the Chairman's honorary awards program.	
A.3.b. Does the ag monitor the percep	gency utilize the Federal Employee Viewpoint Survey or other cl ption of EEO principles within the workforce? [see 5 CFR Part 2	imate assessment tools to [50]'	x	8			

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PART G

Commodity Futures Trading Commission

For period covering October 1, 2020 to September 30, 2021

Agency Self-Assessment Checklist

ж 2		Essential Element: B Integration of EEO into the agency's Strates	gic Miss	sion		
1	Compliance Indicator			Measure Has Been Met		For all unmet measures, provide
	Measures	B.1. 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.	Yes	No	N/A	a brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
		e immediate supervisor of the person ("EEO Director") who has day-to-day control 9 CFR §1614.102(b)(4)]	x			
agency h		does not report to the agency head, does the EEO Director report to the same mission-related programmatic offices? If "yes," please provide the title of the comments.			x	Not Applicable
	Does the agency's o 14.102(b)(4)]	organizational chart clearly define the reporting structure for the EEO office? [see 29	x			
managen	nent officials of the	or have a regular and effective means of advising the agency head and other senior effectiveness, efficiency and legal compliance of the agency's EEO program? [see D-715 Instructions, Sec. I]	x			
managen program	nent officials, the "s and the status of th	period, did the EEO Director present to the head of the agency, and other senior State of the agency" briefing covering the six essential elements of the model EEO e barrier analysis process? [see MD-715 Instructions, Sec. I] If "yes", please provide e comments column.	х			04/06/2021
		or regularly participate in senior-level staff meetings concerning personnel, budget, force issues? [see MD-715, II(B)]	x			5

EEOC FORM 715-02 PART G	Image: Second State Sta							
Commod	Commodity Futures Trading Commission For period covering October 1, 2020 to September 30, 2021							
	Agency Self-Assessment Checklist							
Compliance Indicator		Measure Has Been Met			For all unmet measures, provide a			
Measures	B.2. The EEO Director controls all aspects of the EEO program.	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report			
to promote EEO and to iden	esponsible for the implementation of a continuing affirmative employment program tify and eliminate discriminatory policies, procedures, and practices? [see MD-110, 4.102(c)] If not, identify the office with this authority in the comments column.	x						
B.2.b. Is the EEO Director responsible for overseeing the completion of EEO counseling? [see 29 CFR §1614.102(c)(4)]		x	8					
B.2.c. Is the EEO Director responsible for overseeing the fair and thorough investigation of EEO complaints? [see 29 CFR §1614.102(c)(5)] [This question may not be applicable for certain subordinate level components.]		x						
	esponsible for overseeing the timely issuance of final agency decisions? [see 29 s question may not be applicable for certain subordinate level components.]	x						
B.2.e. Is the EEO Director r 1614.102(e); 1614.502]'	esponsible for ensuring compliance with EEOC orders? [see 29 CFR §§	x						
	esponsible for periodically evaluating the entire EEO program and providing vement to the agency head? [see 29 CFR §1614.102(c)(2)]	x						
	ordinate level components, does the EEO Director provide effective guidance and nents? [see 29 CFR §§ 1614.102(c)(2); (c)(3)]			x	Not Applicable			

EEOC FORM 715-02 PART G	U.S. Equal Employment Op FEDERAL AGEN EEO PROGRAM ST	CY ANNUAL	ion			
Commodi	ty Futures Trading Commission Fo	or period covering (October	1, 2020 t	o Septen	ıber 30, 2021
	Agency Self-Assessment Cl	hecklist				
Compliance Indicator				re Has 1 Met	5	For all unmet measures, provide a
Measures	B.3. The EEO Director and other EEO professional staff are invo consulted on, management/personnel actions.	olved in, and	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
EEO issues, including strate	tials participate in agency meetings regarding workforce changes t pic planning, recruitment strategies, vacancy projections, succession development opportunities? [see MD-715, II(B)]			x		EEO program officials were not included in meetings regarding workforce changes that might impact EEO issues, such as strategic planning, recruitment strategies, vacancy projections, succession planning, and selections for training/career development opportunities.
B.3.b. Does the agency's cur MD-715, II(B)] If "yes", ple	rent strategic plan reference EEO / diversity and inclusion principl ase identify the EEO principles in the strategic plan in the commer	les? [see nts column.	x			EEO is integrated into the agency's mission and is included in the 2020-2024 Strategic Plan under Strategic Goal 5. Strategic Goal 5.4 commits the organization to "attract, retain, and promote a diverse workforce of the best and the brightest." The plan also affirms that teamwork is a core value, and defines it as "valuing diverse skill sets and backgrounds to achieve our mission."

EEOC FORM 715-02 PART G	U.S. Equal Employment Opportunity Commiss FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	sion						
Commodi	ty Futures Trading Commission For period covering	October	1, 2020 t	o Septen	ıber 30, 2021			
Agency Self-Assessment Checklist								
Compliance Indicator		and a second second	ire Has n Met		For all unmet measures, provide a			
Measures	B.4. The agency has sufficient budget and staffing to support the success of its EEO program.	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report			
	1614.102(a)(1), has the agency allocated sufficient funding and qualified staffing to EEO program, for the following areas:							
	essment of the agency for possible program deficiencies? [see MD-715, II(D)]	x						
B.4.a.10. to effectively mana	age its reasonable accommodation program? [see 29 CFR §1614.203(d)(4)(ii)]	x						
B.4.a.11. to ensure timely an	d complete compliance with EEOC orders? [see MD-715, II(E)]	x						
B.4.a.2. to enable the agency	to conduct a thorough barrier analysis of its workforce? [see MD-715, II(B)]		x		There are not sufficient resources for a thorough barrier analysis of the CFTC's workforce.			
	y, and fairly process EEO complaints, including EEO counseling, investigations, egal sufficiency reviews? [see 29 CFR §§ 1614.102(c)(5); 1614.105(b) – (f); IV); MD-715, II(E)]	x						
retaliation, harassment, relig	risors and employees with training on the EEO program, including but not limited to ious accommodations, disability accommodations, the EEO complaint process, and nd III(C)] If not, please identify the type(s) of training with insufficient funding in		x		There were not sufficient resources for training on retaliation, harassment, religious accommodations, disability accommodations, the EEO complaint process, and ADR			
	, accurate, and effective field audits of the EEO programs in components and the see 29 CFR §1614.102(c)(2)]			Х	There are not separate EEO programs in our regional offices.			
B.4.a.6. to publish and distri accommodations procedures	bute EEO materials (e.g. harassment policies, EEO posters, reasonable)? [see MD-715, II(B)]		X					
tracking, workforce demogra	data collection and tracking systems for the following types of data: complaint aphics, and applicant flow data? [see MD-715, II(E)] If not, please identify the iding in the comments section.		X		There are not sufficient resources for to maintain accurate data collection and tracking systems for workforce demographics and applicant flow data.			

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Commodity Futures Trading Commission For period covering October 1, 2020 to September 30, 2021						nber 30, 2021		
	Agency Self-Assessn	ent Checklist						
Employment Prog	ely administer its special emphasis programs (such as, Federal Wome ram, and People with Disabilities Program Manager)? [5 USC § 7201 § 213.3102(t) and (u); 5 CFR § 315.709]			X				
	ely manage its anti-harassment program? [see MD-715 Instructions, s ance on Vicarious Employer Liability for Unlawful Harassment by S		x					
B.4.b. Does the E 1614.102(a)(1)]	30 office have a budget that is separate from other offices within the	agency? [see 29 CFR §	x					
B.4.c. Are the dut 6(III)]	es and responsibilities of EEO officials clearly defined? [see MD-110	, Ch. 1(III)(A), 2(III), &	X					
	ency ensure that all new counselors and investigators, including contractive the required 32 hours of training, pursuant to Ch. 2(II) (A) of N		S S		x	We utilize a vendor who ensures these requirements are met.		
	ency ensure that all experienced counselors and investigators, includi ployees, receive the required 8 hours of annual refresher training, pur				х	We utilize a vendor who ensures these requirements are met.		
Comp Indica			Measure Has Been Met				8	For all unmet measures, provide
Measu	B.5. The agency recruits, hires, develops, and retains supe who have effective managerial, communications, and inte		Yes	No	N/A	a brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report		
	29 CFR §1614.102(a)(5), have all managers and supervisors received r responsibilities under the following areas under the agency EEO pro							
B.5.a.1. EEO com	plaint process? [see MD-715(II)(B)]			x		A new training is being developed and will be launched by the end of 2023.		
B.5.a.2. Reasonab	le Accommodation Procedures? [see 29 CFR § 1614.102(d)(3)]			x				
B.5.a.3. Anti-hara	ssment policy? [see MD-715(II)(B)]		x			a ar		
B.5.a.4. Supervise in a workplace wi MD-715, II(B)]	ry, managerial, communication and interpersonal skills in order to sugh diverse employees and avoid disputes arising from ineffective comm	pervise most effectively nunications? [see	X					
	h emphasis on the federal government's interest in encouraging mutu sociated with utilizing ADR? [see MD-715(II)(E)]	al resolution of disputes		х				

EOC FORM 715-02 PART G	U.S. Equal Employment Opportunity Commi FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT				
Comm	nodity Futures Trading Commission For period coverin	g October	1, 2020 t	to Septem	ıber 30, 2021
	Agency Self-Assessment Checklist				
Compliance Indicator			re Has 1 Met		For all unmet measures, provid a
Measures	B.6. The agency involves managers in the implementation of its EEO program.	Yes	No	N/A	brief explanation in the space below complete and attach an EEOC FORM 715- 01 PART H to th agency's status report
6.a. Are senior manage structions, Sec. I]	ers involved in the implementation of Special Emphasis Programs? [see MD-715	x			
	rs participate in the barrier analysis process? [see MD-715 Instructions, Sec. I]	x	1		
6.c. When barriers are	identified, do senior managers assist in developing agency EEO action plans (Part I, summary)? [see MD-715 Instructions, Sec. I]	x			
	rs successfully implement EEO Action Plans and incorporate the EEO Action Plan	x			2

EEOC FORMU.S. Equal Employment Opportunity Comm715-02FEDERAL AGENCY ANNUALPART GEEO PROGRAM STATUS REPORT				
Commodity Futures Trading Commission For period covering	g October	[.] 1, 2020 t	o Septen	ıber 30, 2021
Agency Self-Assessment Checklist				
Essential Element: C Management and Program Accountability				
Compliance Indicator	- All States	ıre Has n Met	6	For all unmet measures, provide a
Measures C.1. The agency conducts regular internal audits of its component and field offices	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
C.1.a. Does the agency regularly assess its component and field offices for possible EEO program deficiencies? [see 29 CFR §1614.102(c)(2)] If "yes", please provide the schedule for conducting audits in the comments section.		x		The CFTC does not regularly assess its component and field offices for possible EEO program deficiencies.
C.1.b. Does the agency regularly assess its component and field offices on their efforts to remove barriers from the workplace? [see 29 CFR §1614.102(c)(2)] If "yes", please provide the schedule for conducting audits in the comments section.		x		The CFTC does not regularly assess its component and field offices on their efforts to remove barriers from the workplace.
C.1.c. Do the component and field offices make reasonable efforts to comply with the recommendations of the field audit? [see MD-715, II(C)]		x		The component and field offices do not yet make reasonable efforts to comply with the recommendations of the field audit, as the field audits do not yet currently take place.
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Agency Self-Assessment Checklist							
Compliance Indicator			ıre Has n Met	5	For all unmet measures, provide a		
Measures	C.2. The agency has established procedures to prevent all forms of EEO discrimination.	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report		
EEOC's enforcement guidan	ished comprehensive anti-harassment policy and procedures that comply with ace? [see MD-715, II(C); Enforcement Guidance on Vicarious Employer Liability Supervisors (Enforcement Guidance), EEOC No. 915.002, § V.C.1 (June 18, 1999)]	x		The agency has an anti- harassment article in its Collective Bargaining Agreement. The agency has drafted a new anti- harassment policy and procedures that comply with EEOC guidance and that are in the final stages of internal review.		
	ment policy require corrective action to prevent or eliminate conduct before it rises ssment? [see EEOC Enforcement Guidance on Vicarious Employer Liability for pervisors (1999), § V.C.1]		x		The agency has an anti- harassment article in its Collective Bargaining Agreement. The agency has drafted a new anti- harassment policy and procedures that comply with EEOC guidance and that are in the final stages of internal review.		
	blished a firewall between the Anti-Harassment Coordinator and the EEO Director? EO Program Must Have an Effective Anti-Harassment Program (2006)]	2	х		The CFTC has not established a firewall between the Anti- Harassment Coordinator and the EEO Director.		
allegations? [see Enforcement	ve a separate procedure (outside the EEO complaint process) to address harassment nt Guidance on Vicarious Employer Liability for Unlawful Harassment by uidance), EEOC No. 915.002, § V.C.1 (June 18, 1999)]	x					
	sure that the EEO office informs the anti-harassment program of all EEO counseling ? [See Enforcement Guidance, V.C.]	g	x		The agency's pending new anti- harassment policy will incorporate this step.		
20			¥		20		

Commodity Futures Trading Commission For period covering Agency Self-Assessment Checklist C.2.a.5. Does the agency conduct a prompt inquiry (beginning within 10 days of notification) of all harassment allegations, including those initially raised in the EEO complaint process? [see Complainant v. Dep't of Veterans Affairs, EEOC Appeal No. 0120123232 (May 21, 2015); Complainant v. Dep't of Defense (Defense Commissary Agency), EEOC Appeal No. 0120130331 (May 29, 2015)] If "no", please provide the percentage	g October	1, 2020 to S	eptember 30, 2021							
C.2.a.5. Does the agency conduct a prompt inquiry (beginning within 10 days of notification) of all harassment allegations, including those initially raised in the EEO complaint process? [see Complainant v. Dep't of Veterans Affairs, EEOC Appeal No. 0120123232 (May 21, 2015); Complainant v. Dep't of Defense (Defense Commissary Agency), EEOC Appeal No. 0120130331 (May 29, 2015)] If "no", please provide the percentage		14 - 24	1							
allegations, including those initially raised in the EEO complaint process? [see Complainant v. Dep't of Veterans Affairs, EEOC Appeal No. 0120123232 (May 21, 2015); Complainant v. Dep't of Defense (Defense Commissary Agency), EEOC Appeal No. 0120130331 (May 29, 2015)] If "no", please provide the percentage		15 J.H.	Agency Self-Assessment Checklist							
of timely-processed inquiries in the comments column.		x	The agency will be able to provide a percentage after it finalizes its pending anti- harassment procedures.							
C.2.a.6. Do the agency's training materials on its anti-harassment policy include examples of disability-based harassment? [see 29 CFR §1614.203(d)(2)]		x	The agency will develop anti- harassment training materials that include such examples.							
C.2.b. Has the agency established disability reasonable accommodation procedures that comply with EEOC's regulations and guidance? [see 29 CFR §1614.203(d)(3)]		x	The CFTC has drafted reasonable accommodation and personal services procedures that comply with the EEOC's regulations and guidance. They are in the final stages of internal review and will be posted as soon as they are finalized.							
C.2.b.1. Is there a designated agency official or other mechanism in place to coordinate or assist with processing requests for disability accommodations throughout the agency? [see 29 CFR §1614.203(d)(3)(D)]	x									
C.2.b.2. Has the agency established a firewall between the Reasonable Accommodation Program Manager and the EEO Director? [see MD-110, Ch. 1(IV)(A)]	x									
C.2.b.3. Does the agency ensure that job applicants can request and receive reasonable accommodations during the application and placement processes? [see 29 CFR §1614.203(d)(1)(ii)(B)]	x									
C.2.b.4. Do the reasonable accommodation procedures clearly state that the agency should process the request within a maximum amount of time (e.g., 20 business days), as established by the agency in its affirmative action plan? [see 29 CFR §1614.203(d)(3)(i)(M)]	X									
C.2.b.5. Does the agency process all initial accommodation requests, excluding ongoing interpretative services, within the time frame set forth in its reasonable accommodation procedures? [see MD-715, II(C)] If "no", please provide the percentage of timely-processed requests, excluding ongoing interpretative services, in the comments column.	x									
C.2.c. Has the agency established procedures for processing requests for personal assistance services that comply with EEOC's regulations, enforcement guidance, and other applicable executive orders, guidance, and standards? [see 29 CFR §1614.203(d)(6)]		x	The CFTC has drafted reasonable accommodation and personal services procedures that comply with the EEOC's regulations and guidance. They are in the final stages of internal review and will be posted as soon as they are finalized.							

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	agency post its procedures for processing requests for Personal A see 29 CFR §1614.203(d)(5)(v)] If "yes", please provide the inter		X	The CFTC has drafted reasonable accommodation and personal services procedures that comply with the EEOC's regulations and guidance. They are in the final stages of internal review and will be posted as soon as they are finalized.			

EEOC FORM 715-02 PART G	U.S. Equal Employment Opportunity Com FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPOR				
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	Agency Self-Assessment Checklist				
Compliance Indicator		and a second sec	ire Has 1 Met		For all unmet measures, provide a
Measures	C.3. The agency evaluates managers and supervisors on their efforts to ensure equal employment opportunity.	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
C.3.a. Pursuant to 29 CFR § performance appraisal that e participation in the EEO pro	1614.102(a)(5), do all managers and supervisors have an element in their evaluates their commitment to agency EEO policies and principles and their agram?	x			
C.3.b. Does the agency requ on the following activities:	ire rating officials to evaluate the performance of managers and supervisors based				
	ems/disagreements/conflicts, including the participation in ADR proceedings? [see	3	X		While all supervisors are rated on their adherence to EEO principles and promoting diversity and inclusion in general per C.3.a, the specific activities listed from C.3.b.1 through C.3.b.9 are not part of supervisor ratings yet, but will be incorporated into future updates of the performance form. Exact wording is TBD.
C.3.b.2. Ensure full coopera and investigators? [see 29 C	tion of employees under his/her supervision with EEO officials, such as counselor FR §1614.102(b)(6)]	S	x		While all supervisors are rated on their adherence to EEO principles and promoting diversity and inclusion in general per C.3.a, the specific activities listed from C.3.b.1 through C.3.b.9 are not part of supervisor ratings yet, but will be incorporated into future updates of the performance form. Exact wording is TBD.

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	Agency Self-Ass	essment Checklist			
[see MD-715, II(x	While all supervisors are rated on their adherence to EEO principles and promoting diversity and inclusion in general per C.3.a, the specific activities listed from C.3.b.1 through C.3.b.9 are not part of supervisor ratings yet, but will be incorporated into future updates of the performance form. Exact wording is TBD.	
	hat subordinate supervisors have effective managerial, communicat workplace with diverse employees? [see MD-715 Instructions, Sec		x	While all supervisors are rated on their adherence to EEO principles and promoting diversity and inclusion in general per C.3.a, the specific activities listed from C.3.b.1 through C.3.b.9 are not part of supervisor ratings yet, but will be incorporated into future updates of the performance form. Exact wording is TBD.	
C 3.b.5. Provide 1 29 CFR §1614.10	religious accommodations when such accommodations do not caus D2(a)(7)]	se an undue hardship? [see	x	While all supervisors are rated on their adherence to EEO principles and promoting diversity and inclusion in general per C.3.a, the specific activities listed from C.3.b.1 through C.3.b.9 are not part of supervisor ratings yet, but will be incorporated into future updates of the performance form. Exact wording is TBD.	

EEOC FORM 715-02 PART G	715-02 FEDERAL AGENCY ANNUAL				
	Commodity Futures Trading Commission		For period covering Octob	er 1, 2020 to Se	eptember 30, 2021
	A	Agency Self-Assessmen	t Checklist		
29 CFR §1614.10				x	While all supervisors are rated on their adherence to EEO principles and promoting diversity and inclusion in general per C.3.a, the specific activities listed from C.3.b.1 through C.3.b.9 are not part of supervisor ratings yet, but will be incorporated into future updates of the performance form. Exact wording is TBD.
C.3.b.7. Support t	he EEO program in identifying and removing bar	riers to equal opportunit	y?. [see MD-715,	x	While all supervisors are rated on their adherence to EEO principles and promoting diversity and inclusion in general per C.3.a, the specific activities listed from C.3.b.1 through C.3.b.9 are not part of supervisor ratings yet, but will be incorporated into future updates of the performance form. Exact wording is TBD.
C.3.b.8. Support t Enforcement Guio	he anti-harassment program in investigating and c lance, V.C.2]	correcting harassing con	duct?. [see	x	While all supervisors are rated on their adherence to EEO principles and promoting diversity and inclusion in general per C.3.a, the specific activities listed from C.3.b.1 through C.3.b.9 are not part of supervisor ratings yet, but will be incorporated into future updates of the performance form. Exact wording is TBD.

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Agency Self-Assessment Checklist		-,	1	
C.3.b.9. Comply with settlement agreements and orders issued by the agency, EEOC, and EEO-related cases from the Merit Systems Protection Board, labor arbitrators, and the Federal Labor Relations Authority? [see MD-715, II(C)]		x	While all supervisors are rated on their adherence to EEO principles and promoting diversity and inclusion in general per C.3.a, the specific activities listed from C.3.b.1 through C.3.b.9 are not part of supervisor ratings yet, but will be incorporated into future updates of the performance form. Exact wording is TBD.	
C.3.c. Does the EEO Director recommend to the agency head improvements or corrections, including remedial or disciplinary actions, for managers and supervisors who have failed in their EEO responsibilities? [see 29 CFR §1614.102(c)(2)]	x			
C.3.d. When the EEO Director recommends remedial or disciplinary actions, are the recommendations regularly implemented by the agency? [see 29 CFR §1614.102(c)(2)]	x			

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Commodi	ty Futures Trading Commission For period covering	October	1, 2020 t	o Septem	nber 30, 2021
	Agency Self-Assessment Checklist				
Compliance Indicator					For all unmet measures, provide a
Measures	C.4. The agency ensures effective coordination between its EEO program and Human Resources (HR) program.	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
	nd the EEO Director meet regularly to assess whether personnel programs, policies, EEOC laws, instructions, and management directives? [see 29 CFR §1614.102(a)(2)]	x			
C.4.b. Has the agency establ program, employee recognit personnel policies, procedur	ished timetables/schedules to review at regular intervals its merit promotion ion awards program, employee development/training programs, and management/ es, and practices for systemic barriers that may be impeding full participation in the [see MD-715 Instructions, Sec. I]		x		The CFTC does not have established timetables/ schedules to review at regular intervals its merit promotion program, employee recognition awards program, employee development/ training programs, and management/ personnel policies, procedures, and practices for systemic barriers that may be impeding full participation in the program by all EEO groups.
C.4.c. Does the EEO office I workforce, applicants, traini CFR §1614.601(a)]	have timely access to accurate and complete data (e.g., demographic data for the ng programs, etc.) required to prepare the MD-715 workforce data tables? [see 29		x		The agency will place an increased emphasis on encouraging employee self- identification to ensure that all of the quantitative workforce data provided to the EEO office is accurate and will work to establish practices for collecting required data where such practices may not already be in place.

EEOC FORM 715-02 PART G	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT			
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	Agency Self-Asse	ssment Checklist		
	R office timely provide the EEO office with access to other data (e at surveys, and grievance data), upon request? [see MD-715, II(C)]		¢	ĺ
C.4.e. Pursuant to	Section II(C) of MD-715, does the EEO office collaborate with th	e HR office to:		
C.4.e.1. Implemen MD-715, II(C)]	nt the Affirmative Action Plan for Individuals with Disabilities? [so	e 29 CFR §1614.203(d);	x	During FY21, the EEO office did not collaborate with the HR office to implement the Affirmative Action Plan for Individuals with Disabilities.
C.4.e.2. Develop	and/or conduct outreach and recruiting initiatives? [see MD-715, I	(C)]	x	During FY21, the EEO office did not collaborate with the HR to develop and/or conduct outreach and recruiting initiatives,
C.4.e.3. Develop	and/or provide training for managers and employees? [see MD-71:	, II(C)]	x 🔤	
C.4.e.4. Identify a	nd remove barriers to equal opportunity in the workplace? [see MI	D-715, II(C)]	x 🔤	
C.4.e.5. Assist in	preparing the MD-715 report? [see MD-715, II(C)]	2	۲. L	

EEOC FORMU.S. Equal Employment Opportunity Commission715-02FEDERAL AGENCY ANNUALPART GEEO PROGRAM STATUS REPORT					
Commodity Futures Trading Com	nission For period covering	g October	[.] 1, 2020 t	o Septen	nber 30, 2021
	Agency Self-Assessment Checklist				
Compliance Indicator				S.	For all unmet measures, provide a
C.5. Following a finding of take a disciplinary action.	of discrimination, the agency explores whether it should	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
C.5.a. Does the agency have a disciplinary policy and/o [see 29 CFR §1614.102(a)(6); see also Douglas v. Veter			x		The agency has a disciplinary policy within its collective bargaining agreement, but it does not explicitly refer to discriminatory conduct. The agency will explore options on how to remedy this.
C.5.b. When appropriate, does the agency discipline or conduct? [see 29 CFR §1614.102(a)(6)] If "yes", please during this reporting period in the comments.		x			Zero (0) individuals were disciplined/ sanctioned during this reporting period for discriminatory conduct.
C.5.c. If the agency has a finding of discrimination (or s agency inform managers and supervisors about the disc learned)? [see MD-715, II(C)]	settles cases in which a finding was likely), does the riminatory conduct (e.g., post mortem to discuss lessons		x		The agency does not inform managers and supervisors about the discriminatory conduct (e.g., post mortem to discuss lessons learned) if it has a finding of discrimination (or settles cases in which a finding was likely).
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EOC FORM 715-02 PART G	FEDER.	oyment Opportunity Commis AL AGENCY ANNUAL GRAM STATUS REPORT	ssion			
Commodi	ty Futures Trading Commission	For period covering	g October	1, 2020 t	o Septen	ıber 30, 2021
	Agency Self-Asso	essment Checklist				
Compliance Indicator				re Has Met	2	For all unmet measures, provide a
Measures	C.6. The EEO office advises managers/supervisors on	EEO matters.	Yes	No	N/A	brief explanation in the space below of complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
nual basis, including EEO alysis plans, and special er	provide management/supervisory officials with regular l complaints, workforce demographics and data summar nphasis updates? [see MD-715 Instructions, Sec. I] If " is in the comments column.	x			Regular briefings are provided on an annual basis with biweekly status reports provided to the Chairman.	
6.b. Are EEO officials rea D-715 Instructions, Sec. I]	dily available to answer managers' and supervisors' que	estions or concerns? [see	x			74 (A)

EEOC FO 715-0 PART	2	U.S. Equal Employment Opportunity Commi FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	ssion			
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-		Agency Self-Assessment Checklist				
		Essential Element: D Proactive Prevention				
	Compliance Indicator			ıre Has n Met	5	For all unmet measures, provide a
+	Measures	D.1. The agency conducts a reasonable assessment to monitor progress towards achieving equal employment opportunity throughout the year.	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
D.1.a. Doe I]	es the agency have	a process for identifying triggers in the workplace? [see MD-715 Instructions, Sec.	x			[
D.1.b. Doe data; comp	plaint/grievance da valuations; special	larly use the following sources of information for trigger identification: workforce ta; exit surveys; employee climate surveys; focus groups; affinity groups; union; emphasis programs; and/or external special interest groups? [see MD-715	x			
improve th		uct exit interviews or surveys that include questions on how the agency could ng, inclusion, retention and advancement of individuals with disabilities? [see 29]	x	, î		
	Compliance Indicator	075.02.78.22.23	Measure Has Been Met		For all unmet measures, provide	
÷	Measures	D.2. The agency identifies areas where barriers may exclude EEO groups (reasonable basis to act.)	Yes	No	N/A	a brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
D.2.a. Doe MD-715, (a process for analyzing the identified triggers to find possible barriers? [see	x	i i		
D.2.b. Doe	es the agency regul	larly examine the impact of management/personnel policies, procedures, and igin, sex, and disability? [see 29 CFR §1614.102(a)(3)]	x			50
		ider whether any group of employees or applicants might be negatively impacted rce decisions, such as re-organizations and realignments? [see 29 CFR §1614.102(a	X			
grievance of evaluations	data, exit surveys, s, anti-harassment	larly review the following sources of information to find barriers: complaint/ employee climate surveys, focus groups, affinity groups, union, program program, special emphasis programs, and/or external special interest groups? [see] If "yes", please identify the data sources in the comments column.	x			Complaint data, employee climate surveys (FEVS), focus groups, affinity groups, and special emphasis programs.

EEOC FORM 715-02 PART G	U.S. Equal Employment Opportunity Commiss FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	tion								
Commod	ity Futures Trading Commission For period covering	October	1, 2020 t	o Septen	nber 30, 2021					
Agency Self-Assessment Checklist										
Compliance Indicator		Measure Has Been Met			For all unmet measures, provide					
Measures										
	ctively tailor action plans to address the identified barriers, in particular policies, ee 29 CFR §1614.102(a)(3)]	x								
D.3.b. If the agency identifi	ed one or more barriers during the reporting period, did the agency implement a plan the target dates for the planned activities? [see MD-715, II(D)]		x		While the CFTC did implement the plans, not all of the target dates were met.					
D.3.c. Does the agency per	odically review the effectiveness of the plans? [see MD-715, II(D)]	X								
Compliance Indicator			ire Has n Met		For all unmet measures, provide a					
Measures	D.4. The agency has an affirmative action plan for people with disabilities, including those with targeted disabilities.	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report					
	t its affirmative action plan on its public website? [see 29 CFR §1614.203(d)(4)] If net address in the comments.	x			https:// www.cftc.gov/ WebPolicy/ EEONoFearAct/ index.htm					
	e specific steps to ensure qualified people with disabilities are aware of and vacancies? [see 29 CFR §1614.203(d)(1)(i)]	x	8							
	are that disability-related questions from members of the public are answered e 29 CFR §1614.203(d)(1)(ii)(A)]	X								
	a specific steps that are reasonably designed to increase the number of persons with bilities employed at the agency until it meets the goals? [see 29 CFR §1614.203(d)(7)		x		The CFTC has not taken specific steps that are reasonably designed to increase the number of persons with disabilities or targeted disabilities employed at the agency until it meets the goals.					

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Commodity Futures Trading Commission For period cover	ering October	[•] 1, 2020 t	to Septen	ıber 30, 2021
Agency Self-Assessment Checklist				
Essential Element: E Efficiency				
Compliance Indicator	Contraction and Contraction	ıre Has n Met	For all unmet measures, provide a	
• Measures	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
E.1.a. Does the agency timely provide EEO counseling, pursuant to 29 CFR §1614.105?	x			
E.1.b. Does the agency provide written notification of rights and responsibilities in the EEO process during th initial counseling session, pursuant to 29 CFR §1614.105(b)(1)?	ie X			
E.1.c. Does the agency issue acknowledgment letters immediately upon receipt of a formal complaint, pursua to MD-110, Ch. 5(I)?	nt X			2
E.1.d. Does the agency issue acceptance letters/dismissal decisions within a reasonable time (e.g., 60 days) af receipt of the written EEO Counselor report, pursuant to MD-110, Ch. 5(I)? If so, please provide the average processing time in the comments.				The average processing time to issue acceptance letters/dismissal decisions after receipt of a formal complaint in FY21 was 13.3 days.
E.1.e. Does the agency ensure that all employees fully cooperate with EEO counselors and EEO personnel in EEO process, including granting routine access to personnel records related to an investigation, pursuant to 20 CFR §1614.102(b)(6)?				
E.1 f. Does the agency timely complete investigations, pursuant to 29 CFR §1614.108?	x			
E.1.g. If the agency does not timely complete investigations, does the agency notify complainants of the date which the investigation will be completed and of their right to request a hearing or file a lawsuit, pursuant to 2 CFR §1614.108(g)?	by X 29			
E.1 h. When the complainant did not request a hearing, does the agency timely issue the final agency decision pursuant to 29 CFR §1614.110(b)?	n, X			
E.1.i. Does the agency timely issue final actions following receipt of the hearing file and the administrative judge's decision, pursuant to 29 CFR §1614.110(a)?	x			
E.1.j. If the agency uses contractors to implement any stage of the EEO complaint process, does the agency h them accountable for poor work product and/or delays? [See MD-110, Ch. 5(V)(A)] If "yes", please describe how in the comments column.				Contractors are held accountable through firm deadlines and quality assurance reviews conducted by CFTC prior to accepting the work product.
E.1 k. If the agency uses employees to implement any stage of the EEO complaint process, does the agency h them accountable for poor work product and/or delays during performance review? [See MD-110, Ch. 5(V)(4			x	The CFTC utilizes a vendor to implement the EEO complaint process.
E.1.1. Does the agency submit complaint files and other documents in the proper format to EEOC through the Federal Sector EEO Portal (FedSEP)? [See 29 CFR § 1614.403(g)]	X			

EEOC FORM 715-02 PART G	U.S. Equal Employment Opportunity Com FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPOI										
Commodi	ty Futures Trading Commission For period cove	ring October	1, 2020 t	o Septen	1ber 30, 2021						
Agency Self-Assessment Checklist											
Compliance Indicator			ıre Has n Met	6	For all unmet measures, provide a						
Measures	E.2. The agency has a neutral EEO process.	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report						
	shed a clear separation between its EEO complaint program and its defensive 1(IV)(D)] If "yes", please explain.	x			CFTC ensured this clear separation by providing the EEO Office Director with sufficient legal resources, within the autonomous EEO office, for reaching final agency decisions.						
separate from the agency rep.	fficiency reviews, does the EEO office have access to sufficient legal resources resentative? [see MD-110, Ch. 1(IV)(D)] If "yes", please identify the source/ conducts the legal sufficiency review in the comments column.	X			The EEO Director conducted this analysis.						
	s on the agency's defensive function to conduct the legal sufficiency review, is reviewing attorney and the agency representative? [see MD-110, Ch. 1(IV)(D)]			x	The CFTC does not rely on the agency's defensive function.						
	e that its agency representative does not intrude upon EEO counseling, acy decisions? [see MD-110, Ch. 1(IV)(D)]	х									
E.2.e. If applicable, are proce processing of complaints? [se	essing time frames incorporated for the legal counsel's sufficiency review for time ee EEOC Report, Attaining a Model Agency Program: Efficiency (Dec. 1, 2004)	ely]		x	The CFTC does not rely on the agency's defensive function.						

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Commodi	ty Futures Trading Commission	For period covering	October	1, 2020 t	o Septen	ber 30, 2021				
	Agency Self-Assessme	ent Checklist								
Compliance Indicator				re Has 1 Met	č.	For all unmet measures, provide a				
Measures	E.3. The agency has established and encouraged the widespatternative dispute resolution (ADR) program.									
	ished an ADR program for use during both the pre-complain see 29 CFR §1614.102(b)(2)]	and formal complaint		x		The CFTC has not established an ADR program for use during both the pre-complaint and formal complaint stages of the EEO process.				
E.3.b. Does the agency requ MD-715, II(A)(1)]	ire managers and supervisors to participate in ADR once it h	ıs been offered? [see		x		The CFTC does not require managers and supervisors to participate in ADR once it has been offered.				
E.3.c. Does the Agency enco 3(IV)(C)]	ourage all employees to use ADR, where ADR is appropriate	? [See MD-110, Ch.		x		The CFTC does not encourage all employees to use ADR, where ADR is appropriate.				
E.3.d. Does the agency ensuresolution process? [see MD	re a management official with settlement authority is accessi -110, Ch. 3(III)(A)(9)]	ole during the dispute		x		The CFTC does not ensure a management official with settlement authority is accessible during the dispute resolution process.				
E.3.e. Does the agency prom settlement authority? [see M	ibit the responsible management official named in the disput D-110, Ch. 3(I)]	from having		x		The CFTC does not prohibit the responsible management official named in the dispute from having settlement authority.				
E.3 f. Does the agency annua	ally evaluate the effectiveness of its ADR program? [see MD	-110, Ch. 3(II)(D)]		x		The CFTC does not annually evaluate the effectiveness of its ADR program.				

EEOC FORM 715-02 PART G	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
Commod	ity Futures Trading Commission	For period covering Oc	tober	1, 2020 t	o Septem	ıber 30, 2021				
	Agency Self-Assessment (Checklist								
Compliance Indicator		3		re Has 1 Met	For all unmet measures, provide a					
Measures	E.4. The agency has effective and accurate data collection systems in place to evaluate its EEO program. Yes No N/A									
E.4.a. Does the agency have	e systems in place to accurately collect, monitor, and analyze the f	ollowing data:								
	including the issues and bases of the complaints, the aggrieved in ved management official? [see MD-715, II(E)]	dividuals/	x							
3	origin, sex, and disability status of agency employees? [see 29 CF]	₹ §1614.601(a)]		x		The CFTC does not have systems in place to accurately collect, monitor, and analyze the race, national origin, sex, and disability status of agency employees.				
E.4.a.3. Recruitment activit	ies? [see MD-715, II(E)]			x		The CFTC does not have systems in place to accurately collect, monitor, and analyze recruitment activities.				
E.4.a.4. External and intern disability status? [see MD-7	al applicant flow data concerning the applicants' race, national ori 15, II(E)]	gin, sex, and		x		The CFTC does not have systems in place to accurately collect, monitor, and analyze external and internal applicant flow data concerning the applicants' race, national origin, sex, and disability status.				
E.4.a.5. The processing of a	equests for reasonable accommodation? [29 CFR §1614.203(d)(4)]	x							
	omplaints for the anti-harassment program? [see EEOC Enforcen ty for Unlawful Harassment by Supervisors (1999), § V.C.2]	ient Guidance on	x							
E.4.b. Does the agency hav Instructions, Sec. I]	e a system in place to re-survey the workforce on a regular basis?	[MD-715		x		The CFTC does not have a system in place to re- survey the workforce on a regular basis.				

	ual Employment Opportunity Commiss FEDERAL AGENCY ANNUAL	ion			
	O PROGRAM STATUS REPORT				
Commodity Futures Trading Commission	For period covering	October	1, 2020 t	o Septen	nber 30, 2021
Agency	Self-Assessment Checklist				
Compliance Indicator			re Has 1 Met		For all unmet measures, provide a
• Measures E.5. The agency identifies and disseminates s its EEO program.	significant trends and best practices in	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report
E.5.a. Does the agency monitor trends in its EEO program to determine wh obligations under the statutes EEOC enforces? [see MD-715, II(E)] If "yes" comments.	ether the agency is meeting its ", provide an example in the	x			Trends in complaint activity are monitored regularly and reported annually.
E.5.b. Does the agency review other agencies' best practices and adopt then effectiveness of its EEO program? [see MD-715, II(E)] If "yes", provide an	n, where appropriate, to improve the a example in the comments.	x			CFTC participates in the Small Agency Council (SAC), and other working groups where EEO best practices are shared.
E.5.c. Does the agency compare its performance in the EEO process to othe [see MD-715, II(E)]	er federal agencies of similar size?	x			

EEOC FORM U.S. Equal Employment Opportunity Commission 715-02 FEDERAL AGENCY ANNUAL PART G EEO PROGRAM STATUS REPORT											
Commodity Futures Trading Commission For period covering	October	1, 2020 t	o Septem	iber 30, 2021							
Agency Self-Assessment Checklist			156								
Essential Element: F Responsiveness and Legal Compliance											
Compliance Indicator	Contraction of the second	re Has 1 Met		For all unmet measures, provide a							
F.1. The agency has processes in place to ensure timely and full compliance with EEOC orders and settlement agreements.	F.1. The agency has processes in place to ensure timely and full compliance with EEOC orders and settlement agreements. Yes No N/A										
F.1.a. Does the agency have a system of management controls to ensure that its officials timely comply with EEOC orders/directives and final agency actions? [see 29 CFR §1614.102(e); MD-715, II(F)]		x		The CFTC does not have a system of management controls to ensure that its officials timely comply with EEOC orders/directives and final agency actions.							
F.1.b. Does the agency have a system of management controls to ensure the timely, accurate, and complete compliance with resolutions/settlement agreements? [see MD-715, II(F)]	x										
F.1.c. Are there procedures in place to ensure the timely and predictable processing of ordered monetary relief? [see MD-715, II(F)]	x	2									
F.1.d. Are procedures in place to process other forms of ordered relief promptly? [see MD-715, II(F)]	x										
F.1.e. When EEOC issues an order requiring compliance by the agency, does the agency hold its compliance officer(s) accountable for poor work product and/or delays during performance review? [see MID-110, Ch. 9(IX) (H)]		X		When EEOC issues an order requiring compliance by the agency the agency does not hold its compliance officer(s) accountable for poor work product and/or delays during performance review.							
				Page 37							

EEOC FO 715-02 PART	2	U.S. Equal Employment Opportunity Commiss FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	sion							
	Commodi	ty Futures Trading Commission For period covering	October	1, 2020 t	o Septem	ber 30, 2021				
Agency Self-Assessment Checklist										
	Compliance Indicator		Measure Has Been Met			For all unmet measures, provide a				
+	Measures	F.2. The agency complies with the law, including EEOC regulations, management directives, orders, and other written instructions.	Yes	No	N/A	brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report				
F.2.a. Does II(E)]	the agency timely	y respond and fully comply with EEOC orders? [see 29 CFR §1614.502; MD-715,	X							
F.2.a.1. Wh appropriate	hen a complainant EEOC hearing of	requests a hearing, does the agency timely forward the investigative file to the ffice? [see 29 CFR §1614.108(g)]	X							
		ng of discrimination that is not the subject of an appeal by the agency, does the ance with the orders of relief? [see 29 CFR §1614.501]	X	3						
		files an appeal, does the agency timely forward the investigative file to EEOC's ? [see 29 CFR §1614.403(e)]	X							
F.2.a.4. Pur documentat	rsuant to 29 CFR { tion for completin	\$1614.502, does the agency promptly provide EEOC with the required g compliance?	x			2 2				
	Compliance Indicator		Measure Has Been Met			For all unmet measures, provide				
	Measures	F.3. The agency reports to EEOC its program efforts and accomplishments.	Yes	No	N/A	a brief explanation in the space below or complete and attach an EEOC FORM 715- 01 PART H to the agency's status report				
	the agency timely (ay 15, 2002), §20	y submit to EEOC an accurate and complete No FEAR Act report? [Public Law)3(a)]	X		9.0					
F.3.b. Does §1614.703(y post on its public webpage its quarterly No FEAR Act data? [see 29 CFR		x		The agency is working on systems and processes to ensure timely posting of quarterly No FEAR Act data.				
r.		Essential Element: O Other								
						Decc. 20				
						Page 38				

EEOC FORM 715-02 PART H	I U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT										
	Commodity I	Futures Trading Co	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021			
				Plan to Attain Esse	ntial Elements						
				PART H	.1						
Brief Description Deficiency:	n of Program	A.2.c.1. EEO comp means by which su			4.102(a)(12) and 1614.102	2(b)(5)] If "yes",	please provide how	v often and the			
The CFTC does	not currently pro	ovide a training to it	s employees or	n the EEO complaint	process.						
	2.5	25 22		Objectives for H	EO Plan						
Date Initiated	Target Date	Date Modified	Date Complet	ted Objective Descr	95.0 70	12.	52 - 140				
02/07/0022	12/31/2023			Provide a trainin	ig to all agency employees	on the EEO cor	nplaint process.				
-				Responsible C	officials						
-	Title Nar					Stand	lards Address the P	lan?			
Chief Diversity	, Equity, Inclusio	on, and EEO Officer	Tanisha Co	ole Edmonds			Yes				
	<u> </u>		weeks of the states	Planned Act	vities						
Target Date	Target Date Planned Activity					Sufficient Staffing & Funding?	Modified Date	Completion Date			
12/31/2023 The agency will launch a new EEO complaint process training for all CFTC employees. The agency will also determine how often employees will need to complete the training, and when new employees will be required to complete it. Yes											
a) 22				Accomplish	ments						
Fiscal					lishment			-			
Year 2021 The ag		1			is awaiting internal review	-					
								Page 39			

EEOC 715 PAR	-02	FEDERAL AGENCY ANNUAL											
		Commodity 1	Futures Trading Co	mmission			For period coverin	g October 1, 20	20 to September 3	0, 2021			
					Plan to Atta	in Essenti	al Elements						
9					P	ART H.2				ţ.			
Brief Des Deficienc		of Program	A.2.b.3. Reasonable comments column.	e accommodat	25 16	100	CFR § 1614.203(d)(3))(i)] If so, please	provide the interne	t address in the			
a second		ot post its reaso	onable accommodati	on procedures	on its public	facing we	bsite.						
					Objective	s for EE	O Plan						
Date Init	iated	Target Date	Date Modified	Date Complet			54.000 EA. 1	16 Par					
07/19/20	22	09/30/0023 Post the agency's reasonable accommodation procedures on its public facing website, once they are approved internally.							website, once				
2				-18 ¹ 8	Respons	sible Offi	icials						
5 ⁰		Title				Name		Stand	lards Address the P	lan?			
2 D		Director		Tomeka G	A DESIGNATION		50000001 C		Yes				
Lauren (Colon			Acting Chi	ief Human C	apital Offic	cer		Yes				
8						ed Activi	ties			7			
Target	t Date		Planned A	Activity			Sufficient Staffing & Funding?	Modified Date	Completion Date				
09/30/00	30/0023 The agency will continue to vet the reasonable accommodation procedures through internal review and will post them when they are complete. Yes												
					Accor	nplishme	ents						
Fiscal					2	Accomplis	hment						
Year 2021	A draft	of the agency's	new reasonable acco	mmodation n	rocedures w	s reviewe	d and found compliant	w the FFOC		1			
2										Page 40			

For period covering October 1, 2020 to September 30, 2021 PART B3 PART B3 Bade Description of Program A 2, e.5. Belaviors that are inappropriate in the workplace and could result in disciplinary action? [S CFR 2503.101(b)] If "yes", place provide how often. Deficitive;	715	EEOC FORMU.S. Equal Employment Opportunity Commission715-02FEDERAL AGENCY ANNUALPART HEEO PROGRAM STATUS REPORT													
PART H.3 Brief Description of Program Deficiency: A.2.c.5. Behaviors that are inappropriate in the workplace and could result in disciplinary action? [5 CFR §2635.101(b)] If "yes", please provide how often. The agency does not inform its employees of behaviors that are inappropriate in the workplace. Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objective Description Objectives for EEO Plan Date Initiated Target Date Modified Date Completed Objective Description Objectives for EEO Plan Date Initiated Target Date Modified Date Completed Objective Description Objectives for EEO Plan Date Initiated Target Date Modified Date Completed Objective Description Objectives for EEO Plan Tritle Responsible Officials Title Name Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activities Title Name Sufficient Staffing & Funding? Objective Solutions that are not appropriate in the workplace. <td <="" colspan="2" td=""><td></td><td></td><td>Commodity</td><td>Futures Trading C</td><td>ommis</td><td>ssion</td><td></td><td></td><td></td><td>For period coveri</td><td>ng October 1, 20</td><td>20 to September 3</td><td>0, 2021</td></td>	<td></td> <td></td> <td>Commodity</td> <td>Futures Trading C</td> <td>ommis</td> <td>ssion</td> <td></td> <td></td> <td></td> <td>For period coveri</td> <td>ng October 1, 20</td> <td>20 to September 3</td> <td>0, 2021</td>				Commodity	Futures Trading C	ommis	ssion				For period coveri	ng October 1, 20	20 to September 3	0, 2021
PART H.3 Brief Description of Program Deficiency: A.2.c.5. Behaviors that are inappropriate in the workplace and could result in disciplinary action? [5 CFR §2635.101(b)] If "yes", please provide how often. The agency does not inform its employees of behaviors that are inappropriate in the workplace. Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objective Description Objectives for EEO Plan Date Initiated Target Date Modified Date Completed Objective Description Objectives for EEO Plan Date Initiated Target Date Modified Date Completed Objective Description Objectives for EEO Plan Date Initiated Target Date Modified Date Completed Objective Description Objectives for EEO Plan Tritle Responsible Officials Title Name Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activities Title Name Sufficient Staffing & Funding? Objective Solutions that are not appropriate in the workplace. <td <="" colspan="2" td=""><td></td><td></td><td>20010</td><td></td><td></td><td>Pl</td><td>an to At</td><td>tain Ess</td><td>ential</td><td>l Elements</td><td>844 - 20 </td><td></td><td></td></td>	<td></td> <td></td> <td>20010</td> <td></td> <td></td> <td>Pl</td> <td>an to At</td> <td>tain Ess</td> <td>ential</td> <td>l Elements</td> <td>844 - 20 </td> <td></td> <td></td>				20010			Pl	an to At	tain Ess	ential	l Elements	844 - 20 		
Brief Description of Program Deficiency: A.2.c.5. Behaviors that are inappropriate in the workplace and could result in disciplinary action? [5 CFR §2635.101(b)] If "yes", please provide how often. The agency does not inform its employees of behaviors that are inappropriate in the workplace. Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objective Description 02/04/2021 Objectives for EEO Plan Title Target Date Officials Title Name Standards Address the Plan? Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Objectives that are not appropriate in Yes Objectives Date Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activities Objectives for EEO Plan Objectives for EEO Plan <td>2</td> <td></td>	2														
The agency does not inform its employees of behaviors that are inappropriate in the workplace. Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objective Description OUD/2021 09/30/2023 Inform agency employees of behaviors that are inappropriate in the workplace. Responsible Officials Title Name Standards Address the Plan? Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Completion Date Objectives for EEO Plan Date Planned Activities Tomeka Gilbert Yes OJ/30/2023 The agency will develop guidance that lists examples of behaviors that are not appropriate in Yes			of Program	A.2.c.5. Behaviors please provide how	that an often	e inapprop	227 - 143 - A		W	and could result in di	sciplinary action	? [5 CFR §2635.10	1(b)] If "yes",		
$\begin{tabular}{ c c c c c } \hline Date Initiated Target Date Date Modified Date Completed Objective Description $$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$	1. 1.2	-	not inform its e	-	A	11. 205	ropriate i	in the wo	orkpla	ice.					
$\begin{tabular}{ c c c c c } \hline Date Initiated Target Date Date Modified Date Completed Objective Description $$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$$															
02/04/2021 09/30/2023 Inform agency employees of behaviors that are inappropriate in the workplace. Responsible Officials Title Name Standards Address the Plan? Acting Executive Director Tomeka Gilbert Yes Acting Chief Human Capital Officer Lauren Colón Yes Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Completion Date 09/30/2023 The agency will develop guidance that lists examples of behaviors that are not appropriate in Yes Ves Image: Completion Date Completion Date Accomplishments Fiscal Year	-					(Objectiv	ves for]	EEO	Plan					
Responsible Officials Title Name Standards Address the Plan? Acting Executive Director Tomeka Gilbert Yes Acting Chief Human Capital Officer Lauren Colón Yes Planned Activities Sufficient Modified Date Completion Date 09/30/2023 The agency will develop guidance that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Completion Date Accomplishments Fiscal Year Accomplishment Yes Image: Completion Date															
Title Name Standards Address the Plan? Acting Executive Director Tomeka Gilbert Yes Acting Chief Human Capital Officer Lauren Colón Yes Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Completion Date Completion Date 09/30/2023 The agency will develop guidance that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Completion Date Accomplishments Fiscal Year Accomplishment															
Acting Executive Director Tomeka Gilbert Yes Acting Chief Human Capital Officer Lauren Colón Yes Planned Activities Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Completion Date 09/30/2023 The agency will develop guidance that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Completion Date Accomplishments Fiscal Year	Responsible Officials														
Acting Chief Human Capital Officer Lauren Colón Yes Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Completion Date 09/30/2023 The agency will develop guidance that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complete that lists examples of behaviors that are not appro	2	NIC 17552	100 100 100 100 100 100 100 100 100 100				1.520	Name	690		Stand	lards Address the P	lan?		
Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Completion Date 09/30/2023 The agency will develop guidance that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Completion Date Accomplishments Fiscal Year		11234 50	23	-							5 (5 (5 (5 (4))))				
Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Completion Date 09/30/2023 The agency will develop guidance that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Completion Date Accomplishments Fiscal Year	Acting C	Chief Hu	theer	La	uren Colón	í					Yes				
Staffing & Funding? Date 09/30/2023 The agency will develop guidance that lists examples of behaviors that are not appropriate in the workplace. Yes Image: Complexity of the second seco											ter Michael W				
09/30/2023 The agency will develop guidance that lists examples of behaviors that are not appropriate in the workplace. Yes Accomplishments Fiscal Year	Target	Target Date Plann					ivity				Staffing &	Modified Date			
Fiscal Accomplishment Year	09/30/20						les of bel	haviors tl	hat <mark>a</mark> r	e not appropriate in	104.0				
Fiscal Accomplishment Year	Accomplishments														
Year	Fiscal														
2021 The agency is working on its pay and performance reform efforts and is planning to integrate this as part of that process.		2500.01		San 6620, 2045		0.925	3538 74 a	Children 100	58 5	14 15 15 15 WALLER	15 63797 (J				

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				PL	an to Attain Essenti	al Elements						
					PART H.4							
Brief Descrij Deficiency:		of Program		planning, recruitm	rticipate in agency m ment strategies, vacar	eetings regarding work ncy projections, success						
EEO program recruitment	m offi strate _f	cials do not re gies, vacancy j	gularly participate in projections, succession	agency meetings on planning, and s	s regarding workforce selections for training	e changes that might in g/career development o	npact EEO issues, pportunities.	, including strategi	ic planning,			
					Objectives for EEG	∩ Dlan						
Date Initiate	ed	Target Date	Date Modified		Objective Descripti							
08/22/2022		09/30/2023			Ensure that EEO pr changes that might EEO issues, includi succession planning	rogram officials particip impact ing strategic planning, 1	recruitment strate		-95808537-97-454,647.			
Responsible Officials												
		Title			Name		Standa	ards Address the P	lan?			
	-	and EEO Office	er	Tanisha Cole Tomeka Gilbe				Yes	,			
Acting Exec	ALCO ALCONE.	man Resource	Officer	Lauren Colón				Yes				
Acting car		Illui iveso a c	Onicci	Damen color	Planned Activities			16				
Target Da	ate			Planned Acti	Planned Activity			Modified Date	Completion Date			
09/30/2023	Č.	The new Chie		O Officer has asses	ssed what additional	nd Women Inclusion. resources are needed 1.	No					
					Accomplishme	ents						
Fiscal Year					Accomplish	hment						
									Page 42			

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	Commodity	Futures Trading Co	ommission		For period coverin	ering October 1, 2020 to September 30, 2021						
			PL	lan to Attain Essent	tial Elements							
		54		PART H.5								
Brief Description Deficiency:	1 of Program		l applicant flow da		g systems for the followi I(E)] If not, please identi							
The CFTC does n workforce demog	not have suffici graphics and ap	ient budget and staffi pplicant flow data.	ng to support the	success of its EEO	program to maintain acc	urate data collec	tion and tracking sy	ystems for				
				ol : fee EI								
Date Initiated	Target Date	Date Modified		Objectives for EE								
08/22/2022	09/30/2023	Date mountee	Date Completes	Ensure the agency	has sufficient budget an for the following types of	id staffing to mai f data: workforc	intain accurate data e demographics an	a collection and d applicant flow				
	4		L	Responsible Off	ficials							
	Title			Name		Stand	lards Address the Pl	lan?				
Chairman	rman Rostin Behnam						Yes					
Target Date			Planned Acti	ities	Sufficient Staffing &	Modified Date	Completion Date					
09/30/2023	The new Chie	nas allocated addition ef Diversity and EEC d additional funding a	O Officer has asses	and Women Inclusion. Il resources are needed m	Funding? No							
	und sub-	a doutitions a second	and Survey - 1-	Accomplishme	a karan	1	<u> </u>					
Fiscal												
								Page 43				

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT										
	Commodity F	utures Trading Co	mmission		For period coverin	g October 1, 20	20 to September 3	0, 2021				
			Pl	an to Attain Essent	al Elements							
in National Statements				PART H.6								
Brief Description Deficiency:	of Program	B.4.a.2. to enable the	ne agency to cond	duct a thorough barri	er analysis of its workfo	orce? [see MD-7	15, II(B)]					
	n does not have s	sufficient resources	to enable the age	ency to conduct a the	rough barrier analysis o	of its workforce.	2					
Objectives for EEO Plan												
Date Initiated Target Date Date Modified Date Completed Objective Description 02/28/2022 09/30/2023 09/30/2023 Allocate sufficient resources to to enable the agency to conduct a thorough barrier analysis												
02/28/2022	09/30/2023			Allocate sufficient its workforce.	resources to to enable the	he agency to con	duct a thorough bar	rrier analysis of				
		2 2		Responsible Off	icials							
87 12	Title			Name		Stand	ards Address the P	lan?				
Chairman			100.000		Yes							
NA WORKS	Ť			Planned Activi	ties	atophiling editorial of the		1000				
Target Date			Planned Act	ivity		Sufficient Staffing & Funding?	Modified Date	Completion Date				
09/30/2023	The new Chief	Diversity and EEC	Officer has asse	Office of Minority a ssed what additional ests for consideration	nd Women Inclusion. resources are needed	No						
2			638	Accomplishme	ents							
Fiscal Year				Accomplis								
h								Page 44				

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	Commodity	Futures Trading Co	mmission		For period coverin	g October 1, 20	20 to September 3	0, 2021					
			P	an to Attain Essent	ial Elements								
				PART H.7									
Brief Description Deficiency:	of Program	B.4.a.6. to publish a [see MD-715, II(B)		O materials (e.g. ha	assment policies, EEO	posters, reasonat	ole accommodation	is procedures)?					
The EEO program procedures.)	n does not have	e sufficient resources	to publish and d	istribute EEO materi	als (e.g. harassment pol	icies, EEO poste	rs, reasonable acco	mmodations					
Objectives for EEO Plan													
Date Initiated	Target Date	Date Modified	Date Completed	Objective Descript									
02/28/2022	09/30/2023	-		harassment policie	ogram has sufficient res s, EEO posters, reasona	ources to publish ble accommodat	h and distribute EE ions procedures.)	O materials (e.g.					
S.				Responsible Off	icials								
Chai	Title		Detter D 1	Name		Stand	ards Address the P	lan?					
Chairman			Rostin Behna				Yes						
Target Date			Planned Act	Planned Activi tivity	ties	Sufficient Staffing &	Modified Date	Completion Date					
09/30/2023	The new Chie	of Diversity and EEC	Officer has asse	Office of Minority a essed what additional ests for consideration	nd Women Inclusion. resources are needed	Funding? No	3						
				Accomplishme	•	<u>.</u>							
Fiscal				Accomplis									
								Page 45					

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	Commodity	Futures Trading Co	ommission		For period coverin	ig October 1, 20	20 to September 3	0, 2021				
			Pla	an to Attain Essent	tial Elements							
		50		PART H.8								
Brief Description Deficiency:	of Program	harassment, religion	ous accommodation	ns, disability accom	raining on the EEO prog nmodations, the EEO con n insufficient funding in t	mplaint process,	and ADR? [see MI					
The EEO program limited to retaliate	n does not have ion, harassmen	e sufficient staffing a t, religious accommo	nd resources to produce to produce to produce the second s	ovide all superviso / accommodations,	ors and employees with the EEO complaint proc	raining on the EI cess, and ADR.	EO program, includ	ing but not				
				Dijectives for EE	C Dlan							
Date Initiated	Target Date	Date Modified		Objective Descrip								
02/28/2022	09/30/2023			Allocate sufficient EEO program, inc	t resources to provide all cluding but not limited to nodations, the EEO comp	retaliation, hara	ssment, religious ad					
				Responsible Off	ficials							
	Title			Name		Stand	lards Address the Pl	lan?				
Chairman			Rostin Behnan			Yes						
Target Date	5		Planned Activ	ities	Sufficient Staffing & Funding?	Modified Date	Completion Date					
09/30/2023	The agency has allocated additional staffing to the Office of Minority and Women Inclusion. The new Chief Diversity and EEO Officer has assessed what additional resources are needed and submitted additional funding and staffing requests for consideration.											
	Accomplishments											
Fiscal Year	Accomplishment											
								Page 46				

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	Commodity	Futures Trading Co	ommission		For period coverin	For period covering October 1, 2020 to September 30, 2021							
			Pla	an to Attain Esse	ntial Elements								
				PART H.	.9								
Brief Description Deficiency:	ı of Program		ole with Disabilitie		programs (such as, Federa ger)? [5 USC § 7201; 38 U								
The EEO program Employment Pro	n does not have gram, and Peor	e sufficient resources ple with Disabilities I	s to effectively adr Program Manager	ninister its specia).	ıl emphasis programs (suc	h as, Federal Wo	men's Program, Hi	spanic					
				Objectives for E	EO Dian								
Date Initiated	Target Date	Date Modified		Objective Descri									
02/28/2022	09/30/2023			Ensure the EEO emphasis program	program has sufficient res ms (such as, Federal Won abilities Program Manager	nen's Program, H	vely administer its Iispanic Employme	special ent Program, and					
				Responsible O									
	Title			Name		Stand	lards Address the Pl	lan?					
Chairman			Rostin Behnar	m			Yes						
Target Date			Planned Acti	Planned Acti ivity	vities	Sufficient Staffing & Funding?	Modified Date	Completion Date					
09/30/2023	The agency h The new Chie and submittee												
				Accomplishr	ments								
Fiscal Year	Accomplishment												
								Page 47					

EEOC FORM 715-02 PART H	I	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT										
	Commodity	Futures Trading Co	ommission		For period coveri	ng October 1, 20	20 to September 3	0, 2021				
			Pla	an to Attain Essent	ial Elements							
				PART H.10	k.							
Brief Descriptio Deficiency:	n of Program	B.5.a.1. EEO comp	laint process? [se	e MD-715(II)(B)]								
Not all manager CFR §1614.102		rs have received orien	ntation, training, a	and advice on their 1	esponsibilities under t	he agency's EEO o	complaint process p	oursuant to 29				
	24	140 - 14	C	Objectives for EE	O Plan							
Date Initiated	Target Date	Date Modified	NAMES AND ADDRESS OF A DESCRIPTION OF A	Objective Descript								
02/07/2022	12/31/2023		nagers and supervisors der the agency's EEO pursuant to 29 CFR §1		entation and trainin	ng on their						
				Responsible Off	icials							
21	Title			Name		Stand	lards Address the P	lan?				
Chief Diversity	, Equity, Inclus	ion, and EEO Officer	Tanisha Cole	Edmonds			Yes					
				Planned Activi	ties							
Target Date			Planned Act	ivity		Sufficient Staffing & Funding?	Modified Date	Completion Date				
12/31/2023	The agency w including sup	vill launch a new EE pervisors and manage	O complaint proc rs, pursuant to 29	bccess training for all agency employees, Yes 29 CFR §1614.102(a)(5). Yes								
				Accomplishme	ents							
Year 2021 The ay	gency has drafte	d a new online EEO	complaint proces	s training that is und	ler internal review.							
								Page 48				

EEOC FOR 715-02 PART H	м	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
	Commodity	Futures Trading C	ommission		For period coverin	g October 1, 202	20 to September 3	60, 2021			
			Pl	an to Attain Essen	tial Elements						
				PART H.1	9						
Brief Descript Deficiency:	on of Program	B.5.a.5. ADR, with associated with uti			t's interest in encouragin	g mutual resolut	ion of disputes and	the benefits			
During FY21, government's	not all managers interest in encour	and supervisors rece aging mutual resolut	ived orientation, t ion of disputes an	raining, and advice d the benefits assoc	on their responsibilities iated with utilizing ADR	regarding ADR,	with emphasis on	the federal			
				Objectives for EI							
Date Initiated	Target Date	Date Modified	Date Completed	Objective Descrip							
09/12/2022	09/30/2023			responsibilities re	nagers and supervisors re garding ADR, with emph al resolution of disputes	asis on the feder	al government's in	nterest in			
				Responsible Of	ficials			11 HI 2 HI 11 K			
10 10	Title			Name		Stand	ards Address the P	lan?			
Acting Execu			Tomeka Gilb	5.9700			Yes	Ĩ			
	ty and EEO Offic	PC1030	Tanisha Cole				Yes				
Acting Chief	Human Capital C	Officer	Lauren Colon		2	Yes					
Target Date			Planned Act	Planned Activities Planned Activity			Modified Date	Completion Date			
09/30/2023	The Chief Di stakeholders	iversity and EEO Off to ensure that all ma	ficer will coordina nagers and superv	te with the training isors receive training	office and other ag on ADR.	Funding? Yes					
. .			0 1	Accomplishm	•	ŝ		l,			
Fiscal				Accompli							
Year				i.€.							

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	Commodity	Futures Trading C	ommission		For period covering	overing October 1, 2020 to September 30, 2021						
			Pl	an to Attain Esse	ntial Elements							
		10		PART H.I	2							
Brief Description Deficiency:	n of Program	B.5.a.2. Reasonabl	le Accommodation	n Procedures? [see	29 CFR § 1614.102(d)(3)]						
During FY21, no procedures.	ot all managers	and supervisors had	received orientati	on, training, and a	dvice on their responsibil	ities under the ag	ency's reasonable a	accommodation				
Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objective Description												
Date Initiated	Target Date	Date Modified										
09/15/2022	09/30/2023			y managers and superviso ble accommodation proce	ors receive orienta edures.	tion, training, and	advice on the					
-02	25 1222			Responsible O	fficials	552 55	Van 6945451 - 1055 - 105					
A	Title		Tr. 1 0.11	Name		Standa	ards Address the P	lan?				
Acting Executiv		fficer	Tomeka Gilb Lauren Colór	Check the			Yes					
Chief Diversity	1000 0000 C C-0000		Tanisha Cole			Yes						
			vities									
Target Date			Planned Act	Planned Activities Planned Activity			Modified Date	Completion Date				
09/30/2023	The CFTC w includes reas	ill schedule an EEO onable accommodat	compliance traini	ng for supervisors	and managers that	Funding? Yes						
				Accomplishr	nents							
Fiscal Year				Accomp	10.004 eV							

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT										
	Commodity I	Futures Trading Co	ommission		For period coverin	vering October 1, 2020 to September 30, 2021						
			Pla	an to Attain Essenti	al Elements							
				PART H.13								
Brief Description Deficiency:	of Program	C.3.b.1. Resolve El	EO problems/disa	greements/conflicts,	including the participat	tion in ADR pro	ceedings? [see MD	-110, Ch. 3.I]				
The agency does n conflicts, includin	not require rating the participat	ng officials to evaluation in ADR proceed	ate the performance lings.	ce of managers and s	supervisors based on the	eir ability to reso	lve EEO problems/	/disagreements/				
		11 11.	C	Objectives for EE	O Plan							
Date Initiated	Target Date	Date Modified	Date Completed	Objective Descripti								
02/04/2020	09/30/2023	0			ials to evaluate the period ve EEO problems/disag							
l. <u></u>				Responsible Offi	cials							
20 	Title		land and a second second	Name		Stand	ards Address the P	lan?				
Acting Chief Hu	A91 / 0	ficer	Lauren Colón	05			Yes					
Acting Executive	Director		Tomeka Gilbe	ert			Yes					
Target Date			Planned Acti	Planned Activities Planned Activity			Modified Date	Completion Date				
09/30/0023		e performance form a ay and performance			e completed as part of	Funding? Yes						
	and affented a b			Accomplishme	nte		11					
Fiscal				Accomplisi								
Year				recompils	linent							
					rm process, including e	xamining the EE	O and DEIA langu	age that other				
agencies	s nave integrate	ed into their supervis	ory raungs system	ns.								

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT ommodity Futures Trading Commission For period covering October 1, 2020 to September 30, 2021									
	Commodity	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021			
			F	lan to Attain Esse	ential Elements						
				PART H.	14						
Brief Descriptio Deficiency:	n of Program			ssess its component	t and field offices on their schedule for conducting at			workplace? [see			
The agency does	s not regularly a	ssess the efforts of th	ne regional offic	es to remove barrie	rs from the workplace.						
Objectives for EEO Plan											
Date Initiated	Target Date	Date Modified		d Objective Descr							
08/22/2022	09/30/2023			Start to regularly barriers from the	y assess the CFTC's compo e workplace.	ment and field o	ffices on their effor	ts to remove			
2			44	Responsible O	officials						
5 ⁰	Title			Name		Stand	lards Address the P	lan?			
Chief Diversity	and EEO Offic	er	Tanisha Col	e Edmonds			Yes				
10				Planned Acti	ivities						
Target Date			Planned Ac	etivity		Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/2023		versity and EEO Off rriers from the work		assess the CFTC's regional offices on their efforts Yes							
				Accomplish	ments						
Fiscal					olishment			2			

II(C)] make reasonable ef Iodified Date Con Tanish Plann icer will start to con	ts to comp dations of	Stand	ndations of the field	d audit? [see yet currently easonable effort						
II(C)] make reasonable ef Iodified Date Con Tanish Plann icer will start to con	ts to comp dations of	f the field audit, as the component and field of ns.	e field audits do not ffices can make a re dards Address the P	yet currently						
II(C)] make reasonable ef Iodified Date Con Tanish Plann icer will start to con	dations of	f the field audit, as the component and field of ns.	e field audits do not ffices can make a re dards Address the P	yet currently						
II(C)] make reasonable ef Iodified Date Con Tanish Plann icer will start to con	dations of	f the field audit, as the component and field of ns.	e field audits do not ffices can make a re dards Address the P	yet currently						
Iodified Date Con Tanish	s so that co	omponent and field of ns. Stand	ffices can make a re dards Address the P	easonable effort						
Tanish Plann icer will start to con	s so that co	ns. Stand	dards Address the P							
Tanish Plann icer will start to con	s so that co	ns. Stand	dards Address the P							
Tanish Plann icer will start to con	s so that co mendation	ns. Stand	dards Address the P							
Plann icer will start to con		Stand		'lan?						
Plann icer will start to con				'lan?						
Plann icer will start to con			Yes	and these						
icer will start to con										
icer will start to con		a								
icer will start to con to comply with the		Sufficient Staffing & Funding?	Modified Date	Completion Date						
	The Chief Diversity Officer will start to conduct field audits to ensure that regional office make a reasonable effort to comply with their recommendations.									
Accomplishments Fiscal Accomplishment										

EEOC FORM 715-02 PART H			U.	FEDERAL A	ent Opportunity Comm AGENCY ANNUAL M STATUS REPORT			
	Commodity F	utures Trading Co	mmission		For period covering	ng October 1, 20	20 to September 3	0, 2021
			Pla	an to Attain Essen	tial Elements			
				PART H.10	5			
Brief Description Deficiency:	of Program	C.4.e.2. Develop an	nd/or conduct out	reach and recruiting	g initiatives? [see MD-7]	15, II(C)]		
The Chief Divers	ity and EEO Off	ficer did not collabo	rate with the HR	office to develop a	nd/or conduct outreach a	and recruiting init	tiatives.	
			C	Objectives for EI	EO Plan			
Date Initiated	Target Date	Date Modified	Date Completed	Objective Descrip				
08/22/2022	09/30/2023			The CFTC's Chief developing and co	f Diversity and EEO Off inducting outreach and r	ficer and HR Offi recruitment initiat	ce will start to coll ives.	aborate on
		2		Responsible Of	ficials			
21 101	Title			Name		Stand	ards Address the P	lan?
Chief Diversity a			Tanisha Cole				Yes	
Acting Chief Hu	-	ficer	Lauren Colón				Yes	
Acting Executive	Director		Tomeka Gilbe	ert			Yes	
				Planned Activ	ities			
Target Date			Planned Act	Planned Activity			Modified Date	Completion Date
09/30/2023	The CFTC's Cl strategy and pr	hief Diversity and E ocess to conduct ou	EO Officer and I treach and recrui	HR Offices will col tment initiatives.	laborate to <mark>develop</mark> a	Yes		
				Accomplishm	ents			
Fiscal Year				Accompli	shment			

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	Commodity	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021				
			Pla	an to Attain Essent	ial Elements							
				PART H.17	4							
Brief Description Deficiency:	on of Program	C.3.b.5. Provide re (7)]	ligious accommo	2 5010 GB 5010	ccommodations do not c	ause an undue h	ardship? [see 29 C	FR §1614.102(a)				
		ing officials to evalu not cause an undue h		ce of managers and	supervisors based on the	eir ability to prov	vide religious accor	nmodations				
- -			(Dijectives for EE	O Plan							
Date Initiated	Target Date	Date Modified	Date Completed	Objective Descript	ion							
02/04/2021	09/30/2023			Require rating offi their ability to prov undue hardship.	cials to evaluate the peri vide religious accommo	formance of man lations when suc	agers and supervis h accommodations	ors based on s do not cause an				
				Responsible Off	icials							
22 22 1939 19393 1944	Title	25015		Name		Stand	ards Address the P	lan?				
2	Iuman Capital O	fficer	Lauren Colón				Yes	2				
Acting Execut	ve Director		Tomeka Gilbe	ert			Yes					
12	ř		55 EX 5	Planned Activi	ties	200022	1					
Target Date			Planned Act	ivity		Sufficient Staffing & Funding?	Modified Date	Completion Date				
09/30/2023		e performance form pay and performance			e completed as part of	Yes		0				
53				Accomplishme	ents							
Fiscal				Accomplis	hment			1				
Year 2021 The a	gency has contir	wed to work on its n	av and performan	ce management refo	rm process, including e	ramining the FF	O and DEIA lanou	age that other				
		ed into their supervis			in process, including ea	vanninnig me EE	O and DEIA langu	age mai omei				
6) (C) (C) (C) (C) (C) (C) (C) (C) (C) (C		20.8						-				
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		Commodity	Futures Trading Co	ommission		For period covering	g October 1, 20	20 to September 3	10, 2021		
				Pla	an to Attain Essentia	l Elements					
					PART H.18						
Brief De Deficien		of Program	C.3.b.9. Comply w Protection Board, la	ith settlement agr abor arbitrators, a	eements and orders is nd the Federal Labor	sued by the agency, EI Relations Authority? [EOC, and EEO-1 see MD-715, II(related cases from (C)]	he Merit Systems		
The age orders is	ncy does ssued by f	not require rati he agency, EE	ng officials to evalua OC, and EEO-related	te the performand l cases from the N	ce of managers and su Merit Systems Protect	pervisors based on the ion Board, labor arbitra	ir ability to com ators, and the Fe	ply with settlemen deral Labor Relation	t agreements and ons Authority.		
36				C	Dijectives for EEC						
Date In	0.046.0000000	Target Date	Date Modified	Date Completed							
02/04/2	021	09/30/2023			their ability to comp	als to evaluate the perf ly with settlement agre ses from the Merit Syst ions Authority.	ements and orde	ers issued by the ag	gency, EEOC,		
19				01	Responsible Offic	cials					
		Title			Name		Stand	ards Address the P	lan?		
		man Capital O	fficer	Lauren Colón				Yes			
Acting	Executiv	e Director		Tomeka Gilbe	ert			Yes			
		1			Planned Activiti	ies		1			
Targ	Planned Activity Sufficient Modified Date Constraints Staffing & Funding? Funding?						Completion Date				
09/30/2	2023		e performance form a bay and performance		l are anticipated to be orm initiative.	completed as part of	Yes				
					Accomplishmer	nts					
Fiscal Year					Accomplish	ment					
2021	The age agencie	ncy has contin s have integrat	ued to work on its pa ed into their supervis	and performant sory ratings system	ce management reform ms.	m process, including ex	xamining the EE	O and DEIA langu	age that other		
-											

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	Commodity	Futures Trading C	ommission		For period coveri	ng October 1, 20	20 to September 3	0, 2021			
2			P	lan to Attain Esse	ntial Elements						
		50		PART H.I	9						
Brief Description Deficiency:	of Program	C.1.a. Does the age §1614.102(c)(2)] I	ency regularly as f "yes", please p	sess its component rovide the schedule	and field offices for poss for conducting audits in	sible EEO program the comments set	m deficiencies? [section.	e 29 CFR			
The CFTC does 1	ot regularly as	sess its component a	nd field offices t	for possible EEO p	ogram deficiencies.						
6											
		12		Objectives for E	EO Plan						
Date Initiated	Target Date	Date Modified	Date Complete	d Objective Descri	ption	1.10441 8455					
08/22/2022	09/30/2023			Start to regularly deficiencies.	assess the CFTC's comp	oonent and field o	ffices for possible l	EEO program			
2				Responsible O	fficials						
8	Title			Name		Stand	lards Address the P	lan?			
Chief Diversity	Officer		Tanisha Cole				Yes				
12.2110 0.024 M			STATE SALES	Planned Acti	vities	53 (33) 632/300 14	47 (1997) (1997) (1997) (1997) (1997) (1997) (1997) (1997) (1997)	at a state of the second			
Target Date	Planned Activity					Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/2023	The Chief Di EEO program	versity and EEO Off a deficiencies.	icer will assess t	offices for possible	Yes						
50 98				Accomplish	nents						
Fiscal Year				Accomp	lishment			3.			

EEOC FORM 715-02 PART H	M U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT											
	Commodity	Futures Trading Co	ommission		For period coverin	ng October 1, 20	20 to September 3	0, 2021				
			P	lan to Attain Essenti	al Elements							
	T 1956 M			PART H.20	ler.							
Brief Description Deficiency:	of Program	C.4.e.1. Implement	the Affirmative	Action Plan for Indiv	viduals with Disabilities	s? [see 29 CFR §	1614.203(d); MD-7	715, II(C)]				
	e EEO office di	d not collaborate wit	h the HR office	to implement the Affi	rmative Action Plan fo	r Individuals wit	h Disabilities.					
	_	-		Objectives for EE	O Plan							
Date Initiated	Target Date	Date Modified	Date Completed	d Objective Descript								
08/22/2022	09/30/2023				iversity Officer and the Plan for Individuals w		borate to implement	nt the				
				Responsible Offi	cials							
8) 12	Title			Name	2004/04/04/02/01	Stand	ards Address the P	lan?				
Acting Chief Hu		2 1 2 7 8 - 2 1 C 3 4	Lauren Coló				Yes					
Chief Diversity		er	Tanisha Cole				Yes					
Acting Executiv	e Director		Tomeka Gilb				Yes					
Target Date			Planned Ac	Planned Activi tivity	ties	Sufficient Staffing & Funding?	Modified Date	Completion Date				
09/30/2023												
				Accomplishme	ents	2	S2					
Fiscal Accomplishment Year												
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	Commodity	Futures Trading Co	mmission	For	period coverin	g October 1, 202	20 to September 3	0, 2021			
			Pla	an to Attain Essential Elem	nents						
				PART H.21							
Brief Description Deficiency:	of Program			a firewall between the Anti-I Effective Anti-Harassment I			EEO Director? [se	e EEOC Report,			
The CFTC has no	t established a	firewall between the	Anti-Harassmen	t Coordinator and the EEO I	Director.						
				Dbjectives for EEO Plan	\$						
Date Initiated	Target Date	Date Modified	Date Completed	Objective Description	2			0			
08/22/2022	09/30/2023		\$	Establish a Firewall betwee	en the Anti-hara	assment Coordina	itor and the EEO D	arector.			
Ke.	m 'il		-	Responsible Officials	- P						
Chief Diversity a	Title	or	Tanisha Cole	Name		Stand	ards Address the P Yes	an?			
Chief Diversity a							105				
Target Date	Planned Activities arget Date Planned Activity					Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/2023	The Chief Diversity and EEO Officer will assess a way to establish a firewall between the Anti-harassment Coordinator and the EEO Director.					Yes					
a	~~			Accomplishments		2	C) ()				
Fiscal	Fiscal Accomplishment Year										

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	Commodity	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021					
			Pla	an to Attain Esser	ntial Elements								
				PART H.2	2								
Brief Descriptio Deficiency:		recognition awards practices for system Sec. I]	s program, employ nic barriers that m	netables/schedules ee development/tr ay be impeding fu	to review at regular inter aining programs, and ma all participation in the pro	nagement/person gram by all EEO	nel policies, proce groups? [see MD-	dures, and 715 Instructions,					
employee devel	s not have establ opment/training by all EEO grou	programs, and mana	igement/personnel	l policies, procedu	its merit promotion prog res, and practices for syst	ram, employee re emic barriers tha	t may be impeding	program, full participation					
				5946 1 158 1 1 15 1 1 1 1 1 1 1 1 1 1 1 1 1									
				Objectives for E									
Date Initiated	Target Date	Date Modified	Date Completed	Objective Descri	IN DECEMBER OF THE DESCRIPTION OF THE		00 80 0000 S	27.84387 PAD7					
08/22/2022	09/30/2023			promotion progra programs, and m	c establishes timetables/sc am, employee recognition anagement/personnel poli ding full participation in	awards program cies, procedures	, employee develo , and practices for	pment/training					
				Responsible O	fficials								
Title Name						Stand	ards Address the P	lan?					
Chief Diversity	and EEO Offic	er	Tanisha Cole	Edmonds			Yes						
	Capital Officer		Lauren Colón	8		Yes							
Acting Executi	ve Director		Tomeka Gilbe	ert			Yes						
				Planned Activ	vities								
Target Date	•		Planned Acti	Planned Activity			Modified Date	Completion Date					
09/30/2023	review at reg program, emp procedures, a	ular intervals its mer ployee development/	it promotion prog training programs	nd a process for establishing timetables/schedules to romotion program, employee recognition awards ning programs, and management/personnel policies, c barriers that may be impeding full participation in the									
-e				Accomplishn	nents								
Fiscal Year				Accompl									
								Page 60					

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	Commodity	Futures Trading C	ommission	- 54	For period covering	ng October 1, 20	20 to September 3	0, 2021					
			Pla	an to Attain Essenti	al Elements								
				PART H.23									
Brief Description Deficiency:	n of Program				ttles cases in which a f ost mortem to discuss l								
The agency doe discrimination (s not inform ma or settles cases i	nagers and superviso n which a finding wa	ors about the discr as likely).	iminatory conduct (e	.g., post mortem to dis	cuss lessons lear	ned) if it has a find	ing of					
			(Objectives for EE	O Plan								
Date Initiated	Target Date	Date Modified		Objective Descripti									
08/22/2022	09/30/2023			Start to inform mar discuss lessons lear was likely.)	agers and supervisors ned) if it has a finding	about discrimina of discrimination	tory conduct (e.g. p 1 (or settles cases in	oost mortem to a which a finding					
			-	Responsible Offi	cials								
27 1000000000000000000000000000000000000	Title		- 15 525 (1985)-7	Name		Stand	lards Address the P	lan?					
Chief Diversity	and EEO Offic	er	Tanisha Cole	Edmonds	1.10		Yes						
-				Planned Activi	ties								
Target Date	t Date Planned Activity Sufficient Modif Staffing & Funding?							Completion Date					
09/30/2023		ns learned) if it has a			(e.g. post mortem to ases in which a	Yes							
0 		There		Accomplishme	nts								
Fiscal				Accomplis									
								Page 61					

EEOC FORM 715-02 PART H	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT										
	Commodity I	Futures Trading Co	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021			
			P	lan to Attain Essen	tial Elements						
Brief Description	of Program	C.2.a.4. Does the a	gency ensure that	PART H.2- at the EEO office inf	• orms the anti-harassmen	t program of all	EEO counseling ac	tivity alleging			
Deficiency:	"t wat angura the	harassment? [See E			of all EEO counseling ac	tivity alloging h	aracemont				
The agency doesn	it yet ensure in		uomis uie anu-n	arassment program	or all EEO coursening ac	uvity aneging in	arassincin.				
				Objectives for El	C Plan						
Date Initiated	Target Date	Date Modified	CARLS THE CARLS IN A REAL PROPERTY.	d Objective Descrip	10						
02/07/2022	09/30/2023				ffice informs the anti-ha	harassment program of all EEO counseling activity					
		21 - 21	44	Responsible Of	ficials						
2	Title		2	Name		Stand	lards Address the P	lan?			
Chief Diversity,	Equity, Inclusio	on and EEO Officer	Tanisha Col				Yes				
····	ř.			Planned Activ	ities	Sufficient					
Target Date	Target Date Planned Activity						Modified Date	Completion Date			
09/30/2023	09/30/2023 The agency will examine its policies and procedures as well as consider internal standard operating procedures for the OMWI office to determine what changes may need to be made to comply with this requirement.							5			
-				Accomplishm	ents						
Fiscal Year				Accompli	shment						
								Page 62			

EEOC I 715- PAR	-02		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT											
		Commodity]	Futures Trading C	omm	ission			For period covering	ng October 1, 20	20 to September 3	0, 2021			
					Pla	an to Attain	ı Essent	ial Elements						
						PAF	RT H.25				2			
Brief Des Deficienc		of Program				ely access t	o accura	te and complete data (e workforce data tables?			orce, applicants,			
The Agen	ncy is un	able to provide	the EEO office wit	h all o	of the accura	te data poin	ts neede	d for the MD-715 repor	t.	.138800				
2,														
					C	bjectives	for EE	O Plan						
Date Initi	iated	Target Date	Date Modified	Date	e Completed	Objective	Descript	ion						
04/10/202	20	09/30/2023				Create sys	tems nee	eded to accurately colle	ct all data points	required for the MI	D-715 report.			
	22		92. 9		2	Responsi	ble Off	icials						
40 21		Title				N	Vame		Stand	ards Address the P	lan?			
		man Resources	Officer	-	lauren Colón					Yes				
2. C.		e Director		100	Comeka Gilbe					Yes				
Chief Da	ata Offic	er		1	Tammy Roust					Yes				
8						Planned	l Activi	ties						
Target	t Date	2			Planned Acti	vity			Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/20	09/30/2023 The Human Resources Branch will reach out to employees on a regular basis to encourage employee self-identification and ensure that all of the quantitative workforce data provided to the EEO office is accurate and will work to establish practices for collecting required data under it's purview where such practices may not already be in place. OMWI will develop an education campaign around the importance of self-identification													
-						Accom	olishme	ents						
Fiscal							complis							
		s has been mad d to the EEO o		that v	vas not previ	ously provi	ded in F	Y20: for example, the r	equired MD-715	separation data is 1	now being			
-	provide		ince.											
											Page 63			

EEOC FORM 715-02 PART H	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT										
	Commodity	Futures Trading Co	ommission		For period coverin	ng October 1, 202	20 to September 3	0, 2021			
			Pla	an to Attain Essent	ial Elements						
				PART H.26				50 			
Brief Description Deficiency:	of Program	C.2.a.6. Do the age CFR §1614.203(d)(terials on its anti-ha	rassment policy include	e examples of disa	ability-based haras	sment? [see 29			
The agency's train	ning materials	on its anti-harassmen	t policy do not in	clude examples of d	isability based harassm	ent.					
			(Objectives for EE	O Plan						
Date Initiated	Target Date	Date Modified	Date Completed	Objective Descript	100000 100 000	74. · · 7487					
02/10/2022	12/31/2023			Ensure that the age disability-based ha	ncy's training materials rassment.	s on its anti-harass	sment policy inclu	de examples of			
			- pha	Responsible Off	icials						
	Title		2	Name	0	Stand	ards Address the P	lan?			
Acting Chief Human Capital Officer Lauren Colón							Yes				
Acting Executive Director Tomeka Gilbert							Yes				
Planned Activities											
Target Date			Planned Act		Sufficient Staffing & Funding?	Modified Date	Completion Date				
12/31/2023	Once the ager will update it harassment as	ncy finalizes its pend s existing training ma re included.	Yes								
				Accomplishme	ents						
Fiscal				Accomplis							
								Page 64			

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
	Commodity	Futures Trading Com	nmission		For period coverin	ng October 1, 202	20 to September 3	0, 2021			
			Pla	an to Attain Essent	ial Elements						
				PART H.27	2						
Brief Description Deficiency:	of Program				table of penalties that of ration, 5 MSPR 280 (19		tory conduct? [see	29 CFR			
The agency does	not have a disc	ciplinary policy and/or t	table of penaltie	es that covers discri	ninatory conduct.						
			C	bjectives for EE	O Plan						
Date Initiated	Target Date	Date Modified D	- The sector of a sector of the	Objective Descript							
02/17/2022	12/31/2023			Ensure that the age discriminatory con	ency has a disciplinary p duct.	policy and/or tabl	e of penalties that o	covers			
	-		2 18	Responsible Off	icials						
S.	Title		6	Name		Stand	ards Address the P	lan?			
Acting Chief Hu		officer	Lauren Colón				Yes				
Acting Executive			Tomeka Gilbe				Yes				
General Counsel			Rob Schwartz	5 200-0000 - 100 - 200 - 200 - 200 - 200 - 200 - 200 - 200 - 200 - 200 - 200 - 200 - 200 - 200 - 200 - 200 - 200	200		Yes				
Target Date			Planned Acti	ties	Sufficient Staffing &	Modified Date	Completion Date				
12/31/2023	The agency will review and update its disciplinary policy and/or table of penalties to ensure										
	that they exp	licitly cover discriminat	tory conduct.								
-				Accomplishme							
Fiscal Year				Accomplis	shment						

EEOC FORM 715-02 PART H			U.,	FEDERA	L AGI	Opportunity Commi ENCY ANNUAL STATUS REPORT	ission		
	Commodity	Futures Trading C	ommission			For period coverin	g October 1, 20	20 to September 3	80, 2021
			Pla	an to Attain Ess	sential	Elements			
			2 - 2 - 2 - 2 - 2 - 2 - 2 - 2 - 2 - 2 -	PART H	H.28				Ş
Brief Description Deficiency:	of Program	including those init 0120123232 (May	tially raised in the 21, 2015); Compl	rompt inquiry (EEO complaint ainant v. Dep't	(beginn it proces of Defe	ing within 10 days of ss? [see Complainant ense (Defense Comm imely-processed inqu	v. Dep't of Vete ussary Agency),	erans Affairs, EEO EEOC Appeal No.	C Appeal No.
The agency does complaint proces		prompt inquiry (begi	nning within 10 d	ays of notification	ion) of a	all harassment allega	tions, including	hose initially raise	d in the EEO
~			0	biastivas for	FEO	Dlan			
Date Initiated	Target Date	Date Modified	Date Completed	bjectives for					
02/07/2022	09/30/2023	Date Modified	Date Completed	Ensure the age	ency co	nducts a prompt inqu s, including those ini	iry (beginning w	rithin 10 days of no	tification) of all
				Responsible			and y fulses in a	te EEO complaint	process.
3	Title		ŝ	Name			Stand	ards Address the P	lan?
Acting Chief Hu	man Capital O	fficer	Lauren Colón					Yes	
Acting Executiv			Tomeka Gilbe	ert				Yes	ž
Chief Diversity,	Equity, Inclusi	ion and EEO Officer	Tanisha Cole	Tanisha Cole Edmonds				Yes	-
10	-			Planned Ac	ctivitie	s	2		
Target Date Planned				vity			Sufficient Staffing & Funding?	Modified Date	Completion Date
09/30/2023	approved inte	lraft anti-harassme consider internal s he EEO complaint	tandard operation	ing proc		Yes			
				Accomplish	hment	s	2		
Fiscal				10	nplishn	C.			
Year						rg 15450			0
5°									Page 66

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		Commodity I	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021				
				Pla	an to Attain Essenti	al Elements							
					PART H.29								
Brief De Deficien		of Program			ervisors have effectiv [see MD-715 Instruc	e managerial, commun tions, Sec. I]	ication, and inte	rpersonal skills to	supervise in a				
The ager manager	icy does 1 ial, comm	not require ration nunication, and	ng officials to evalu interpersonal skills	ate the performan to supervise in a	ce of managers and s workplace with diver	upervisors on their abil rse employees.	ity to ensure sub	ordinate superviso	rs have effective				
а; 36				(Dbjectives for EEC) Plan							
Date Init	tiated	Target Date	Date Modified	Date Completed	Objective Descripti	on							
02/04/20)21	09/30/2023			Require rating offic activities listed in C	ials to evaluate the pert .3.b1-C.3.b.9	formance of man	agers and supervis	ors based on the				
5				-	Responsible Offi	cials							
Statisticanist	2010-01-02-00-0	Title			Name		Stand	ards Address the P	lan?				
	ANGAS (COLSERS)	Director		Tomeka Gilb				Yes					
Acting	Chief Hui	nan Capital Of	ficer	Lauren Colón	19 19	8.11		Yes					
	02225-02	-		24224	Planned Activit	ies	120122731						
Targe	get Date Planned Activity						Sufficient Staffing & Funding?	Modified Date	Completion Date				
09/30/2	023		e performance form ay and performance			completed as part of	Yes						
					Accomplishme	nts							
Fiscal					Accomplis	nment							
Year 2021	The see	nov has continu	und to work on its n	av and performan	co management refor	m process, including ex	ramining the FF	O and DEIA Janou	age that other				
2021			ed into their supervis			in process, including ea	samining the EE	o and DEAN langu	age mat outer				
									Page 67				

Commodity Putures Trading Commission For period covering October 1, 2020 to September 20, 2021 Plan to Attale Executial Elements PART H.30 Brief Description of Program Definitory C.3.8.8. Support the anti-harassment program in anvestigating and correcting harassing conduct?. [see Enforcement Guidance, V. On the agency does not require ruling officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program investigating and correcting harassing conduct?. Data Instand Target Date Objectives for EEO Plan Data Instand Objectives for EEO Plan Data Instand Target Date Date Modified Objective for EEO Plan Beer shally to support the saft harassment program in investigating and correcting harassing conduct. Target Date Date Modified Date Completel Objectives Saft is standards Address the Plan? Acting Chef Human Cupital Officer Lauren Colón Yes Acting Chef Human Cupital Officer Target Date Ves Planneed Activities Saffricert Ves Target Date Planneed Activities Saffricert Opietor Saffricer Responsible to be completed as part of the agency's pay and performance form are anderyare and are anthicipated to be completed as part of the agency's	EEOC 715 PAR		M U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
PART H.30 Brief Description of Program Deficiency: C.3.b.8. Support the anti-harassment program in investigating and correcting harassing conduct?. [see Enforcement Guidance, V.O. The agency does not require rating officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program investigating and correcting harassing conduct. Objectives for EEO Plan Date Initiated 00jective Description 02/04/2021 Objectives for EEO Plan Date Modified Date Completed 00jective Description 02/04/2021 Objectives for EEO Plan Colspan="2">Colspan="2">Date Modified Date Modified Date Completed 00jective Description 02/04/2021 Objectives for EEO Plan Colspan="2">Colspan="2"			Commodity	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021		
Brief Description of Program Deficiency: C.3.b.8. Support the anti-harassment program in investigating and correcting harassing conduct?. [see Enforcement Guidance, V.O. The agency does not require rating officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program investigating and correcting harassing conduct. Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objective Description 02/04/2021 09/30/2023 Require rating officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program in investigating and correcting harassing conduct. Responsible Officials Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objective Description 02/04/2021 Officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program in investigating and correcting harassing conduct. Responsible Officials Title Name Standards Address the Plan? Acting Executive Director Tomeka Gilbert Yes Planned Activity Sufficient Staffing & Funding? <td colspa<="" td=""><td></td><td></td><td></td><td></td><td>Pl</td><td>an to Attain Essen</td><td>tial Elements</td><td></td><td></td><td></td></td>	<td></td> <td></td> <td></td> <td></td> <td>Pl</td> <td>an to Attain Essen</td> <td>tial Elements</td> <td></td> <td></td> <td></td>					Pl	an to Attain Essen	tial Elements				
Brief Description of Program Deficiency: C.3.b.8. Support the anti-harassment program in investigating and correcting harassing conduct?. [see Enforcement Guidance, V.O. The agency does not require rating officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program investigating and correcting harassing conduct. Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objective Description 02/04/2021 09/30/2023 Require rating officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program in investigating and correcting harassing conduct. Responsible Officials Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objective Description 02/04/2021 Officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program in investigating and correcting harassing conduct. Responsible Officials Title Name Standards Address the Plan? Acting Executive Director Tomeka Gilbert Yes Planned Activity Sufficient Staffing & Funding? <td colspa<="" td=""><td></td><td></td><td></td><td></td><td></td><td>PART H.3</td><td></td><td></td><td></td><td></td></td>	<td></td> <td></td> <td></td> <td></td> <td></td> <td>PART H.3</td> <td></td> <td></td> <td></td> <td></td>						PART H.3					
investigating and correcting harassing conduct. Investigating and correcting harassing conduct. Date Initiated Target Date Date Modified Date Completed Objectives for EEO Plan Date Initiated Target Date Date Modified Date Completed Objective Description 02/04/2021 09/30/2023 Image: Conduct. Require rating officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program in investigating and correcting harassing conduct. Responsible Officials Title Name Standards Address the Plan? Acting Chief Human Capital Officer Lauren Colón Yes Acting Executive Director Tomeka Gilbert Yes Planned Activities Sufficient Sufficient Target Date Planned Activity Sufficient Sufficient 09/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of Yes Yes Image: Standards Accomplishments Standards Accomplishment 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other			of Program	C.3.b.8. Support th	e anti-harassment			rassing conduct?	. [see Enforcement	Guidance, V.C.2]		
Date Initiated Target Date Date Modified Date Completed Objective Description 02/04/2021 09/30/2023 09/30/2023 Require rating officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program in investigating and correcting harassing conduct. Responsible Officials Title Name Standards Address the Plan? Acting Chief Human Capital Officer Lauren Colón Yes Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? O9/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. Accomplishments Fiscal Year Q201 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other	The agen investiga	cy does ting and	not require rati correcting hara	ng officials to evalu assing conduct.	ate the performan	ce of managers and	supervisors based on the	eir ability to supp	port the anti-harass	ment program in		
Date Initiated Target Date Date Modified Date Completed Objective Description 02/04/2021 09/30/2023 09/30/2023 Require rating officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program in investigating and correcting harassing conduct. Responsible Officials Title Name Standards Address the Plan? Acting Chief Human Capital Officer Lauren Colón Yes Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Ony/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. Yes Completion Date Accomplishments Fiscal Year Q201 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other	i.											
02/04/2021 09/30/2023 Require rating officials to evaluate the performance of managers and supervisors based on their ability to support the anti-harassment program in investigating and correcting harassing conduct. Responsible Officials Title Name Standards Address the Plan? Acting Chief Human Capital Officer Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Completion Date 09/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. Yes Image: Accomplishments Accomplishments Fiscal Year 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other	-	2.92.13	100 C		DOLL ON STATE LINE (1958)	a contra service and the service servi						
their ability to support the anti-harassment program in investigating and correcting harassing conduct. Responsible Officials Title Name Standards Address the Plan? Acting Chief Human Capital Officer Lauren Colón Yes Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Modified Date Completion Date Og/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. Yes Accomplishments Fiscal Year 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other	Contraction of the second s	(1996) (1996) (1996) (1996) (1996) (1996) (1996) (1996) (1996) (1996) (1996) (1996) (1996) (1996) (1996) (1996)		Date Modified	Date Completed							
Title Name Standards Address the Plan? Acting Chief Human Capital Officer Lauren Colón Yes Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Date Completion Date 09/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. Yes Image: Completion of the agency's pay and performance management reform initiative. Accomplishments Yes Output to work on its pay and performance management reform process, including examining the EEO and DEIA language that other	02/04/20	21	09/30/2023			their ability to sup conduct.	port the anti-harassment	program in inve	agers and supervisestigating and corre	ors based on cting harassing		
Acting Chief Human Capital Officer Lauren Colón Yes Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Completion Date 09/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. Yes Image: Colored to the completed as part of the agency's pay and performance management reform initiative. Accomplishments Fiscal Year Accomplishment 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other						Responsible Of	ficials					
Acting Executive Director Tomeka Gilbert Yes Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Completion Date 09/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. Yes Image: Completed as part of the agency's pay and performance management reform initiative. Accomplishments Fiscal Year 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other		14040 1000000	10,000,000					Stand	ards Address the P	lan?		
Planned Activities Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Completion Date 09/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. Yes Image: Completed as part of the agency's pay and performance management reform initiative. Accomplishments Fiscal Year 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other		124 1285	1 N AND 2 N	fficer	10 mm 1000 100 1000	1.5			(45.4)			
Target Date Planned Activity Sufficient Staffing & Funding? Modified Date Completion Date 09/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. Yes Image: Completed as part of Yes Yes Accomplishments Fiscal Year 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other	Acting I	Executive	e Director		Tomeka Gilb	ert			Yes			
Staffing & Funding? Date 09/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative. Yes Image: Complete as part of Yes Yes Accomplishments Fiscal Year 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other	-					Planned Activ	ities		*			
the agency's pay and performance management reform initiative. Accomplishments Fiscal Accomplishment Year 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other	Targe	t Date			Planned Act	Planned Activity			Modified Date	Completion Date		
Fiscal Year Accomplishment 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other								Yes				
Year 2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other						Accomplishm	ents					
2021 The agency has continued to work on its pay and performance management reform process, including examining the EEO and DEIA language that other	Fiscal					Accompli	shment					
	A CONTRACTOR OF A CONTRACT	10.0.04		No.54) 345 - 4652	4% Deta 1		W LVA NOT	and the state				
	2021						orm process, including e	xamining the EE	O and DEIA langu	age that other		

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				Plan to Attain Ess	sential	Elements					
				PART H	H.31						
Brief Description Deficiency:	of Program	C.2.b. Has the ager guidance? [see 29 (ble acc	ommodation procedu	ures that comply v	with EEOC's regul	ations and		
The agency has n	ot established o	disability reasonable	accommodatio	on procedures that c	comply	with EEOC's regula	ations and guidan	ice.			
				Objectives for	EEO	Plan					
Date Initiated	Target Date	Date Modified	Date Complet	ted Objective Desc	10.00	Statute 10	- 1732 N	10 10 100 1			
02/08/2021	09/30/2023			Establish disabi regulations and		easonable accommod ince.	lation procedures	that comply with the	ae EEOC's		
».	5-144-0-760-784			Responsible (Offici	als	174400		- 196		
<u>8</u>	Title		_	Name	е		Stand	lards Address the P	lan?		
Acting Executiv			Tomeka Gi	12No/Quetter				Yes			
General Counsel Rob Schwartz Acting Chief Human Capital Officer Lauren Colón								Yes			
Acting Chief Hu	man Capitai O	Incer	Lauren Cor	200000 00 00 00		k		Ies			
Target Date			Planned A	Planned Activities Planned Activity				Modified Date	Completion Date		
09/30/2023	EEOC's feedl	ent its draft procedure back regarding the pro- accordance with the	rocedures on 2/	8/2021. The agency	cy will	update its	Funding? Yes				
	IF			Accomplish	2	er oli	1	<u>1,</u> 1			
Fiscal				Accom		0.0					
Year									2		
									Page 69		

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				Pla	an to Attain Essent	ial Elements						
			6		PART H.32							
Brief De Deficien		of Program	guidance? [see MD	-715, II(C); Enfor	mprehensive anti-ha rcement Guidance o 915.002, § V.C.1 (.	rassment policy and pro n Vicarious Employer I June 18, 1999)]	ocedures that con Liability for Unla	nply with EEOC's wful Harassment b	enforcement y Supervisors			
			arassment article in EEOC's enforcement		gaining agreement, t	he agency has not estab	lished a comprel	hensive anti-harass	ment policy and			
				0	biastives for EE	O Blan						
Date Init	tiated	Target Date	Date Modified	Charles and the second	Objectives for EE							
02/04/20	22.55	09/30/2023			Though the agency agency has not esta	has an anti-harassment blished a comprehensiv EOC's enforcement guid	e anti-harassme					
			ł		Responsible Off	icials						
		Title			Name		Stand	ards Address the P	lan?			
Acting Executive Director Tomeka Gilbert								Yes				
	Counsel		05	Rob Schwartz Lauren Colón				Yes				
								Yes				
Targe	Target Date Planned A				Planned Activi vity	ties	Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/2023 The agency's anti-harassment policy and procedures EEOC's enforcement guidance.					s will be updated to	comply with the	Yes					
	-				Accomplishme	ents						
Fiscal Year					Accomplis	hment						
2021			a drafting an update t policy and procedure			edures and researched p	ractices from oth	er agencies. The a	₃ency's new			
									Page 70			

EEOC F 715-0 PART	02	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
		Commodity	Futures Trading C	ommission		For period coverin	ng October 1, 20	20 to September 3	10, 2021		
				PI	an to Attain Essentia	al Elements					
			-0		PART H.33						
Brief Desc Deficiency		of Program				e action to prevent or on Vicarious Employe					
Though the before it ris	e agenc ses to t	y has an anti-l he level of unl	narassment article in awful harassment.	the collective bar	rgaining agreement, th	ere is no requirement	for corrective ac	tion to prevent or e	liminate conduct		
				2		DI					
Date Initia	ated	Target Date	Date Modified	1	Objectives for EEC						
02/04/2023		09/30/2023	Date Mounieu	Date Completee	Include a requireme	nt within the anti-hara level of unlawful hara	ssment policy to assment.	prevent or elimina	te conduct		
	577				Responsible Offic	cials					
		Title			Name		Stand	lards Address the P	lan?		
General Counsel Rob Schwartz							Yes				
Acting Executive Director Tomeka Gilbert					-		Yes				
Acting Ch	Acting Chief Human Resources Officer Lauren Colón							Yes			
20.					Planned Activit	ies	Б				
Target I	Date			Planned Act	livity		Sufficient Staffing & Funding?	Modified Date	Completion Date		
02/04/202	02/04/2023 The agency will update its anti-harassment policy/procedures to include a requirement to prevent or eliminate conduct before it rises to the level of unlawful harassment.										
					Accomplishmen	nts					
Fiscal					Accomplish	ment					
Year 2021 T	The age narassm	ncy worked or ent policy and	n drafting an update l procedures are bein	to its anti-harassn g reviewed intern	nent policy and proceenally.	dures that includes this	s requirement. T	he agency's update	d draft anti-		
									Page 71		

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
	Commodity]	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021			
			1	Plan to Attain Essent	ial Elements						
		0		PART H.34	it i						
Brief Description Deficiency:	n of Program	C.2.c.1. Does the a CFR §1614.203(d)	ngency post its p (5)(v)] If "yes",	procedures for process , please provide the in	ing requests for Personal ternet address in the con	l Assistance Ser uments column.	vices on its public v	vebsite? [see 29			
The agency does	not post its pro	cedures for processi	ing requests for	Personal Assistance S	ervices on its public wel	osite.					
6											
				Objectives for EE	O Plan						
Date Initiated	Target Date	Date Modified	Date Complete	ed Objective Descript			25 5 5				
02/04/2021	09/30/0023	2		The agency will po on its public websi	ost its procedures for pro te.	cessing requests	s for Personal Assis	tance Services			
-				Responsible Off	icials						
<u>.</u>	Title			Name		Stand	ards Address the P	lan?			
Acting Executiv			Tomeka Gi	25020-214			Yes				
General Counse		<u>م</u>	Rob Schwa	(D):			Yes				
Acting Chief Hu	iman Capital Of	mcer	Lauren Col	2,510 2,9450 will be 10 a			Yes				
Target Date			Planned A	Planned Activi ctivity	ttes	Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/2023	personal assis	ceived notice from t tance services proce e in the final stages	edures were in c		Yes						
- 6	I	6		Accomplishme							
Fiscal				Accomplis	1.0010.7						
								Page 72			

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT										
	Commodity	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021				
			I	Plan to Attain Essenti	al Elements							
		-		PART H.35								
Brief Description Deficiency:	ı of Program				ing requests for persona executive orders, guidar							
The agency has 1	ot established p	procedures for proce	ssing personal a	ssistance services that	comply with EEOC's r	egulations and g	uidance.					
				Objectives for EE	O Plan							
Date Initiated	Target Date	Date Modified	Date Complete	ed Objective Description	516 S16							
02/08/2021	09/30/0023			Establish procedure regulations and gui	es for processing person dance.	al assistance ser	vices that comply v	vith EEOC's				
	Responsible Officials											
<u>2</u>	Title	Stand	lards Address the Pl	lan?								
General Counse	1		Rob Schwar	rtz			Yes					
Acting Executiv	LINE DURING TO D		Tomeka Gil	224			Yes					
Acting Chief Hu	uman Capital O	fficer	Lauren Cold	ón	10		Yes					
-				Planned Activi	ties							
Target Date			Planned Ad	ctivity		Sufficient Staffing & Funding?	Modified Date	Completion Date				
09/30/2023	personal assis	stance services proce	edures were in co	s draft reasonable acco ompliance on 9/11/202	1. The draft	Yes						
-	procedures at	e in the imai stages	of internal revie	4.59	nce they are finalized.		<u>l </u>					
Fiscal				Accomplishme Accomplis	0068.7							
Year				Accompus	linem							
2								Page 73				

EEOC FORM 715-02 PART H	E.	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
	Commodity	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021			
			Pla	an to Attain Essent	ial Elements						
				PART H.36							
Brief Descriptio Deficiency:	n of Program	C.3.b.6. Provide di (8)]	sability accommo	25 99 59051 57	accommodations do not	cause an undue l	ardship? [see 29 (CFR §1614.102(a)			
		ing officials to evalu not cause an undue h		ce of managers and	supervisors based on the	eir ability to prov	ride disability acco	mmodations			
			(bjectives for EE	O Plan						
Date Initiated	Target Date	Date Modified	Date Completed	Objective Descript	ion			2			
02/04/2021	09/30/2023			Require rating offi their ability to pro- an undue hardship	cials to evaluate the perivide disability accommo	formance of man dations when su	agers and supervis ch accommodation	ors based on s do not cause			
				Responsible Off	icials						
10 	Title			Name	· · · · · · · · · · · · · · · · · · ·	Stand	ards Address the P	lan?			
Acting Executiv	and a second of the st	CC	Tomeka Gilbe Lauren Colón	2.4720			Yes				
Acting Chief H	uman Capital O	fficer			Yes						
<u>**</u>			ties	10000	Î.	· · · · · · · · · · · · · · · · · · ·					
Target Date			Planned Act	ivity		Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/2023		e performance form pay and performance	e completed as part of	Yes							
150				Accomplishme	ents						
Fiscal				Accomplis	hment			2			
		ued to work on its particular to work on its particular to their supervision of the super			rm process, including ex	xamining the EE	O and DEIA langu	age that other			
								Page 74			

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
	Commodity :	Futures Trading Co	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021			
			Pla	an to Attain Esser	itial Elements						
				PART H.3	7						
Brief Description Deficiency:	of Program	C.3.b.2. Ensure full [see 29 CFR §1614		mployees under hi	s/her supervision with EE	O officials, such	as counselors and	investigators?			
The agency does n under their superv	not require rations with EEC	ng officials to evalua O officials, such as c	ate the performance ounselors and inv	ce of managers and estigators.	l supervisors based on the	eir ability to ensu	re full cooperation	of employees			
			C	bjectives for E	EO Plan						
Date Initiated	Target Date	Date Modified		Objective Descrip							
02/04/2021	09/30/2023			their ability to en	ficials to evaluate the perf sure full cooperation of er counselors and investigat	mployees under					
			-	Responsible Of	fficials						
12 12	Title			Stand	ards Address the P	lan?					
Acting Executive	and the second second second		Tomeka Gilbe	6.472%-			Yes				
Acting Chief Human Capital Officer Lauren Colón							Yes				
Planned Activities											
Target Date			Planned Acti		Sufficient Staffing & Funding?	Modified Date	Completion Date				
09/30/2023		e performance form a pay and performance			be completed as part of	Yes					
				Accomplishn	nents						
Fiscal				Accompl	EXCOLUE D						
Year	955		35 550		S 22 24			2242 (N 45)			
2021 The age	ncy has contin s have integrate	ued to work on its pa ed into their supervis	ay and performant sorv ratings system	ce management rei ns	form process, including ex	xamining the EE	O and DEIA langu	age that other			
agencies	s have integrate	ed into their supervis	sory ratings system	ns.				Расе 75			

EEOC F 715- PART	02	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
		Commodity F	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021		
				Pla	an to Attain Essent	tial Elements					
					PART H.38	1					
Brief Desc Deficiency		of Program	C.3.b.3. Ensure a w	orkplace that is f		of discrimination, includi	ng harassment a	nd retaliation? [see	MD-715, II(C)]		
			ng officials to evalua ng harassment and re		ce of managers and	supervisors based on the	eir ability to ensu	ire a workplace tha	t is free from all		
			11g 11	(Objectives for EE	O Plan					
Date Initia	ated	Target Date	Date Modified	Date Completed	Objective Descript						
02/04/202	21	09/30/2023	2 2	2		icials to evaluate the per- ure a workplace that is fi taliation					
					Responsible Off	ficials					
20.		Title		¥	Name	-	Stand	ards Address the P	lan?		
Acting Executive Director Tomeka Gilbert								Yes			
Acting Cl	Acting Chief Human Capital Officer Lauren Colón							Yes			
		6			Planned Activ	ities					
Target	Date			Planned Act	ivity		Sufficient Staffing & Funding?	Modified Date	Completion Date		
09/30/202	09/30/2023 Updates to the performance form are underway and are anticipated to be completed as part of the agency's pay and performance management reform initiative.										
89 Hz					Accomplishme	ents					
Fiscal					Accompli	shment					
Year 2021	The age agencies	ncy has continu s have integrate	ued to work on its pa ed into their supervis	ay and performan sory ratings system	ce management refo ms.	orm process, including e	xamining the EF	O and DEIA langu	age that other		
									Page 76		

EEOC FO 715-0 PART	2	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT										
		Commodity F	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021			
				Pla	an to Attain Essent	ial Elements						
					PART H.39							
Brief Descr Deficiency:		of Program	C.3.b.7. Support th	e EEO program ii		noving barriers to equal	opportunity?. [s	ee MD-715, II(C)]	e I			
		not require ratin riers to equal op		ate the performan	ce of managers and s	supervisors based on the	eir ability to supp	port the EEO progra	am in identifying			
-												
			the sta	(Objectives for EE	O Plan						
Date Initiat	ted	Target Date	Date Modified	Date Completed	Objective Descript							
02/04/2021	1	09/30/2023			Require rating offic their ability to supp opportunity.	cials to evaluate the performed by the EEO program in the EEO program in the EEO program in the text of tex of text of tex	formance of mar 1 identifying and	agers and supervis removing barriers	ors based on to equal			
					Responsible Off	icials						
20 10		Title			Name		Stand	lards Address the P	lan?			
Acting Exe	Server'	THE SOLL DOWNED HINGS	145 m	Tomeka Gilbo				Yes				
Acting Chi	ief Hu	man Capital Of	ficer	Lauren Colón	Ú.			Yes				
-		0			Planned Activi	ties						
Target I	Target Date Pl				ivity		Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/2023			performance form ay and performance			e completed as part of	Yes					
×7 50					Accomplishme	ents						
Fiscal					Accomplis	hment						
			ed to work on its p d into their supervis			rm process, including e	xamining the EE	O and DEIA langu	age that other			
									Page 77			

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT								
	Commodity	Futures Trading C	ommission	For period cove	d covering October 1, 2020 to September 30, 2021					
			PI	an to Attain Essential Elements						
				PART H.40						
Brief Description Deficiency:	n of Program	D.4.d. Has the ager targeted disabilities	ncy taken specific s employed at the	steps that are reasonably designed to inc agency until it meets the goals? [see 29	crease the number of CFR §1614.203(d)(f persons with disa 7)(ii)]	bilities or			
The CFTC has n until it meets the		c steps that are reaso	nably designed to	increase the number of persons with dis	abilities or targeted	disabilities employ	yed at the agency			
-				Objectives for EEO Plan			1			
Date Initiated	Target Date	Date Modified	Date Completed			1. d	4			
08/22/2022	09/30/2023			Ensure the CFTC has taken specific ste of persons with disabilities or targeted goals.						
				Responsible Officials						
87	Title		Stand	ards Address the P	lan?					
Chief Diversity			Tanisha Cole	Edmonds		Yes				
Acting Chief H		Officer	Lauren Colór			Yes				
Acting Executiv	ve Director		Tomeka Gilb			Yes				
23	1			Planned Activities						
Target Date			Planned Act	ivity	Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/2023	personal assi	stance services proce	dures were in con	draft reasonable accommodation and npliance on 9/11/2021. The draft and will be posted once they are finalized once they are f	Yes					
				Accomplishments	3 ¹					
Fiscal Year				Accomplishment						

EEOC FORM 715-02 PART H					t Opportunity Commi ENCY ANNUAL I STATUS REPORT			
	Commodity F	Futures Trading Co	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021
	3032			Plan to Attain Essentia	l Elements			
				PART H.41				
Brief Description Deficiency:				e or more barriers during lanned activities? [see M		did the agency in	nplement a plan in	Part I, including
While the CFTC	THE DUILT AND ME IN		and the second s	of the target dates were m	11 11 11 11 11 11 11 11 11 11 11 11 11			
				Objectives for EEC	Plan			
Date Initiated	Target Date	Date Modified	Date Comple	ted Objective Description	on			
08/22/2022	09/30/2023			Implement the plans	in Part I, and work to	ensure the target	dates are met.	
-				Responsible Offic	cials			
Construction of the second	Title		Second PARA LANK	Name		Stand	ards Address the P	lan?
Chief Diversity :	and EEO Office	r	Tanisha C	ole Edmonds	15		Yes	
	2×			Planned Activiti	es		r	
Target Date			Planned A	Activity		Sufficient Staffing & Funding?	Modified Date	Completion Date
09/30/2023 Implement the plans in Part I, and work to ensure the ta				re the target dates are me	b .	Yes		
		0210 00		Accomplishmer	its			
Fiscal				Accomplish				
Year								

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT										
	Commodity	Futures Trading Co	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021				
			P	lan to Attain Essen	tial Elements							
				PART H.4	2							
Brief Description Deficiency:	of Program	E.3.d. Does the age [see MD-110, Ch		anagement official w	rith settlement authority i	s accessible duri	ng the <mark>dispute res</mark> ol	ution process?				
The CFTC does n	not ensure a ma	and the second states of	ATA THE REAL PROPERTY AND A REAL PROPERTY AND	thority is accessible	during the dispute resolu	ition process.						
	-			Objectives for El	EO Plan							
Date Initiated	Target Date	Date Modified	Date Complete	d Objective Descrip	otion							
08/22/2022	09/30/2023			Ensure that a mar resolution process	agement official with se s.	ttlement authorit	y is accessible duri	ng the dispute				
2			45	Responsible Of	ficials							
	Title			Name		Stand	lards Address the Pl	an?				
Acting Executiv			Tomeka Gil				Yes					
General Counsel			Robert Schv Tanisha Col				Yes					
Chief Diversity :	and EEO Office	er	Tamsna Col		<u></u>		Yes					
Target Date			Planned Ac	Planned Activ tivity	ines	Sufficient Staffing & Funding?	Modified Date	Completion Date				
09/30/2023		ment official with se			nt next steps to ensure ng the dispute	Yes						
				Accomplishm	ients		······					
Fiscal				Accompl								
S								Page 80				

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT Commodity Futures Trading Commission For period covering October 1, 2020 to September 30, 2021								
	Commodity	Futures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021		
-			P	lan to Attain Essent	ial Elements					
		10		PART H.43	8					
Brief Description Deficiency:	of Program	E.3.b. Does the age	ency require man	agers and supervisor	s to participate in ADR	once it has been	offered? [see MD-7	/15, II(A)(1)]		
The CFTC does n	not require mar	agers and supervisor	rs to participate i	n ADR once it has be	een offered.					
				Objectives for EE	O Plan					
Date Initiated	Target Date	Date Modified	Date Complete	d Objective Descript	020078 AS	100 fuel 101		17 17		
08/22/2022	09/30/2023			Ensure that the CF been offered.	TC requires managers a	nd supervisors to	o participate in ADI	₹ once it has		
				Responsible Off	icials					
27 22	Title			Name		Stand	lards Address the Pl	an?		
Acting Executiv	CHILL CONTRACTOR AND A		Tomeka Gill	1997 CH A1:	-		Yes			
General Counsel		- 1938	Robert Schw	ADD			Yes			
Chief Diversity	and EEO Offic	er	Tanisha Cole				Yes			
Target Date			Planned Ac	Planned Activi tivity	ities	Sufficient Staffing & Funding?	Modified Date	Completion Date		
09/30/2023	The Chief Di	versity and EEO Off nagers and superviso	icer will coordin	ate with OGC and H	R to implement policy een offered.	Yes				
-	11			Accomplishme	• 05.8425.4 × 6.5.3 ± 84.40425.4 5	2	1 1			
Fiscal				Accomplis						
Year				*						
								Daga 81		

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
	Commodity	Futures Trading Co	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021			
			Pl	an to Attain Essen	itial Elements						
				PART H.44	4						
Brief Description Deficiency:	of Program	E.4.a.4. External an MD-715, II(E)]	nd internal applica	8.95 192	erning the applicants' race	e, national origin	ı, sex, and disability	/ status? [see			
The CFTC does n national origin, se		ms in place to accurate	ely collect, monit	or, and analyze ext	ternal and internal applica	ant flow data con	cerning the applica	nts' race,			
·			C	Objectives for EI	EO Plan						
Date Initiated	Target Date	Date Modified		Completed Objective Description							
08/22/2022	09/30/2023			Ensure that the CFTC has systems in place to accurately collect, monitor, and analyze ext and internal applicant flow data concerning the applicants' race, national origin, sex, and disability status.							
				Responsible Of	ficials						
en Mariantzatur Maria I. (* 1848)	Title			Name		Stand	lards Address the P	lan?			
Chief Data Offic	NOVE CONTRACTOR		Tammy Roust				Yes				
Acting Executive			Tomeka Gilbe	0.4910A			Yes				
Acting Chief Hu Chief Diversity a	and the second sec		Lauren Colon Tanisha Cole				Yes				
Ciller Diversity a	IIIU EEU OIIR	er	Tanisha Cole	a s v	I		105				
Target Date			Planned Acti	Planned Activities Planned Activity			Modified Date	Completion Date			
09/30/2023	policy and/or	iversity and EEO Offi r procedures to collec ing applicants' race, n	ct, monitor, and an	nalyze external and	internal applicant flow	Funding? Yes					
		0.11	13 <i>6</i> 53	Accomplishm		<u>.</u>	<u> </u>				
Fiscal				Accompli							
								Page 82			

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
	Commodity Fu	utures Trading C	ommission		For period coverin	g October 1, 20	20 to September 3	0, 2021			
			P	lan to Attain Essent	tial Elements						
	10			PART H.45	2						
Brief Description Deficiency:	n of Program H	E.3 f. Does the age	ncy annually eva	luate the effectivene	ss of its ADR program?	[see MD-110, C	^c h. 3(II)(D)]				
The CFTC does	not annually evalu	uate the effectiven	ess of its ADR pr	rogram.							
Date Initiated	Target Date	Date Modified	Date Completed	1 Objective Descript		1012201220) - 1012220					
08/22/2022 09/30/2023 Annually evaluate the effectiveness of the CFTC's ADR program.											
8	Responsible Officials Title Name Standards Address the Plan?										
General Counse	Title		Rob Schwart	Name		Stand	ards Address the P Yes	lan?			
	ıman Capital Offi	cer	Lauren Coló				Yes				
Acting Executiv			Tomeka Gilt	201			Yes				
	and EEO Officer		Tanisha Cole	ado-tha			Yes				
				Planned Activ	ities						
Target Date			Planned Ac			Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/2022	The Chief Dive for annual evalu	rsity and EEO Off ation of the effect	icer will work w iveness of its AI	ith appropriate office DR program.	es to develop a process	Yes		5			
	Accomplishments										
Fiscal Year				Accompli	shment						
								Page 83			

EEOC FORM 715-02 PART H	t l	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
	Commodity	Futures Trading C	ommission		For period covering	ng October 1, 20	20 to September 3	0, 2021			
			Pl	an to Attain Esser	itial Elements						
				PART H.4	6						
Brief Description Deficiency:	n of Program	E.4.b. Does the age	ency have a system		vey the workforce on a 1	regular basis? [M	D-715 Instructions	, Sec. I]			
The CFTC does	not have a syste	em in place to re-sur	vey the workforce	on a regular basis	8						
			(Dbjectives for E	EO Plan						
Date Initiated	Target Date	Date Modified		Objective Descri							
08/22/2022	09/30/2023	21 21			has a system in place to	re-survey the wo	orkforce on a regula	r basis.			
	18 1		÷	Responsible Of	fficials			-			
9.	Title		3	Name		Stand	ards Address the P	lan?			
Acting Chief H	uman Capital O	officer	Lauren Colon	1			Yes				
Acting Executiv	ve Director		Tomeka Gilb	ert			Yes	Ī			
Chief Diversity	and EEO Offic	er	Tanisha Cole	Edmonds			Yes	2			
				Planned Activ	vities						
Target Date			Planned Act	ivity		Sufficient Staffing & Funding?	Modified Date	Completion Date			
09/30/2023	The CFTC w workforce on	ill assess and start to a regular basis.	implement next s	steps to create a sy	stem to re-survey the	Yes					
	Accomplishments										
Fiscal				Accompl							
2								Page 84			

EEOC FORM 715-02 PART H			U.	S. Equal Employment Opportunity Comm FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT			
	Commodity	Futures Trading Co	mmission	For period covering	ng October 1, 20	20 to September 3	0, 2021
		0		an to Attain Essential Elements		Ċ.	
			772	PART H.47			
Brief Description	of Program	E 3 c Does the Are	ancy ancourage a	ll employees to use ADR, where ADR is a	propriate? [See]	MD_110 Ch 3(TV)	(C)]
Deficiency: The CETC does r	ot on oourooo a				propriate: [See 1	110-110, CH. 5(1V)	
The CFTC does 1	ot encourage a	Ill employees to use A	ADR, WHELE ADI				
Date Initiated	Target Date	Date Modified		Objectives for EEO Plan Objective Description			
08/22/2022	09/30/2023	Dute mounied	Due completed	Ensure that the CFTC encourages all emp	loyees to use AD	R, where ADR is a	ppropriate.
		4		Responsible Officials			
	Title		3	Name	Stand	ards Address the P	lan?
Chief Diversity	and EEO Office	er	Tanisha Cole	Edmonds		Yes	
				Planned Activities			
Target Date Planned Activity				ivity	Sufficient Staffing & Funding?	Modified Date	Completion Date
09/30/2023 The Chief Diversity Officer will assess and start to implement next steps to ensure that the CFTC encourages all employees to use ADR, where ADR is appropriate.				Yes			
				Accomplishments			
Fiscal Year				Accomplishment			

EEOC FORM 715-02 PART H			U	S. Equal Employment Opportuni FEDERAL AGENCY AN EEO PROGRAM STATUS I	NUAL		
	Commodity	Futures Trading Co	ommission	For perio	d covering October 1,	2020 to September 3	30, 2021
			P	lan to Attain Essential Elements			
				PART H.48			
Brief Description Deficiency:	of Program	E.3.a. Has the agen process? [see 29 Cl		n ADR program for use during both	h the pre-complaint and	formal complaint sta	ges of the EEO
The CFTC has no	t yet establish	ed an ADR program	for use during bo	oth the pre-complaint and formal co	omplaint stages of the E	EO process.	
				Objectives for EEO Plan			
21 22	Target Date	Date Modified	Date Completed	d Objective Description			2455
08/22/2022	09/30/2023			Establish an ADR program for u of the EEO process.	ise during both the pre-c	omplaint and formal	complaint stages
2	000002002			Responsible Officials	1.200		9. W
di (D)	Title	220	T. 1	Name	Sta	ndards Address the P	Plan?
Chief Diversity a	nd EEO Offic	er	Tanisha Cole			Yes	
0 7211111225 M	2			Planned Activities	50 (50) (52) (50) (50)		
Target Date Planne			Planned Ac	tivity	Sufficient Staffing & Funding?	Modified Date	Completion Date
09/30/2023	The Chief Di establish an A	versity and EEO Off ADR program and sta	icer will assess v art to implement	what resources and steps are needed them.			
				Accomplishments			
Fiscal				Accomplishment			2

EEOC FORM 715-02 PART H		FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT										
	Commodity I	Futures Trading C	ommissio	n		For period covering	ng October 1, 202	20 to September 3	30, 2021			
				Pla	an to Attain Es	sential Elements						
					PART H	1.49						
Brief Description Deficiency:	n of Program	E.4.a.3. Recruitme	nt activitie	es? [see	MD-715, II(E)]							
The CFTC does	not have system	s in place to accurat	ely collec	ct, monite	or, and analyze	recruitment activities.						
Objectives for EEO Plan												
Date Initiated	Target Date	Date Modified	Date Con	mpleted	Objective Desc	cription						
08/22/2022	09/30/2023				Ensure that the recruitment act	CFTC has systems in plac ivities.	e to accurately co	llect, monitor, and	analyze			
					Responsible	Officials						
12 12000000 100000 00000 00000	Title		2 2 1 2 2 1 1 2 2 4		Name		Stand	ards Address the P	lan?			
2.	and EEO Office	er			Edmonds			Yes	į			
Chief Risk Offi Acting Executiv	o volova		A. 1987 17 18 1	rd Padul ka Gilbe	65			Yes				
Chief Human C			100	en Colón				Yes				
Planned Activities												
							Completion Date					
09/30/2023	responsible of	versity and EEO Off ficials to develop a ruitment activities.	icer will o process fo	coordina or accura	te with appropri tely, collecting,	ate offices and identified monitoring and	Yes					
55					Accomplis	nments						
Fiscal					Accon	plishment			1			
Year												

EEOC FORM 715-02 PART H			U.	FEDERAL	nent Opportunity Commi AGENCY ANNUAL AM STATUS REPORT					
	Commodity	Futures Trading Co	ommission		For period coverin	ig October 1, 202	20 to September 3	0, 2021		
			Pl	an to Attain Essen	itial Elements					
8				PART H.5	0					
Brief Description Deficiency:	of Program	E.3.e. Does the ager MD-110, Ch. 3(I)]	ncy prohibit the 1	responsible manage	ement official named in th	he dispute from h	aving settlement a	uthority? [see		
The CFTC does r	10t prohibit the	responsible manager	nent official nam	ied in the dispute fr	rom having settlement au	thority.				
Objectives for EEO Plan										
Date Initiated	Target Date	Date Modified	Date Completed	Objective Descrip	otion			ļ.		
08/22/2022	09/30/2023			Ensure the response authority.	nsible management offici	ial named in the c	lispute does not ha	ve settlement		
			45	Responsible Of	ficials					
50 -	Title		8	Name		Stand	ards Address the P	lan?		
Chief Diversity		er	Tanisha Cole				Yes			
Acting Executiv	e Director		Tomeka Gilb	ert			Yes			
				Planned Activ	vities					
Target Date			Planned Act	ivity		Sufficient Staffing & Funding?	Modified Date	Completion Date		
09/30/2023		iversity and EEO Offi o ensure the responsite ent authority.				Yes				
	Accomplishments									
Fiscal				Accompli	0.00 C					
Year										
								Page 88		

EEOC FORM 715-02 PART H	ſ		U.	FEDERAL	nent Opportunity Commi AGENCY ANNUAL AM STATUS REPORT	ssion			
	Commodity	Futures Trading Co	ommission		For period coverin	g October 1, 202	0 to September 3	\$0, 2021	
			PI	an to Attain Esse	ntial Elements				
				PART H.	51				
Brief Description Deficiency:	n of Program	E.4.a.2. The race, r	national origin, se	x, and disability st	atus of agency employees	? [see 29 CFR §1	.614.601(a)]		
	not have system	ns in place to accurat	ely collect, monit	tor, and analyze the	e race, national origin, sex	, and disability st	tatus of agency en	plovees.	
			, ,	, ,	, ,	, ,		1 5	
			(Objectives for E	EO Plan				
Date Initiated	Target Date	Date Modified		Objective Descri					
08/22/2022	09/30/2023			Ensure the CFTC	C has systems in place to a ex, and disability status of	accurately collect f agency employe	, monitor, and ana es.	lyze the race,	
Responsible Officials									
12 12	Title		Standa	ards Address the P	lan?				
2	Human Capital Officer Lauren Colón Diversity Officer Tanisha Cole Edmonds						Yes	7	
Chief Data Off	Diversity Officer Tanisha Cole Edmonds Data Officer Tammy Roust						Yes		
General Couns							Yes		
Planned Activities									
Target Date	Date Planned Activity					Sufficient Staffing & Funding?	Modified Date	Completion Date	
09/30/2023									
		?		Accomplish	nents		<u>.</u>		
Fiscal				Accomp				1	
Year					an see				

EEOC FORM 715-02 PART H	FEDERAL AGENCY ANNUAL								
	Commodity	Futures Trading Co	ommission		For period coverin	ng October 1, 20	20 to September 3	0, 2021	
			Pl	an to Attain Essent	tial Elements				
				PART H.52					
Brief Description Deficiency:	of Program	F.1.e. When EEOC for poor work prod	issues an order reluct and/or delays	equiring compliance during performance	e by the agency, does th review? [see MD-110,	e agency hold its Ch. 9(IX)(H)]	compliance officer	r(s) accountable	
When the EEOC delays during per			ce by the CFTC, the	he CFTC does not h	old its compliance offic	eer(s) accountable	e for poor work pro	duct and/or	
			500						
-				Objectives for EE					
Date Initiated 08/22/2022	Target Date 09/30/2023	Date Modified	Modified Date Completed Objective Description Ensure that when the EEOC issues an order requiring compliance by the CFTC, the holds its compliance officer(s) accountable for poor work product and/or delays due performance review.					C, the CFTC ys during	
	<i>y</i>			Responsible Off	ficials				
8. 89	Title			Name		Stand	ards Address the P	lan?	
Chief Diversity	Diversity and EEO Officer Tanisha Cole Edmonds						Yes		
				Planned Activi	ities	.v:			
Target Date	et Date Planned Activity Sufficient Modified Date C Staffing & Funding?							Completion Date	
09/30/2023	The CFTC will assess and start to implement the next steps that are needed to ensure that when the EEOC issues an order requiring compliance by the CFTC, the CFTC holds its compliance officer(s) accountable for poor work product and/or delays during performance review. One step will include identifying the compliance officer(s).								
				Accomplishme	ents				
Fiscal				Accomplis					
								Page 90	

EEOC FORM 715-02 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT									
	Commodity]	Futures Trading Co	mmission		i.	For period coverin	g October 1, 20	20 to September 3	0, 2021		
			F	lan to Attain H	Essentia	l Elements					
				PART	H.53						
Brief Description Deficiency:	1 of Program	F.1.a. Does the ager and final agency act		em of managem	ent cont	rols to ensure that its (715, II(F)]	officials timely c	omply with EEOC	orders/directives		
The second	not have a system	and the second second	State Streets Market	and the second second	199 B. 199	comply with EEOC of	rders/directives	and final agency a	ctions.		
				Objectives for	or EEO	Plan					
Date Initiated	Target Date	Date Modified	AND THE ADDRESS OF ADDRESS	d Objective De	224 5.0]		
08/22/2022	09/30/2023 Ensure that the CFTC has a system of r comply with EEOC orders/directives and						agement controls inal agency actio	s to ensure that its o ons.	officials timely		
	13	4.5 4.5	49	Responsible	e Offic	ials					
50 	Title		2	Nai	me		Stand	ards Address the Pl	lan?		
	hief Diversity and EEO Officer Tanisha Cole Edmonds							Yes			
General Counse	1		Rob Schwar	tz				Yes			
				Planned A	Activiti	es					
Target Date	ର 						Sufficient Staffing & Funding?	Modified Date	Completion Date		
09/30/2023	The agency will assess and start to implement next steps to ensure that the CFTC has a system of management controls to ensure that its officials timely comply with EEOC orders, directives and final agency actions.						Yes				
				Accompli	ishmen	ts		ð ö			
Fiscal Year					omplish						
									Page 91		

EEOC FORM 715-02 PART H	I U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT								
	Commodity	Futures Trading C	ommission	57 29	For period coveri	ng October 1, 20	20 to September 3	0, 2021	
			P	lan to Attain Esse	ntial Elements				
				PART H.	54				
Brief Description Deficiency:	of Program	F.3.b. Does the age	ency timely post	on its public webp	age its quarterly No FEA	R Act data? [see 2	29 CFR §1614.703	(d)]	
7	not post on its	public webpage its q	uarterly No Fear	data.					
		<u> </u>							
				Objectives for I	EO Plan				
Date Initiated	Target Date	Date Modified		d Objective Descr					
02/17/2022	09/30/2023			Ensure that quar	terly No Fear data is post	ed on he agency's	s public webpage.		
Responsible Officials									
	Title			Name		Stand	lards Address the P	lan?	
		ion and EEO Officer	Tanisha Cole Steven Adan				Yes		
Director of the Office of Public Affairs Steven Adamske Planned Activities							165		
Target Date			Planned Ac		vines	Sufficient Staffing & Funding?	Modified Date	Completion Date	
09/30/2023	09/30/2023 The agency is working on systems and processes to ensure timely posting of quarterly No FEAR Act data.								
21 de				Accomplish	ments		e2. e		
Fiscal Year				Accomp	lishment				

EEOC FORM 715-02 PART I		U.S.	Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT						
	Commodity Fu	tures Trading Commission	For period covering October 1, 2020 to September 30, 2021						
		Plan t	o Eliminate Identified Barriers						
		PART I.1							
Source of the T	rigger:	Workforce Data (if so identi	fy the table)						
Specific Workf		Workforce Data Table - A4							
Table:		the second s							
STATEMENT CONDITION 7 A TRIGGER F POTENTIAL F Provide a brief r describing the co issue. How was the co recognized as a barrier?	THAT WAS OR A BARRIER: narrative ondition at ndition	Lower than expected representation of racial and ethnic minorities in senior-level (grade CT-16 and higher) permanent positions. In FY20, 22% of individuals in CT16+ permanent positions were found to be racial and ethnic minorities, and this rate remained the same in FY21. This rate is less than would be expected because 32% of the CFTC's permanent workforce were racial and ethnic minorities. Further, during FY21: % of senior-level permanent positions were Hispanic or Latino Males, though Hispanic Males were 2.21% of the permanent workforce; % of senior-level permanent positions were Black Males though Black Males were 6.19% of the permanent workforce; % of senior-level permanent positions were Black Females though Asian Females were 5.15% of the permanent workforce.							
STATEMENT	OF	Pareta Carrie							
BARRIER GR		Barrier Group Hispanic or Latino Males							
		Hispanic or Latino Females Black or African American Males Black or African American Females Asian Males Asian Females Native Hawaiian or Other Pacific Islander Males Native Hawaiian or Other Pacific Islander Males Native Hawaiian or Other Pacific Islander Females American Indian or Alaska Native Males American Indian or Alaska Native Males							
		American Indian or Alaska Na	lative Females						
		Two or More Races Males							
		Two or more Races Females							
Barrier Analys Completed?:	is Process	Y							
Barrier(s) Iden	tified?:	Y							
STATEMENT		Barrier Name	Description of Policy, Procedure, or Practice						
IDENTIFIED I Provide a succin of the agency po procedure or practice that I determined to be of the undesired conditional	nct statement blicy, nas been e the barrier	Lack of measures to mitigate potential bias in talent process standard operating procedures	Standard Operating Procedures for talent processes do not actively mitigate barriers and bias. Hiring, performance management, and promotions are highly subjective with no measures to minimize biases. This reduces the ability for CFTC to actively promote DEI through talent processes.						
			Page 93						

PART I				EEO PROGR						
Ċ	Commodity Fut	tures Trading Co	mmission		For perio	For period covering October 1, 2020 to September 30, 2021				
			Plan	to Eliminate Ide	ntified Barrier	5				
		5	Objective	(s) and Date	s for EEO P	lan				
Date T Initiated	arget Date	Sufficient Funding / Staffing?	Date Modified	Date Completed		Objectiv	e Description			
10/01/2016 0	9/30/2024	Yes			Actively mit processes.	igate potential	barriers and bia	ses within taler		
			Re	sponsible Of	fficial(s)	•				
	Title		С.	Name		Star	ndards Address	s The Plan?		
Acting Executiv	51 Hz 6	14 Daministration		12 14	Yes					
Acting Chief Hu	Take and the sec	1.001			Yes					
Chief Diversity, EEO Officer	Equity, Incl	usion and			Yes					
	1	Plan	ned Activitie	es Toward Co	mpletion of	Objective		2		
Target Date		Pla	inned Activit	ies		Sufficient Staffing & Funding?	Modified Date	Completion Date		
03/01/2021		sultant to con de barrier ana		th an	Yes		06/04/0021			
09/30/2023	Variation of the second second	the Diversity			Yes					
09/30/2021	supervisor	rsity and inclu s and employ or supervisors			Yes	2	11/12/2021			
09/30/2023	DEIA strate actions/act	agency-wide egic planning tivities that we senior level p	process, we ve will impleme	ther	Yes					
09/30/2024	Create a d	iversity recrui	tment plan.			Yes				
09/30/2024		ias mitigation ing and selec		nd DEI best pr s.	actices	Yes				
09/30/2024		and strategic		orms to build a attracting dive		Yes				
09/30/2024				ata to better u e potential iss		Yes				
	20		Repo	ort of Accomp	lishments					
Fiscal Year				Acco	mplishmen	s				
2021	Accomplishments During FY21, the agency completed the DEIA study that was announced in FY20 and released a report of the results to the agency's workforce. Chairman Behnam then held an agency-wide townhall focused on DEIA to review and discuss the results with the agency's workforce. Furthermore, the agency announced plans to hire its first Chief Diversity Officer and completed its first mandatory DEIA training for both employees and supervisors. Since the Chief Diversity Officer onboarded in FY22, she has been working closely with the Human Resources Branch to introduce and strengthen bias-mitigation measures within the agency's talent processes.									

EEOC FORM 715-02 PART I	2		<i>U</i> .S	FEDERAL	nent Opportunity Com AGENCY ANNUAL AM STATUS REPOR					
	Commodity Fu	tures Trading Co	mmission		For period cover	ring October 1, 2020 to September 30, 2021				
			Plan to Eliminate Identified Barriers							
				PART I.2						
Source of the	Trigger:	Workforce Da	Contractory Contractory							
Specific Work Table:	cforce Data	Workforce Da	ata Table - A1							
STATEMENT CONDITION A TRIGGER POTENTIAL Provide a brief describing the issue.	THAT WAS FOR A BARRIER:	benchmark of	f 12.98% of the trending upwing trending upwing the state of the state	ne CLF. Neve ards with an in ne total workfo	rtheless, despite ncrease in Hispan prce in FY20 to 3.6	Il FY21 workforce, well below the lower than expected representation, the lic or Latino employment in the total 62% of the total workforce in FY21, an				
	How was the condition recognized as a potential parrier?									
STATEMENT	Г О F	Barrier Group	,							
BARRIER GI	ROUPS:	Hispanic or La	atino Males							
		Hispanic or La	atino Females							
Barrier Analy Completed?:	sis Process	Y								
Barrier(s) Ide	ntified?:	Y								
STATEMENT	APPEN AND AND APPEND	Barrie	r Name		Description of P	olicy, Procedure, or Practice				
IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.			Lack of strategy, resources, transparency, and processes Barriers identified that likely contributed to this trig due to the Coronavirus Pandemic; 2) the lack of fur to diversity recruitment; and 3) the lack of an agend recruitment strategy. Additionally, there are no exp and recruiting programs. Hiring is limited to a few grade, and is done by individual hiring managers w leaves the hiring process open to bias. Additionally at the Commission do not proactively source a dive							
		h.	Objective	(s) and Date	s for EEO Plan					
Date Initiated	Target Date	Sufficient Funding / Staffing?	Date Modified	Date Completed		Objective Description				
07/19/2019	09/30/2024	Yes			Remove barriers female employee	to the workplace for Hispanic male and es.				
			Re	sponsible O	fficial(s)					
	Title		1.8456	Name	onternalisissinte t	Standards Address The Plan?				
Acting Execu	tive Director		Tomeka Gi	lbert		Yes				
Chief Diversi EEO Officer	ty, Equity, Incl	usion and	Tanisha Co	le Edmonds		Yes				
Acting Chief	Human Capita	al Officer	Lauren Col	ón		Yes				

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

09/30/2021 09/30/2023 09/30/2023 09/30/2024 09/30/2024 09/30/2024 09/30/2024 09/30/2024 09/30/2024 09/30/2024 09/30/2024	Planned Activities Toward Completion of Planned Activities Hire a consultant to conduct a DEIA study along with an agency-wide barrier analysis. Make diversity and inclusion training mandatory for supervisors and employees; with additional targeted training required for supervisors. Formalize the Diversity Workgroup The agency will create a DEIA strategic plan. As part of the DEIA strategic planning process, we will identify further actions/activities that we will implement to address potential barriers to Hispanic employees. Integrate bias mitigation measures and DEI best practices into the hiring and selection processes. Use strategic talent acquisitions platforms to build an intentional and strategic approach to attracting diverse applicants. Create a diversity recruitment plan. Continue to analyze applicant flow data to better understand by grade, position, and division, where potential issues may be. During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then hele review and discuss the results with the agency's workforce. Further are supervisors. Since the Chief Diversity Officer onboarded in FN Human Resources Branch to strengthen the agency's diversity	Sufficient Staffing & Funding? Yes Yes Yes Yes Yes Yes Yes Yes Yes Yes	de townhall focu agency annour	used on DEIA to
09/30/2021	agency-wide barrier analysis. Make diversity and inclusion training mandatory for supervisors and employees; with additional targeted training required for supervisors. Formalize the Diversity Workgroup The agency will create a DEIA strategic plan. As part of the DEIA strategic planning process, we will identify further actions/activities that we will implement to address potential barriers to Hispanic employees. Integrate bias mitigation measures and DEI best practices into the hiring and selection processes. Use strategic talent acquisitions platforms to build an intentional and strategic approach to attracting diverse applicants. Create a diversity recruitment plan. Continue to analyze applicant flow data to better understand by grade, position, and division, where potential issues may be. Report of Accomplishments Accomplishments During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then hele review and discuss the results with the agency's workforce. Fu hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FN	Yes Yes Yes Yes Yes Yes Yes Yes Sents announced in F Id an agency-wid urthermore, the datory DEIA train	de townhall focu agency annour	ed a report of the used on DEIA to
09/30/2023 09/30/2023 09/30/2024 09/30/2024 09/30/2024 09/30/2024 09/30/2024 Fiscal Year 2021	supervisors and employees; with additional targeted training required for supervisors. Formalize the Diversity Workgroup The agency will create a DEIA strategic plan. As part of the DEIA strategic planning process, we will identify further actions/activities that we will implement to address potential barriers to Hispanic employees. Integrate bias mitigation measures and DEI best practices into the hiring and selection processes. Use strategic talent acquisitions platforms to build an intentional and strategic approach to attracting diverse applicants. Create a diversity recruitment plan. Continue to analyze applicant flow data to better understand by grade, position, and division, where potential issues may be. Report of Accomplishments Accomplishment During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then hele review and discuss the results with the agency's workforce. Fu hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FN	Yes Yes Yes Yes Yes Yes Yes S nts announced in F Id an agency-wid urthermore, the datory DEIA train	de townhall focu agency annour	ed a report of thused on DEIA to
09/30/2023 09/30/2024 09/30/2024 09/30/2024 09/30/2024 09/30/2024 Fiscal Year 2021	The agency will create a DEIA strategic plan. As part of the DEIA strategic planning process, we will identify further actions/activities that we will implement to address potential barriers to Hispanic employees. Integrate bias mitigation measures and DEI best practices into the hiring and selection processes. Use strategic talent acquisitions platforms to build an intentional and strategic approach to attracting diverse applicants. Create a diversity recruitment plan. Continue to analyze applicant flow data to better understand by grade, position, and division, where potential issues may be. Report of Accomplishments During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then hele review and discuss the results with the agency's workforce. Fu hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FY	Yes Yes Yes Yes Yes Yes announced in F Id an agency-wid urthermore, the datory DEIA train	de townhall focu agency annour	used on DEIA to
09/30/2024 09/30/2024 09/30/2024 09/30/2024 Fiscal Year 2021	DEIA strategic planning process, we will identify further actions/activities that we will implement to address potential barriers to Hispanic employees. Integrate bias mitigation measures and DEI best practices into the hiring and selection processes. Use strategic talent acquisitions platforms to build an intentional and strategic approach to attracting diverse applicants. Create a diversity recruitment plan. Continue to analyze applicant flow data to better understand by grade, position, and division, where potential issues may be. Report of Accomplishments During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then held review and discuss the results with the agency's workforce. Fu hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FY	Yes Yes Yes Yes Yes announced in F d an agency-wid urthermore, the datory DEIA train	de townhall focu agency annour	used on DEIA to
i 09/30/2024 09/30/2024 09/30/2024 Fiscal Year 2021	into the hiring and selection processes. Use strategic talent acquisitions platforms to build an intentional and strategic approach to attracting diverse applicants. Create a diversity recruitment plan. Continue to analyze applicant flow data to better understand by grade, position, and division, where potential issues may be. Report of Accomplishments Accomplishment During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then held review and discuss the results with the agency's workforce. Fu hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FY	Yes Yes Yes Yes nts announced in F Id an agency-wid urthermore, the datory DEIA train	de townhall focu agency annour	used on DEIA to
09/30/2024 09/30/2024 Fiscal Year 2021	intentional and strategic approach to attracting diverse applicants. Create a diversity recruitment plan. Continue to analyze applicant flow data to better understand by grade, position, and division, where potential issues may be. Report of Accomplishments Accomplishment During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then held review and discuss the results with the agency's workforce. Fu hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FY	Yes Yes nts announced in F Id an agency-wid urthermore, the datory DEIA train	de townhall focu agency annour	used on DEIA to
09/30/2024	Continue to analyze applicant flow data to better understand by grade, position, and division, where potential issues may be. Report of Accomplishments Accomplishment During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then held review and discuss the results with the agency's workforce. Fu hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FY	Yes nts announced in F Id an agency-wid urthermore, the datory DEIA train	de townhall focu agency annour	used on DEIA to
Fiscal Year 2021	by grade, position, and division, where potential issues may be. Report of Accomplishments Accomplishment During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then held review and discuss the results with the agency's workforce. Fu hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FY	nts announced in F Id an agency-wid urthermore, the datory DEIA train	de townhall focu agency annour	used on DEIA to
2021	Accomplishmer During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then held review and discuss the results with the agency's workforce. Fu hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FY	nts announced in F ld an agency-wid urthermore, the datory DEIA train	de townhall focu agency annour	used on DEIA to
2021	During FY21, the agency completed the DEIA study that was a results to the agency's workforce. Chairman Behnam then held review and discuss the results with the agency's workforce. Further hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FY	announced in F ld an agency-wid urthermore, the datory DEIA trai	de townhall focu agency annour	used on DEIA to
	results to the agency's workforce. Chairman Behnam then held review and discuss the results with the agency's workforce. Fur hire its first Chief Diversity Officer and completed its first mand supervisors. Since the Chief Diversity Officer onboarded in FY	ld an agency-wie urthermore, the datory DEIA trai	de townhall focu agency annour	used on DEIA to
			en working clos	ployees and

EEOC FORM 715-02 PART I			U.S	5. Equal Employme FEDERAL A EEO PROGRA	GENCY AN	NUAL			
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STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:Lower than expected representation of Black or African Americans, Hispanic or Latinos Males Asian Females at the Executive Level (defined as CT 16 and above and supervisory) in the permanent workforce. Some people of color tend to have lower-than-expected representation Executive positions, while White employees tend to have higher-than-expected representation 41 Executives in the permanent workforce only: % are Hispanic or Latino Male compared to 2.17% of the permanent workforce; % were Black or African American Male compared to 11.0 % are Asian Female compared to 5.07% of the permanent workforce. In contrast, 78.05% of the Executives in the permanent workforce. There were no triggers for A Males or Hispanic Females amongst Executives.STATEMENT OFBarrier Group							 in the esentation in esentation. Of npared to pared to 6.09% red to 11.01% rmanent White, though 		
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EEOC FORM 715-02 PART I			U	S. Equal Employm FEDERAL EEO PROGRA	AGENCY AN	NUAL		
	Commodity Fu	tures Trading Co	mmission		For peri	od covering Octobe	r 1, 2020 to Septemb	oer 30, 2021
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Target Dat	e	Pla	nned Activit	ies		Sufficient Staffing & Funding?	Modified Date	Completion Date
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EEOC FORM 715-02 PART I		FEDERAL AG	t Opportunity Commission ENCY ANNUAL STATUS REPORT
	Commodity Futures Trading Commission		For period covering October 1, 2020 to September 30, 2021
	Plan to	o Eliminate Identii	üed Barriers
		t of Accomplis	
Fiscal Year	ă	Accom	blishments
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EEOC FORM 715-02 PART I			U.S	Equal Employm FEDERAL A EEO PROGRA	AGENCY AN	NUAL		
	Commodity Fu	tures Trading Co	mmission		For peri	od covering October	1, 2020 to Septemb	er 30, 2021
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STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:Lower than expected representation of Females overall, Hispanic or Latina Females, Blac African American Females, White Females, and Asians in management positions (defined and supervisory). Females and people of color tend to have lower-than-expected representation the 90 management positions, while White Males tend to have higher-than-expected representation the 90 managers in the permanent workforce only: 28.89% were Female compared to 41.4 Provide a brief narrative describing the condition at issue.Provide a brief narrative describing the condition at issue.Workforce; 10% were Hispanic or Latina Female compared to 1.47% of the permanent workforce; 21.11% were White Female compared to 23.56% of the permanent workforce; 10% were Black or African American Female compared to 11.19% of the per % were Asian Male compared to 5.3% of the permanent workforce; 10% were White Males, though White Males were only 44.33% of the permanent workforce.STATEMENT OF 						efined as CT15 presentation in sentation. Of to 41.83% of of the anent he permanent % were of managers		
STATEMENT	OF	Barrier Group	,					
BARRIER GR	OUPS:	All Women Hispanic or La White Female Black or Afric Asian Males Asian Females	s an American F	emales				
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715-02 PART I	F	al Employment Opportunity Commission EDERAL AGENCY ANNUAL D PROGRAM STATUS REPORT	
	Commodity Futures Trading Commission	For period covering October 1, 2020 to September 30, 2021	
	Plan to Elin	minate Identified Barriers	

EEOC FORMU.S. Equal Employment Opportunity Commission715-02FEDERAL AGENCY ANNUALPART IEEO PROGRAM STATUS REPORT									
	Commodity Fut	ures Trading Co	mmission		For peri	od covering Octobe	r 1, 2020 to Septemb	er 30, 2021	
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Source of the T	rigger:	Workforce Da	ata (if so ident	tify the table)					
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undesned condi		1	Objective	(s) and Dates	for EEO	Plan			
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Target Date			ned Activitie nned Activit	es Toward Con ies	mpletion o	of Objective Sufficient Staffing & Funding?	Modified Date	Completion Date Page 102	

EEOC FORM 715-02 PART I		FEDERAL AC	nt Opportunity Commission GENCY ANNUAL I STATUS REPORT
	Commodity Futures Trading Commission		For period covering October 1, 2020 to September 30, 2021
	Plan to	o Eliminate Identi	fied Barriers
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EEOC FORM 715-02 PART I		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT					
	Commodity Fu	ures Trading Cor	nmission		For period cove	ering October 1, 2020 to September 30, 2021	
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STATEMENT BARRIER GR		Barrier Group All Women Hispanic or Latino Males Hispanic or Latino Females White Females Black or African American Males Black or African American Females Asian Females Two or More Races Males Two or more Races Females					
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Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.							
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EEOC FORM 715-02 PART I	FE	EDERAL AG	t Opportunity Commission ENCY ANNUAL STATUS REPORT		
	Commodity Futures Trading Commission		For period covering October	1, 2020 to Septem	ber 30, 2021
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EEOC FORMU.S. Equal Employment Opportunity Commission715-02FEDERAL AGENCY ANNUALPART IEEO PROGRAM STATUS REPORT								
C	ommodity Fut	ures Trading Co	mmission		For perio	od covering October	1, 2020 to Septemb	er 30, 2021
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How was the conc recognized as a po barrier?								
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MD-715 – Part J Special Program Plan for the Recruitment, Hiring, Advancement, and Retention of Persons with Disabilities

To capture agencies' affirmative action plan for persons with disabilities (PWD) and persons with targeted disabilities (PWTD), EEOC regulations (29 C.F.R. § 1614.203(e)) and MD-715 require agencies to describe how their affirmative action plan will improve the recruitment, hiring, advancement, and retention of applicants and employees with disabilities.

Section I: Efforts to Reach Regulatory Goals

EEOC regulations (29 CFR §1614.203(d)(7)) require agencies to establish specific numerical goals for increasing the participation of persons with disabilities and persons with targeted disabilities in the federal government

1. Using the goal of 12% as the benchmark, does your agency have a trigger involving PWD by grade level cluster in the permanent workforce? If "yes", describe the trigger(s) in the text box.

a.Cluster GS-1 to GS-10 (PWD)	Answer	Yes
b.Cluster GS-11 to SES (PWD)	Answer	Yes
Within the cluster of 15 permanent employees in grad employees) are people with disabilities in FY21, holdi FY20. Of the 664 employees in the cluster of CT 11 a employees) are people with disabilities in FY21, an in employees) in FY20 and from 4.76% (31 employees) are below the 12% benchmark goal.	ng constant com nd higher, 6.02% crease from 5.47	pared to 6 (40 7% <mark>(</mark> 37

*For GS employees, please use two clusters: GS-1 to GS-10 and GS-11 to SES, as set forth in 29 C.F.R. § 1614.203(d) (7). For all other pay plans, please use the approximate grade clusters that are above or below GS-11 Step 1 in the Washington, DC metropolitan region.

2. Using the goal of 2% as the benchmark, does your agency have a trigger involving PWTD by grade level cluster in the permanent workforce? If "yes", describe the trigger(s) in the text box.

a.Cluster GS-1 to GS-10 (PWTD)	Answer	Yes
b.Cluster GS-11 to SES (PWTD)	Answer	Yes
Within the cluster of 15 permanent employees in grades (employees) are people with targeted disabilities in FY21, I FY20. Of the 664 permanent employees in the cluster of (employees) are people with targeted disabilities, a % (employees) in FY20. Both clusters are beneath	holding cons CT 11 and hi decrease fr	stant from igher, om

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

The agency continues to take steps to ensure that key stakeholders know that the CFTC has adopted the mandatory 2% and 12% employment goals. During FY21, OMWI leadership and staff reviewed the goals with the Chief Human Capital Officer and briefed the CFTC Chairman, Chief of Staff and labor union to ensure that they were aware of the goals.

Section II: Model Disability Program

Pursuant to 29 C.F.R. § 1614.203(d)(1), agencies must ensure sufficient staff, training and resources to recruit and hire persons with disabilities and persons with targeted disabilities, administer the reasonable accommodation program and special emphasis program, and oversee any other disability hiring and advancement program the agency has in place.

A. PLAN TO PROVIDE SUFFICIENT & COMPETENT STAFFING FOR THE DISABILITY PROGRAM

1. Has the agency designated sufficient qualified personnel to implement its disability program during the reporting period? If "no", describe the agency's plan to improve the staffing for the upcoming year.

Answer No

The agency will request staffing/funding for a fulltime Disability Employment Program Manager within OMWI and a Selective Placement Program Coordinator in the Human Resources Branch.

2. Identify all staff responsible for implementing the agency's disability employment program by the office, staff employment status, and responsible official.

	# of F	TE Staff By Emp		
Disability Program Task	Full Time	Part Time	Collateral Duty	Responsible Official (Name, Title, Office Email)
Answering questions from the public about hiring authorities that take disability into account	0	1	0	Connie Adkins HR Specialist CAdkins@CFTC.gov
Processing reasonable accommodation requests from applicants and employees	0	1	0	Lauren Colón Chief, Workforce Relations LColon@cftc.gov
Section 508 Compliance	0	1	0	Kennet Ake IT Specialist Section508@cftc.gov
Architectural Barriers Act Compliance	0	0	1	Edward Busse Manager - Facilities Operations and Services ebusse@cftc.gov
Processing applications from PWD and PWTD	0	1	0	Connie Adkins HR Specialist CAdkins@CFTC.gov
Special Emphasis Program for PWD and PWTD	0	0	0	

3. Has the agency provided disability program staff with sufficient training to carry out their responsibilities during the reporting period? If "yes", describe the training that disability program staff have received. If "no", describe the training planned for the upcoming year.

Answer No

The CFTC will evaluate what further training is needed for Disability Program Staff in order to carry out their responsibilities.

B. PLAN TO ENSURE SUFFICIENT FUNDING FOR THE DISABILITY PROGRAM

Has the agency provided sufficient funding and other resources to successfully implement the disability program during the reporting period? If "no", describe the agency's plan to ensure all aspects of the disability program have sufficient funding and other resources

Answer No

The new Chief Diversity and EEO Officer will begin briefing and bringing awareness to the gap in expertise, funding, and staffing at the agency to best make the case for further needed resources.

Section III: Plan to Recruit and Hire Individuals with Disabilities

Pursuant to 29 C.F.R. §1614.203(d)(1)(i) and (ii), agencies must establish a plan to increase the recruitment and hiring of individuals with disabilities. The questions below are designed to identify outcomes of the agency's recruitment program plan for PWD and PWTD

A. PLAN TO IDENTIFY JOB APPLICATIONS WITH DISABILITIES

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

The CFTC's Human Resources Branch reports that it works with Schedule A, subpart (u) qualified applicants and utilizes Veteran hiring authorities to identify job applicants with disabilities.

2. Pursuant to 29 C.F.R. §1614.203(a)(3), describe the agency's use of hiring authorities that take disability into account (e.g., Schedule A) to recruit PWD and PWTD for positions in the permanent workforce

The Human Resources Branch provides qualified Schedule A and disabled Veteran applicants to hiring officials when appropriate.

3. When individuals apply for a position under a hiring authority that takes disability into account (e.g., Schedule A), explain how the agency (1) determines if the individual is eligible for appointment under such authority; and, (2) forwards the individual's application to the relevant hiring officials with an explanation of how and when the individual may be appointed.

(1) CFTC determines if the individual is eligible for appointment under such authority by requiring certification for the appropriate disability resource. (2) Qualified schedule A, subpart (u) and Veterans applicant information (certs) are forwarded to hiring officials as part of the list of eligible candidates. HR Specialists are available to discuss all parts of the Schedule A and other PWDtype of hiring authorities.

4. Has the agency provided training to all hiring managers on the use of hiring authorities that take disability into account (e.g., Schedule A)? If "yes", describe the type(s) of training and frequency. If "no", describe the agency's plan to provide this training.

> Answer No

The Chief Diversity and EEO Officer will work with stakeholder offices to ensure that hiring managers are trained on the use of hiring authorities that take disability into account.

B. PLAN TO ESTABLISH CONTACTS WITH DISABILITY EMPLOYMENT ORGANIZATIONS

Describe the agency's efforts to establish and maintain contacts with organizations that assist PWD, including PWTD, in securing and maintaining employment.

> The CFTC has launched a new employee affinity group for People with Disabilities and will work with that group to establish and maintain contacts with organizations that assist PWD and PWTD.

C. PROGRESSION TOWARDS GOALS (RECRUITMENT AND HIRING)

1. Using the goals of 12% for PWD and 2% for PWTD as the benchmarks, do triggers exist for PWD and/or PWTD among the new hires in the permanent workforce? If "yes", please describe the triggers below.

a. New Hires for Permanent Workforce (PV	WD)	Answer	No
b. New Hires for Permanent Workforce (P	WTD)	Answer	Yes
Among the 40 new hires in FY21, above the benchmark of 12%. which is below the 2% benchmark	hires in FY21 identified as		

2. Using the qualified applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among the new hires for any of the mission-critical occupations (MCO)? If "yes", please describe the triggers below. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. New Hires for MCO (PWD)	Answer	Yes
b. New Hires for MCO (PWTD)	Answer	Yes
For FY21, out of the 272 qualified applicants who self-id permanent 0905 positions, 15.4% were PWD (42 applic applicants) were PWTD, but PWD and PWTD were % made from the self-identified applicants. Out of the 123 who self-identified for the permanent 1101 positions, 15 applicants) and 8.9% (11 applicants) were PWTD, but P % of the selection made from the self-identified appli qualified applicants who self-identified for the permanen were PWD (applicants) and % applicants) were PWTD were % of the selection made from the self-id 0301, 0511 series did not have triggers. Please note the selections made, however.	ants) and 5.19 of the ∎select qualified applie % were PWD PWD and PWT icants. Out of t at 2210 position e PWTD, but P lentified applic	% (14 tions cants (19 D were he 73 hs, 200 % PWD and ants. The

3. Using the relevant applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among the qualified internal applicants for any of the mission-critical occupations (MCO)? If "yes", please describe the triggers below. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. Qualified Applicants for MCO (PWD)	Answer	No
b. Qualified Applicants for MCO (PWTD)	Answer	No

4. Using the qualified applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among employees promoted to any of the missioncritical occupations (MCO)? If "yes", please describe the triggers below. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. Promotions for MCO (PWD)

b. Promotions for MCO (PWTD)

Answer Yes

For FY21, of the qualified applicants who self-identified for internal competitive promotions to the permanent 0905 positions, and % (applicant) was a PWD and % were PWTD, but PWD were % of the selection made from the self-identified applicants. Of the qualified applicants who self-identified for the internal competitive promotions for the permanent 1801 positions, (applicants) were PWD and (applicants) were PWD and (applicant) were PWTD, but PWD and PWTD were % of the selections made from the self-identified applicants. Of the 31 qualified applicants who self-identified for the internal competitive promotions for the permanent 0301 positions, 32.2% (10 applicants) were PWD and (applicants) were PWTD, but PWD and PWTD were % of the self-identified applicants. Please note the small number of selections made however.

Section IV: Plan to Ensure Advancement Opportunities for Employees with Disabilities

Pursuant to 29 C.F.R. §1614.203(d)(1)(iii), agencies are required to provide sufficient advancement opportunities for employees with disabilities. Such activities might include specialized training and mentoring programs, career development opportunities, awards programs, promotions, and similar programs that address advancement. In this section, agencies should identify, and provide data on programs designed to ensure advancement opportunities for employees with disabilities.

A. ADVANCEMENT PROGRAM PLAN

Describe the agency's plan to ensure PWD, including PWTD, have sufficient opportunities for advancement.

To ensure that people with disabilities can access all learning opportunities, the CFTC processes all requests for reasonable accommodations regarding training appropriately and ensures that trainings disseminated through its Learning Management System are compliant with Section 508 of the Rehabilitation Act. Though opportunities for training and development programs do not exclude PWD or PWTD and all employees are afforded the same opportunities for advancement as appropriate, the CFTC will work through its DEIA strategic plan to further develop an approach to ensure advancement opportunities for PWD. The plan will include the use of details and job assignments as well as mentoring to advance PWD.

B. CAREER DEVELOPMENT OPPORTUNITES

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

The Commission offered a number of regulatory learning engagements that were delivered through eLearning training sessions. The Commission continued to offer Continued Legal Educations (CLE) and Continued Professional Education (CPE) training access to all employees. These courses afford staff with relevant information in: Accounting, Auditing, Dodd-Frank legislation, Swaps, Derivatives, Financial Market essentials, Project Management, Financial Management and ethics. Using blended learning techniques, CFTC staff participated in mission-related seminars available via inperson training, forums, seminars, live webcasts, audio CD's and DVDs, MP3s, course handbooks and on- demand learning. This training opportunity is offered to all qualified employees, including persons with disabilities. Additionally, the CFTC utilizes competitive and non-competitive detail assignments both internally and with other agencies as opportunities for advancement.

2. In the table below, please provide the data for career development opportunities that require competition and/or supervisory recommendation/approval to participate.

Career Development Opportunities	Total Participants		PWD		PWTD	
	Applicants (#)	Selectees (#)	Applicants (#)	Selectees (#)	Applicants (#)	Selectees (#)
Internship Programs	0	0	0	0	0	0
Fellowship Programs	0	0	0	0	0	0
Mentoring Programs	0	0	0	0	0	0
Coaching Programs	0	0	0	0	0	0
Training Programs	0	0	0	0	0	0
Detail Programs	0	0	0	0	0	0
Other Career Development Programs	0	0	0	0	0	0

3. Do triggers exist for PWD among the applicants and/or selectees for any of the career development programs? (The appropriate benchmarks are the relevant applicant pool for the applicants and the applicant pool for selectees.) If "yes", describe the trigger(s) in the text box. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. Applicants (PWD)	Answer	N/A
b. Selections (PWD)	Answer	N/A
No triggers were identified as the CFTC does not have a f development program.	ormal caree	r

4. Do triggers exist for PWTD among the applicants and/or selectees for any of the career development programs? (The appropriate benchmarks are the relevant applicant pool for the applicants and the applicant pool for selectees.) If "yes", describe the trigger(s) in the text box. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. Applicants (PWTD)	Answer	N/A	
b. Selections (PWTD)	Answer	N/A	
No triggers were identified as the CFTC does not have a	a formal caree	r	
development program.			

C. AWARDS

1. Using the inclusion rate as the benchmark, does your agency have a trigger involving PWD and/or PWTD for any level of the time-off awards, bonuses, or other incentives? If "yes", please describe the trigger(s) in the text box.

a. Awards, Bonuses, & Incentives (PWD)	Answer	No
b. Awards, Bonuses, & Incentives (PWTD)	Answer	No
PWD are 5.64% of the workforce; they receive 5.8% of cash awards. PWTD are workforce of the		

2. Using the inclusion rate as the benchmark, does your agency have a trigger involving PWD and/or PWTD for quality step increases or performancebased pay increases? If "yes", please describe the trigger(s) in the text box.

a. Pay Increases (PWD)	Answer	No
b. Pay Increases (PWTD)	Answer	No
The CFTC is not a title 5 agency and does not have a	or use QSI's.	

3. If the agency has other types of employee recognition programs, are PWD and/or PWTD recognized disproportionately less than employees without disabilities? (The appropriate benchmark is the inclusion rate.) If "yes", describe the employee recognition program and relevant data in the text box.

a. Other Types of Recognition (PWD)	Answer	N/A
b. Other Types of Recognition (PWTD)	Answer	N/A

D. PROMOTIONS

1. Does your agency have a trigger involving PWD among the qualified internal applicants and/or selectees for promotions to the senior grade levels? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) For non-GS pay plans, please use the approximate senior grade levels. If "yes", describe the trigger(s) in the text box. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. SES			
i. Qualified Internal Applicants (PWD)	Answer	No	
ii. Internal Selections (PWD)	Answer	No	

. Qualified Internal Applicants (PWD)	Answer	N/A
i. Internal Selections (PWD)	Answer	Yes
c. Grade GS-14		
Qualified Internal Applicants (PWD)	Answer	N/A
i. Internal Selections (PWD)	Answer	Yes
1. Grade GS-13		
Qualified Internal Applicants (PWD)	Answer	N/A
i. Internal Selections (PWD)	Answer	Yes

2. Does your agency have a trigger involving PWTD among the qualified internal applicants and/or selectees for promotions to the senior grade levels? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) For non-GS pay plans, please use the approximate senior grade levels. If "yes", describe the trigger(s) in the text box. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

i. Qualified Internal Applicants (PWTD)	Answer	No
ii. Internal Selections (PWTD)	Answer	No
b. Grade GS-15		
i. Qualified Internal Applicants (PWTD)	Answer	N/A
ii. Internal Selections (PWTD)	Answer	No
c. Grade GS-14		
i. Qualified Internal Applicants (PWTD)	Answer	N/A
ii. Internal Selections (PWTD)	Answer	Yes
d. Grade GS-13		
i. Qualified Internal Applicants (PWTD)	Answer	N/A
ii. Internal Selections (PWTD)	Answer	Yes
ii. Internal Selections (PWTD) Out of the 46 qualified self-identified applicants to promotions,	o CT-14 internal com out ₩% of the ₩ self-id self-identified applican	petiti entifi its to

3. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWD among the new hires to the senior grade levels? For non-GS pay plans, please use the approximate senior grade levels. If "yes", describe the trigger(s) in the text box. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. New Hires to SES (PWD)	Answer	No
b. New Hires to GS-15 (PWD)	Answer	No
c. New Hires to GS-14 (PWD)	Answer	Yes
d. New Hires to GS-13 (PWD)	Answer	Yes
Out of the 120 qualified self-identified applicants to CT- % (mindividuals) were PWD, but % of the self-identified applicant a PWD. Out of the 121 qualified self-identified applicant	dentified selec	tees was

positions, 15.7% (19 individuals) were PWD, but % of the self-identified

selectees was a PWD.

4. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWTD among the new hires to the senior grade levels? For non-GS pay plans, please use the approximate senior grade levels. If "yes", describe the trigger(s) in the text box. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

5. Does your agency have a trigger involving PWD among the qualified internal applicants and/or selectees for promotions to supervisory positions? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) If "yes", describe the trigger(s) in the text box. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. Executives		
i. Qualified Internal Applicants (PWD)	Answer	No
ii. Internal Selections (PWD)	Answer	No
b. Managers		
i. Qualified Internal Applicants (PWD)	Answer	N/A
ii. Internal Selections (PWD)	Answer	N/A
c. Supervisors		
i. Qualified Internal Applicants (PWD)	Answer	N/A
ii. Internal Selections (PWD)	Answer	Yes
Out of the 23 qualified self-identified applicants competitive promotion positions, 1999 % (findivi- the self-identified selectees was a PWD.	to supervisory internal	1

6. Does your agency have a trigger involving PWTD among the qualified internal applicants and/or selectees for promotions to supervisory positions? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) If "yes", describe the trigger(s) in the text box. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. Executives		
i. Qualified Internal Applicants (PWTD)	Answer	No
ii. Internal Selections (PWTD)	Answer	No
b. Managers		
i. Qualified Internal Applicants (PWTD)	Answer	N/A
ii. Internal Selections (PWTD)	Answer	N/A
c. Supervisors		
i. Qualified Internal Applicants (PWTD)	Answer	N/A
ii. Internal Selections (PWTD)	Answer	Yes

7. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWD among the selectees for new hires to supervisory positions? If "yes", describe the trigger(s) in the text box. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. New Hires for Executives (PWD)	Answer	No
b. New Hires for Managers (PWD)	Answer	No
c. New Hires for Supervisors (PWD)	Answer	No

8. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWTD among the selectees for new hires to supervisory positions? If "yes", describe the trigger(s) in the text box. Select "n/a" if the applicant data is not available for your agency, and describe your plan to provide the data in the text box.

a. New Hires for Executives (PWTD)	Answer	No
b. New Hires for Managers (PWTD)	Answer	No
c. New Hires for Supervisors (PWTD)	Answer	No

Section V: Plan to Improve Retention of Persons with Disabilities

To be model employer for persons with disabilities, agencies must have policies and programs in place to retain employees with disabilities. In this section, agencies should: (1) analyze workforce separation data to identify barriers retaining employees with disabilities; (2) describe efforts to ensure accessibility of technology and facilities; and (3) provide information on the reasonable accommodation program and workplace assistance services.

A. VOLUNTARY AND INVOLUNTARY SEPARATIONS

1. In this reporting period, did the agency convert all eligible Schedule A employees with a disability into the competitive service after two years of satisfactory service (5 CFR § 213.3102(u)(6)(i))? If "no", please explain why the agency did not convert all eligible Schedule A employees.

Answer N/A No employees have been eligible for conversion during this reporting period. Any employees that are eligible are converted as appropriate.

2. Using the inclusion rate as the benchmark, did the percentage of PWD among voluntary and involuntary separations exceed that of persons without disabilities? If "yes", describe the trigger below.

a.Voluntary Separations (PWD)	Answer	No	
b.Involuntary Separations (PWD)	Answer	No	

3. Using the inclusion rate as the benchmark, did the percentage of PWTD among voluntary and involuntary separations exceed that of persons without targeted disabilities? If "yes", describe the trigger below.

a. Voluntary Separations (PWTD)	Answer	No
b Involuntary Separations (PWTD)	Answer	No

4. If a trigger exists involving the separation rate of PWD and/or PWTD, please explain why they left the agency using exit interview results and other data sources.

N/A

B. ACCESSIBILITY OF TECHNOLOGY AND FACILITIES

Pursuant to 29 CFR §1614.203(d)(4), federal agencies are required to inform applicants and employees of their rights under Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. § 794(b), concerning the accessibility of agency technology, and the Architectural Barriers Act of 1968 (42 U.S.C. § 4151-4157), concerning the accessibility of agency facilities. In addition, agencies are required to inform individuals where to file complaints if other agencies are responsible for a violation.

1. Please provide the internet address on the agency's public website for its notice explaining employees' and applicants' rights under Section 508 of the Rehabilitation Act, including a description of how to file a complaint.

https://www.cftc.gov/WebPolicy/EEONoFearAct/index.htm

2. Please provide the internet address on the agency's public website for its notice explaining employees' and applicants' rights under the Architectural Barriers Act, including a description of how to file a complaint.

https://www.cftc.gov/WebPolicy/EEONoFearAct/index.htm

3. Describe any programs, policies, or practices that the agency has undertaken, or plans on undertaking over the next fiscal year, designed to improve accessibility of agency facilities and/or technology.

The CFTC's Section 508 Coordinator reports that "The CFTC information technology organization has several strategic initiatives in process and ensures that accessibility requirements are embedded in these new solutions and assessed prior to acquisition. For instance, the CFTC is in the process of relocating our offices to newer facilities, and the underlying technology is being improved to enhance accessibility for these new offices. As other initiatives are completed, these projects will ensure that accessibility requirements are met and/or exceeded, with examples including cloud adoption of new software, upgraded collaboration software, and a laptop refresh." The CFTC's Manager of Facilities and Operational Services reports that "all CFTC facilities are in full compliance with applicable building codes, laws, etc. governing disabled persons' access. In addition, as CFTC renovates and relocates from old facilities to new, every effort is made to ensure not only full compliance but any supplemental guidance regarding disabled access is reviewed and implemented when possible."

C. REASONABLE ACCOMMODATION PROGRAM

Pursuant to 29 C.F.R. § 1614.203(d)(3), agencies must adopt, post on their public website, and make available to all job applicants and employees, reasonable accommodation procedures.

1. Please provide the average time frame for processing initial requests for reasonable accommodations during the reporting period. (Please do not include previously approved requests with repetitive accommodations, such as interpreting services.)

The average time frame for processing initial requests for reasonable accommodation during the reporting period is seven (7) business days.

2. Describe the effectiveness of the policies, procedures, or practices to implement the agency's reasonable accommodation program. Some examples of an effective program include timely processing requests, timely providing approved accommodations, conducting training for managers and supervisors, and monitoring accommodation requests for trends.

CFTC has consistently provided responses to reasonable accommodation requests, both approved and not approved.

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

Pursuant to 29 CFR §1614.203(d)(5), federal agencies, as an aspect of affirmative action, are required to provide personal assistance services (PAS) to employees who need them because of a targeted disability, unless doing so would impose an undue hardship on the agency.

Describe the effectiveness of the policies, procedures, or practices to implement the PAS requirement. Some examples of an effective program include timely processing requests for PAS, timely providing approved services, conducting training for managers and supervisors, and monitoring PAS requests for trends.

One of the strengths of the CFTC's draft personal assistance services procedures is that they are integrated into the CFTC's draft reasonable accommodation procedures to ensure consistency and efficiency. The CFTC did not receive any requests for Personal Assistance Services in FY 2021, but will continue to evaluate the effectiveness of its procedures in FY 2022.

Section VI: EEO Complaint and Findings Data

A. EEO COMPLAINT DATA INVOLVING HARASSMENT

1. During the last fiscal year, did a higher percentage of PWD file a formal EEO complaint alleging harassment, as compared to the government-wide average?

Answer No

2. During the last fiscal year, did any complaints alleging harassment based on disability status result in a finding of discrimination or a settlement agreement?

Answer No

3. If the agency had one or more findings of discrimination alleging harassment based on disability status during the last fiscal year, please describe the corrective measures taken by the agency.

CFTC did not have any findings of discrimination in FY21.

B. EEO COMPLAINT DATA INVOLVING REASONABLE ACCOMMODATION

1. During the last fiscal year, did a higher percentage of PWD file a formal EEO complaint alleging failure to provide a reasonable accommodation, as compared to the government-wide average?

Answer No

2. During the last fiscal year, did any complaints alleging failure to provide reasonable accommodation result in a finding of discrimination or a settlement agreement?

Answer No

3. If the agency had one or more findings of discrimination involving the failure to provide a reasonable accommodation during the last fiscal year, please describe the corrective measures taken by the agency.

N/A

Section VII: Identification and Removal of Barriers

Element D of MD-715 requires agencies to conduct a barrier analysis when a trigger suggests that a policy, procedure, or practice may be impeding the employment opportunities of a protected EEO group.

1. Has the agency identified any barriers (policies, procedures, and/or practices) that affect employment opportunities for PWD and/or PWTD?

Answer Yes

Yes

Answer

2. Has the agency established a plan to correct the barrier(s) involving PWD and/or PWTD?

3. Identify each trigger and plan to remove the barrier(s), including the identified barrier(s), objective(s), responsible official(s), planned activities, and, where applicable, accomplishments

Source of the	Trigger	Workforce Da	ata (if so iden	tify the table)		
Specific Worl	1. T. T. T.	Workforce Da	the set of the	20		
Table:		Tronaloroo De				
STATEMEN CONDITION A TRIGGER POTENTIAL Provide a brie: describing the issue.	FOR A BARRIER:	(PWD and PV PWTD), Pron (PWD and PV	NTD), New H notions Senio NTD), Promo	lires for MCO or Grade Leve tions to Super	(PWD and PWTE ls. (PWD and PW rvisory Positions.	rce, New Hires in Permanent Workforce D), Promotions for MCO (PWD and /TD), New Hires to Senior Grade Levels. (PWD and PWTD). Please see Part J for or full description.
How was the or recognized as barrier?						
STATEMEN		Barrier Group	2			
BARRIER G	ROUPS:	People with Disabilities				
		People with T	argeted Disab	ilities		
Barrier Analy Completed?:	ysis Process	Y				
Barrier(s) Ide	S DOCTOR AS	Y				
STATEMEN IDENTIFIED		Barrie PWD and PW	r Name			olicy, Procedure, or Practice
Provide a succ of the agency j procedure or practice tha determined to of the undesired cond	policy, t has been be the barrier	underrepresen applicant pipe attitudinal bar	line; riers.	"Talent Proce Procedures for "Hiring, perf with no meas actively pron "No develops to actively su backgrounds "Approach to D&I focused positions, ma own the roles recruitment p [candidates.]	ch to hiring and recruitment is rudimentary: there are no explicit used hiring and recruiting programs" and "Hiring is limited to a few , mainly high grade, and is done by individual hiring managers wh roles. This leaves the hiring process open to bias. Additionally, the ent processes at the Commission do not proactively sourcediverse tes.]"	
0	i			1	s for EEO Plan	
Date Initiated	Target Date	Sufficient Funding / Staffing?	Date Modified	Date Completed		Objective Description
08/07/2019	09/30/2023	Yes			Increase the nur the CFTC.	mber of PWD and PWTD employed by
-			Re	sponsible Of	ficial(s)	
	Title			Name		Standards Address The Plan?
Acting Execu	utive Director		Tomeka Gi	anta anna		Yes
IT Specialist				Kennet Ake		Yes
Chief Information	 Access 1015 	28 W	(5)\$3 \$20\$53652	Janaka Perera		Yes
Manager - Fa Services	acilities Opera	tions and	Edward Bu			Yes
HR Specialis	st		Connie Ad	kins		Yes
Acting Chief	Human Capita	al Officer	Lauren Col	ón		Yes
Chief Diversi EEO Officer	ity, Equity, Incl	usion and	Tanisha Co	e Edmonds		Yes
						Page 117

	Planned Activities	Sufficient Staffing & Funding?	Modified Date	Completio Date			
03/01/2021	Hire a consultant to conduct a DEIA study along with an agency-wide barrier analysis.	Yes		06/04/2021			
09/30/2021	supervisors and employees; with additional targeted training required for supervisors.						
09/30/2023	Formalize the Diversity Workgroup	Yes					
09/30/2023	The agency will create a DEIA strategic plan. As part of the DEIA strategic planning process, we will identify further actions/activities that we will implement to address potential barriers to people with disabilities.	Yes					
09/30/2024	Integrate bias mitigation measures and DEI best practices into the hiring and selection processes.	Yes					
09/30/2024	Use strategic talent acquisitions platforms to build an intentional and strategic approach to attracting diverse applicants.	Yes					
09/30/2024	Create a diversity recruitment plan.	Yes					
09/30/2024	Continue to analyze applicant flow data to better understand by grade, position, and division, where potential issues may be.	Yes					
10/30/2021	Charter an Affinity Group for People with Disabilities	Yes		10/30/202			
	Report of Accomplishments	5					
Fiscal Year	Accomplishme	nts					
	DEIA to review and discuss the results with the agency's work	lefense Fruthenme	2.22	focused on			
	plans to hire its first Chief Diversity Officer and completed its employees and supervisors. The agency also chartered a new with disabilities.	first mandatory D	EIA training for	announced both			
	plans to hire its first Chief Diversity Officer and completed its employees and supervisors. The agency also chartered a new with disabilities. explain the factor(s) that prevented the agency from timely completing any of the The agency has undergone leadership changes in its OMV planned activities that were completed, please describe the actual impact of those	first mandatory E w employee affin planned activities. WI office. e activities toward elim	EIA training for ity group center	announced both ed on people			
5. For the	plans to hire its first Chief Diversity Officer and completed its employees and supervisors. The agency also chartered a new with disabilities. explain the factor(s) that prevented the agency from timely completing any of the The agency has undergone leadership changes in its OMV planned activities that were completed, please describe the actual impact of those Further steps are needed to address the barriers, as trigge	first mandatory E w employee affin planned activities. WI office. e activities toward elin ers still remain.	DEIA training for ity group center	announced both ed on people s).			
5. For the	plans to hire its first Chief Diversity Officer and completed its employees and supervisors. The agency also chartered a new with disabilities. explain the factor(s) that prevented the agency from timely completing any of the The agency has undergone leadership changes in its OMV planned activities that were completed, please describe the actual impact of those	first mandatory E w employee affin planned activities. WI office. e activities toward elin ers still remain.	DEIA training for ity group center	announced both ed on people s).			