INSTRUCTIONS FOR COMPLIANCE WITH EEO-MD-712 & EEO-MD-713

November 2002

I. Introduction

The following instructions contain the Equal Employment Opportunity Commission's (EEOC) guidance for the preparation and submission of the annual accomplishment reports and plan updates on federal affirmative action for individuals with disabilities. These instructions provide clarification of guidance contained in EEO-MD-713, placing emphasis on barrier identification and elimination. These instructions also prompt all agencies to review their compliance with program requirements described in EEO-MD-712.

II. Purpose of Affirmative Action for Hiring Placement, and Advancement of Individuals With Disabilities

In requiring federal agencies to have an affirmative action program for individuals with disabilities, Congress expects agencies to do more than simply respond when evidence of discrimination is brought to their attention. Federal agencies are expected to be proactive in recruiting, hiring, and promoting individuals with disabilities; promote equal employment opportunity; and identify and address barriers and problems.

Purpose of the Annual Accomplishment Report and Plan Update Required by EEO-MD-713 [EEOC FORM 440][1]

The annual reporting requirements in EEO-MD-713 are designed to assist agencies in assessing their progress and determining actions that need to be taken to become a model employer of individuals with disabilities.

Each year, agencies have an opportunity to:

- report their accomplishments and progress;
- assess facility and electronic technology accessibility;
- assess whether existing personnel/management policies, practices and procedures are causing barriers that restrict or limit the hiring and advancement of individuals with disabilities;
- make any necessary corrections to their program; and,
- inform their top management of planned program objectives.

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[1] Although individuals with **disabilities** is now the appropriate term, the term handicap continues to appear on the EEOC FORM 440, until these forms are revised.

III. Authority

The EEOC is authorized by Section 501 of the Rehabilitation Act of 1973, as amended, to collect and analyze data and information on federal affirmative employment programs to fulfill its responsibility to oversee and evaluate federal agency progress in achieving equal employment opportunity. The EEOC will collect federal agency affirmative employment program accomplishment reports and updates annually as required by EEOC regulations at 29 C.F.R. § 1614.602(c).

IV. Requirements

Federal agencies and departments are required to provide affirmative employment program accomplishment reports in the format prescribed by the EEOC. Agencies are reminded to use the forms prescribed by the EEOC and refrain from modifying them.

This year agencies are instructed to provide an Executive Summary that describes the major problems/barriers which the agency plans to address. A narrative pertaining to barrier analysis, a net change worksheet, and a narrative describing MOC and installation program status and plans are also required.

Agencies are required to ensure accurate record keeping and reporting of affirmative employment program data and that all data submissions are fully responsive and in compliance with EEOC information requests.

V. EEO-MD-713 Reporting Format and Due Date

AFFIRMATIVE ACTION PROGRAM PLAN UPDATE AND REPORT OF ACCOMPLISHMENTS FOR AGENCY WITH 1,001 OR MORE EMPLOYEES (EEOC FORM 440)

The requirement to file an EEOC FORM 440 applies to all federal agencies and departments with 1,001 or more employees covered by 29 C.F.R. § 1614.102. The heads of all such covered federal agencies and departments are responsible for preparing annual fiscal year accomplishment reports and updates that include data from all organizational components under their jurisdiction.

An Executive Summary, a narrative describing compliance with MD 712, and a Net Change worksheet have been added. Agencies are also required to submit a narrative addressing the participation rates at their major operating components (MOCs) and installations, and summarizing the major problems/barriers that will be addressed at each MOC and installation.

Because of the comprehensive approach we are requiring for the FY 2002 reporting year, agencies will have until February 28, 2003 to submit the completed MD 713 report.

EEO-MD-713 reports should be submitted to:

Equal Employment Opportunity Commission
Office of Federal Operations/Federal Sector Programs
Affirmative Employment Program Division
1801 L Street, N.W.
Washington, D.C. 20507

VI. Instructions for the MD 713 Report:

Section I. Completing the Report of Accomplishments
Part II of the EEOC Form 440

Section II. Identifying Potential Barriers

Section III. Setting Numerical Objectives and Establishing or Updating Target Dates for Completing Objectives for Facility Accessability and Planned Actions for Barrier Removal
Part I of the EEOC Form 440

INSTRUCTIONS FOR COMPLETING THE EEOC FORM 440 AND RELATED DOCUMENTATION

The **EEOC FORM 440** is divided into two distinct parts. Part I is the plan update and Part II is the accomplishment report. Part I requires agencies to set numerical objectives and describe planned disability program activities for the upcoming fiscal year. Part II requires agencies to report their work force data as of the end of the reporting fiscal year and to provide narrative summaries of disability program activities completed.

These instructions are intended to guide federal agencies through the process for: (1) completing the accomplishment report; (2) analyzing the accomplishment report for indicators of potential barriers; (3) conducting thorough barrier analyses and identifying meaningful actions to eliminate barriers; and, (4) completing the disability program plan update for submission.

Overview of the EEOC FORM 440 and Related Documentation

- All agencies and departments with 1,001 or more employees are to use this report format.

- **EEOC FORM 440 - (cover page)**

  The cover page identifies the reporting agency, the number of employees covered by the plan, requires signatures of the agency official responsible for the program and the agency head, as well as certification that the report is in compliance with EEO-MD-713.

- **Executive Summary**

  Agencies are required to include a short (1 - 2 page) Executive Summary to report major problems/barriers the agency intends to address in the next FY. Agencies are to ensure that all managers and supervisors receive a copy of the Executive Summary. When the report is compiled, place the Executive Summary immediately after the cover page.

- **EEOC FORM 440 (pages 2-5) - Part I: PROGRAM PLAN UPDATE**

  This portion of the report allows the agency to state planned numerical objectives, recruitment strategies, target dates for the removal of physical barriers to facility and electronic/information technology accessibility, and barriers in personnel/management policies, practices or procedures.

  A comprehensive checklist from MD 712 is provided to assist agencies in identifying barriers. Agencies are required to provide a short narrative describing their compliance with each item on the checklist.

Agency headquarters are also requested to collect, review, and summarize the MD 713 plans of their MOCs and installations. At a minimum, for each MOC and installation, the agency narrative should address the participation rate of individuals with targeted disabilities, major problems/barriers to be addressed, and any initiatives proven to be successful.

Please note that MD 713, section 8 (b) holds agency headquarters responsible for providing guidance for the development of local programs and plans to all components and field installations, and developing appropriate systems for evaluating program effectiveness. Agencies are encouraged to share these instructions with their MOCs and components so that they may consider refining their plans and programs.

Although Part I (the plan update) is a critical part of the annual submission, it cannot be addressed until Part II (the report of accomplishments) is completed.

- **EEOC FORM 440 (pages 6-13) - Part II: REPORT OF ACCOMPLISHMENTS**

Part II requires information on disability program staff allocations, a summary/comparison of the work force from the previous fiscal year (FY) to the current FY, data on White Collar/Blue Collar pay grade distribution, occupational category distribution, and participation of employees in promotions and employee/career development programs. A net change work sheet has been added to this section.

Part II provides the opportunity to describe actions/activities taken toward meeting previously set target dates for removing barriers to facility and technology accessibility as well as barriers created by agency policy, practices, and/or procedures. Agencies are encouraged to share information on exceptional initiatives that achieved results; select two or three of the agency's best practices.

These instructions begin with Part II, as we suggest completing it first because the results of these pages are used as the basis of some of the problem identification.

PART 2: REPORT OF ACCOMPLISHMENTS

FOR THE PERIOD OCTOBER 1, **2001**, THROUGH SEPTEMBER 30, **2002**
AFFIRMATIVE ACTION PROGRAM FOR INDIVIDUALS WITH HANDICAPS

STAFFING COMMITMENTS

Provide data indicating staffing commitments as of September 30, **2002**. Include selective placement coordinators, handicapped program managers, and other staff assigned to the affirmative action program for individuals with handicaps. Do not include equal employment opportunity counselors and other personnel processing complaints of discrimination on the basis of handicap.

A. HEADQUARTERS PERSONNEL WITH NATIONWIDE RESPONSIBILITY:

1. AGENCYWIDE RESPONSIBILITY (DEPARTMENTWIDE, IF APPLICABLE)
   NUMBER OF PERSONS **3**
   TOTAL STAFF YEARS (FULL-TIME EQUIVALENTS ALLOCATED TO THE PROGRAM) **1.20**

2. RESPONSIBILITY FOR MAJOR OPERATING COMPONENTS (IF NONE, INDICATE NOT APPLICABLE)
   NUMBER OF PERSONS **6**
   TOTAL STAFF YEARS (FULL-TIME EQUIVALENTS ALLOCATED TO THE PROGRAM) **3**

B. ALL OTHER PERSONNEL (NOT ACCOUNTED FOR ABOVE) AT HEADQUARTERS, IN COMPONENT AGENCIES, OR IN FIELD INSTALLATIONS RESPONSIBLE FOR MANAGEMENT AND COORDINATION OF THE PROGRAM:

PERCENTAGE OF TIME ALLOCATED TO THE PROGRAM	INDICATE NUMBER IN EACH GROUP
1 - 5%	7 (Selective Placement Coordinators)
6 - 10%	
11 - 25%	3
26 - 75%	
76 - 100%	
TOTAL:	10

C. NUMBER OF AGENCY PERSONNEL OFFICES WITH APPOINTING AUTHORITY **7**

Section I. COMPLETING THE REPORT OF ACCOMPLISHMENTS - Part II of EEOC FORM 440

Step 1. EEOC FORM 440, page 6

Purpose of EEOC FORM 440, page 6: To determine whether sufficient staff is allocated to the Disability Program. EEO-MD-712 requires agencies, organizational units and field installations with 3,000 or more employees to each have a full time disability program manager. Agencies that do not have sufficient staff to carry out the responsibilities of the disability program, as described by EEO-MD-712, should address this problem in Part 1 of the EEOC FORM 440.

When completing page 6, include in the staffing totals the Disability Program Manager and any other staff with responsibility for the disability program. As noted on the sample form, staff who process complaints should not be included in these totals. Include only positions that are filled at the end of the FY, do not include empty slots.

In section A.1 of FORM 440, page 6, enter on the first line the total number of employees in headquarters with responsibility for the Agency-wide program. Enter on the second line the total of the time spent by all persons included in the first line. The amount of time allocated (percentage of an FTE) for each person to the disability program should be added and entered in line 2 of section A.1.

Similarly, in section A.2, enter on the first line the number of employees in the headquarters of major operating components with responsibility for the component-wide program. Enter on the second line the total time spent by these employees.

> ☜ In section A.1 of the sample shown, the department has one full time Disability Program Manager and two employees who assist with reasonable accommodation requests as a 10% collateral duty. The number of persons in this example is three (3) and the total staff years is 1.20 FTEs (1 + 0.10 + 0.10 = 1.20).
>
> ☜ In section A.2 of the sample, there are six major operating components, each having the disability program managers devoting 50% of their time to the disability program, or six people spending time that equals three FTEs.

In section B of FORM 440, page 6, list the number of people in the agency who have responsibility for an aspect of the disability program (and who are not listed in section A). This might include regional Disability Program Managers, Selective Placement Coordinators (SPCs), and support staff. Separate them by the amount of time devoted to the program.

In section C, enter the number of personnel offices with appointing authority. In the sample, there are seven; an SPC is assigned to headquarters and to each of the six MOC personnel offices, for a total of seven SPCs. EEO-MD-712 requires that agencies have a SPC assigned to each personnel office with appointing authority. SPC assignments can be collateral duty.

Step 2. EEOC FORM 440 (pages 8, 9, and 10)

Purpose of EEOC FORM 440, page 8: To report the pay grade distribution of employees with disabilities in the white collar work force for comparison with the distribution of all agency white collar employees.

Purpose of EEOC FORM 440, page 9: To report the pay grade distribution of employees with disabilities in the blue collar work force for comparison with the distribution of all agency blue collar employees.

Purpose of EEOC FORM 440, page 10: To report the distribution of employees with disabilities, in the permanent work force by types of occupations: Professional, Administrative, Technical, Clerical, Other, and Blue Collar for comparison with the distribution of all agency employees.

Point to Remember ☞ Do NOT add in the total number of targeted disabilities, as these are already included in the "Handicap Reported" total. Employees with targeted disabilities are a sub-set of employees with handicap reported.

In the sample shown on the opposite page (9 of 46), the total White Collar workforce (47,500) is obtained by adding 18 + 690 + 44,346 + 2,446. ☞

Also, check the percentages across each row: the 8,366 White Collar employees with no handicap who are GS/GM-13 represent 18.87 percent of the 44,346 White Collar employees who do not have a handicap (8366 ÷ 44,346 = 0.1887 or 18.87%).

Once the three workforce data pages are complete, check that the totals for White Collar (EEOC FORM 440, page 8) and Blue Collar (EEOC FORM 440, page 9) employees equal the total work force (EEOC FORM 440, page 10).

Each page should be checked for accuracy of the numbers and percentages. For each page, the total workforce in the 2nd row in the far right column should be the total of: "not identified" + the total "not available" + the total "no handicap" + the total "handicap reported".

Note that adding the line totals from the example (shown on pages 9 -10 of 46), equals the totals for the same lines on the FORM 440, page 10(shown on page 11 of 46). The total number of White Collar employees with reportable handicaps from FORM 440, page 8 (2,446) + the total number of Blue Collar employees with reportable handicaps from FORM 440, page 9 (129) equals the total number of employees in the workforce with handicap reported (2,575) on FORM 440, page 10.

The totals and percentages in the far right column of FORM 440, page 10, will be the same numbers that should appear consistently throughout the FORM 440 report and update wherever the FORM requests information regarding the total permanent workforce for the current/reporting fiscal year.

PERMANENT WORK FORCE

DATA AS OF END OF REPORTING YEAR

ANALYSIS OF WORK FORCE: **WHITE COLLAR** (GS, GM, SES, AND ALL OTHER)

CATEGORY *		GS-1	GS-2	GS-3	GS-4	GS-5	GS-6	GS-7	GS-8	GS-9	GS-10	GS-11	GS-12	GS/GM 13	GS/GM 14	GS/GM 15	SES	OTHER WC **	TOTAL WC
TOTAL WORK FORCE	#	**64**	**281**	**211**	**1658**	**3463**	**1388**	**2563**	**716**	**4813**	**472**	**6252**	**8158**	**8882**	**4973**	**3049**	**524**	**33**	**47,500**
	%	**0.13**	**0.59**	**0.44**	**3.49**	**7.29**	**2.92**	**5.40**	**1.51**	**10.13**	**0.99**	**13.16**	**17.17**	**18.70**	**10.47**	**6.42**	**1.10**	**0.07**	**100%**
NOT IDENTIFIED (01)	#				1	4		2		3		1	4	3					18
	%				5.56	22.22		11.11		16.67		5.56	22.22	16.67					100%
NOT AVAILABLE OR UNSPECIFIED	#				13	34	5	14	5	82	5	96	130	147	86	56	17		690
	%				1.88	4.93	0.72	2.03	0.72	11.88	0.72	13.91	18.84	21.3	12.46	8.12	2.46		100%
NO HANDICAP (04-05)	#	36	209	165	1443	3261	1334	2428	576	4542	359	5866	7643	8366	4682	2915	499	22	44,346
	%	0.08	0.47	0.37	3.25	7.35	3.01	5.48	1.30	10.24	0.58	13.23	17.23	18.87	10.56	6.57	1.13	0.05	100%
HANDICAP REPORTED (06, 13-94)	#	28	72	46	201	164	49	119	135	186	108	289	381	366	205	78	8	11	2,446
	%	1.14	2.94	1.88	8.22	6.70	2.00	4.87	5.52	7.60	4.42	11.82	15.58	14.96	8.38	3.19	0.33	0.45	100%
TOTAL TARGETED DISABILITIES	#	12	20	27	42	55	25	54	10	63	25	55	46	25	10	2			471
	%	2.55	4.25	5.73	8.92	11.68	5.31	11.46	2.12	13.38	5.31	11.68	9.78	5.31	2.12	0.43			100%
DEAFNESS (16,17)	#			3	6	10	4	10	4	14	9	12	10	7	2				91
	%			3.3	6.59	10.99	4.4	10.99	4.4	15.38	9.89	13.19	10.99	7.69	2.2				100%
BLINDNESS (23,25)	#			1	3	4	2	8	1	10	6	7	8	6	1	2			59
	%			1.69	5.08	6.78	3.39	13.56	1.69	16.95	10.17	11.86	13.56	10.17	1.69	3.39			100%
MISSING EXTREMITIES (28, 32-38)	#		4	3	5	4	3	5	1	8	4	5	3	3	2				50
	%		8.0	6.0	10.0	8.0	6.0	10.0	2.0	16.0	8.0	10.0	6.0	6.0	4.0				100%
PARTIAL PARALYSIS 64-68)	#			2	4	8	3	9	2	11	2	10	5	2	1				59
	%			3.39	6.78	13.56	5.08	15.25	3.39	18.64	3.39	16.95	8.47	3.39	1.69				100%
COMPLETE PARALYSIS (71-78)	#				2	6	1	5	1	6		7	5	1	1				35
	%				5.71	17.14	2.86	14.29	2.86	17.14		20.0	14.29	2.86	2.86				100%
CONVULSIVE DISORDERS (82)	#			3	3	6	1	4		4		5	6	2					34
	%			7.32	9.76	17.07	2.44	12.2		12.2		14.63	19.51	4.88					100%
MENTAL RETARDATION (90)	#	11	14	14	16	6	8	4											73
	%	15.07	19.18	19.18	21.92	8.22	10.96	5.48											100%
MENTAL ILLNESS (91)	#	1	2	1	2	6	1	5	0	7	2	5	5	2	2				41
	%	2.44	4.88	2.44	4.88	14.64	2.44	12.2		17.07	4.88	12.2	12.02	4.88	4.88				100%
DISTORTION OF LIMBS/SPINE (92)%	#				1	5	2	4	1	3	2	4	4	2	1				29
	%				3.45	17.24	6.9	13.79	3.45	10.34	6.9	13.79	13.79	6.9	3.45				100%

EEOC FORM 440 (pg. 8) (10/87)

PERMANENT WORK FORCE

ANALYSIS OF WORK FORCE: **FEDERAL WAGE SYSTEM** DATA AS OF END OF REPORTING YEAR

CATEGORY *		WD/WG 1	WD/WG 2	WD/WG 3	WD/WG 4	WD/WG 5	WD/WG 6	WD/WG 7	WD/WG 8	WD/WG 9	WD/WG 10	WD/WG 11	WD/WG 12	WD/WG 13	WD/WG 14	WD/WG 15	OTHER BC **	TOTAL BC
TOTAL WORK FORCE	#	185	204	197	196	177	196	214	169	180	204	135	14	0	5	3	421	2,500
	%	7.40	8.16	7.88	7.84	7.08	7.84	8.56	6.76	7.20	8.16	5.40	0.56		0.21	0.12	16.84	100%
NOT IDENTIFIED (01)	#				1			1									1	3
	%				33.33			33.33									33.34	100%
NOT AVAILABLE OR UNSPECIFIED	#	1	4	2	3	2	3	4	2	2	3						5	31
	%	3.23	12.9	6.45	9.68	6.45	9.68	12.9	6.45	6.45	9.68						16.13	100%
NO HANDICAP (04-05)	#	173	187	185	180	164	181	199	158	170	192	125	14		5	3	401	2,337
	%	7.4	8.0	7.92	7.7	7.02	7.74	8.52	6.76	7.27	8.22	5.35	0.6		0.21	0.13	17.16	100%
HANDICAP REPORTED (06, 13-94)	#	11	13	10	12	11	12	10	9	8	9	10					14	129
	%	8.5	10.08	7.75	9.3	8.5	9.3	7.75	6.98	6.2	6.98	7.75					10.85	100%
TOTAL TARGETED DISABILITIES	#	3	5	3	4	2	3	3	1	1		1					3	29
	%	10.34	17.24	10.34	13.79	6.9	10.34	10.34	3.45	3.45		3.45					10.34	100%
DEAFNESS (16,17)Z	#		2		3		1		1									7
	%		28.57		42.86		14.29		14.29									100%
BLINDNESS (23,25)%	#		1					1									2	4
	%		25.0					25.0									50.0	100%
MISSING EXTREMITIES-TIES (28, 32-38)	#			1		1		1									1	4
	%			25.0		25.0		25.0									50.0	100%
PARTIAL PARALYSIS 64-68)	#									1								1
	%									100.0								100%
COMPLETE PARALYSIS (71-78)	#																	0
	%																	100%
CONVULSIVE DISORDERS (82)	#						1											1
	%						100.0											100%
MENTAL RETARDATION (90)	#	3	2	1		1		1										8
	%	37.5	25.0	12.5		12.5		12.5										100%
MENTAL ILLNESS (91)	#			1			1					1						3
	%			33.3			33.3					33.3						100%
DISTORTION OF LIMBS/SPINE (92)	#				1													1
	%				100													100%

EEOC FORM 440 (pg. 9) (10/87)

PERMANENT WORK FORCE

ANALYSIS OF WORK FORCE: **TYPES OF OCCUPATIONS**

(PROFESSIONAL: ADMINISTRATIVE; TECHNICAL; CLERICAL; OTHER WHITE COLLAR; SUPERVISORY, LEADER, AND NONSUPERVISORY BLUE COLLAR)

CATEGORY *		PROF	ADMIN	TECHNICAL	CLERICAL	OTHER WC	SUPV. BC	LEADER BC	NONSUPV. BC	TOTAL WF
TOTAL WORK FORCE	#	9,000	17,000	12,000	6,500	3,000	8	14	2,478	50,000
	%	18.0%	34.0%	24.0%	13.0%	6.0%	0.02%	0.03%	4.96%	100%
NOT IDENTIFIED (01)	#	4	6	4	4				3	21
	%	19.05%	28.57%	19.05%	19.05%				14.29%	100%
NOT AVAILABLE OR UNSPECIFIED	#	135	245	173	94	43			31	721
	%	18.72%	33.98%	23.99%	13.04%	5.96%			4.3%	100%
NO HANDICAP (04-05)	#	8,528	16,014	11,160	5,907	2,737	8	14	2,315	46,683
	%	18.27%	34.30%	23.91%	12.65%	5.86%	0.02%	0.03%	4.96%	100%
HANDICAP REPORTED (06, 13-94)	#	333	735	663	495	220	0	0	129	2,575
	%	12.93%	28.54%	25.75%	19.22%	8.54%			5.01%	100%
TOTAL TARGETED DISABILITIES	#	78	155	135	73	30			29	500
	%	15.6%	31.0%	27.0%	14.6%	6.0%			5.89%	100%
DEAFNESS (16,17)	#	15	35	27	8	6			7	98
	%	15.31	35.71	27.55	8.16	6.12			7.14	100%
BLINDNESS (23,25)	#	13	21	18	3	4			4	63
	%	20.63	33.33	28.57	4.76	6.35			6.35	100%
MISSING EXTREMITIES (28, 32-38)	#	10	16	20	2	2			4	54
	%	18.52	29.63	31.75	3.17	3.17			6.35	100%
PARTIAL PARALYSIS 64-68)	#	12	27	15	1	4			1	60
	%	20.0	45.0	25.0	1.67	6.67			1.67	100%
COMPLETE PARALYSIS (71-78)	#	9	10	13	1	2			0	35
	%	25.71	28.57	37.14	2.86	5.71				100%
CONVULSIVE DISORDERS (82)	#	8	12	10	1	3			1	35
	%	22.86	34.29	28.57	2.86	8.57			2.86	100%
MENTAL RETARDATION (90)	#	0	10	10	50	3			8	81
	%		12.35	12.35	61.73	3.70			9.88	100%
MENTAL ILLNESS (91)	#	6	13	14	4	4			3	44
	%	13.64	29.55	31.82	9.09	9.09			6.82	100%
DISTORTION OF LIMBS/SPINE (92)	#	5	11	8	3	2			1	30
	%	16.67	36.67	26.67	10.0	6.67			3.33	100%

EEOC FORM 440 (pg. 10) (10/87)

SAMPLE of FORM 440 (page7) Instructions begin on

PERMANENT WORK FORCE

SUMMARY OF ACCOMPLISHMENTS IN AFFIRMATIVE ACTION PROGRAM FOR EMPLOYMENT OF INDIVIDUALS WITH HANDICAPS *

TOTAL (PERMANENT) WORK FORCE

OLUMN –	1	2	3	4	5	6	7	8	9
	TOTAL WORK FORCE	PERSONS WITH HANDICAPS	%	NO HANDICAP (04-05)	%	OTHER (01 AND NOT AVAILABLE)	%	PERSONS WITH TARGETED DISABILITIES	%
SEPTEMBER 30, 2001	47,801	2,371	4.96	44,617	93.34	812	1.69	485	1.01
FY 2001 OBJECTIVE	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	574	1.20
SEPTEMBER 30, 2002	50,000	2,757	5.15	46,683	93.37	742	1.48	500	1.00

TAL NUMBER OF ACCESSIONS OM OCT 1, 2001, TO SEPT. 30, 02	4,225
TAL NUMBER OF LOSSES FROM TOBER 1, 2001, TO SEPT. 30, 12	2,026

INSTRUCTIONS: THE DATA ON THIS PAGE ARE FOR PERMANENT TENURE (FULL-TIME, PART-TIME AND INTERMITTENT) AND PERMANENT NON-APPROPRIATED FUND EMPLOYEES.

SPECIAL RECRUITMENT PROGRAM — ACCESSIONS AND LOSSES — TARGETED DISABILITIES

	DEAF (16, 17)	BLIND (23, 25)	MISSING EXTREMITIES (28, 32-38)	PARTIAL PARALYSIS (54-58)	COMPLETE PARALYSIS (71-78)	CONVULSIVE DISORDERS (82)	MENTALLY RETARDED (90)	MENTAL ILLNESS (91)+	DISTORTION LIMB/SPINE (92)	TOTAL TARGETED DISABILITIES
BOARD PERSONS GETED DISABILITIES OF SEPT. 30, 2001	94	61	52	58	35	34	78	43	30	485
LICATIONS FROM T. 1, 2001, TO T. 30, 2002 **	9	6	5	6	3	5	8	5	3	50
CESSIONS FROM 1, 2001 to Sept 30, 2002	8	5	4	5	2	4	6	4	2	40
SSES FROM VOLUNTARY NVOLUNTARY SEPARATIONS T. 1, 2001, TO SEPT. 30, 2002	4	3	2	3	2	3	3	3	2	25
-BOARD PERSONS WITH RGETED DISABILITIES OF SEPT. 30, 2002	98	63	54	60	35	35	81	44	30	500

OC FORM 440, Page 7

Step 3. Complete EEOC FORM 440 (page 7)

Purpose of EEOC FORM 440, page 7: To report changes in the permanent work force to determine if progress was made in the participation rate of individuals with disabilities, especially those with targeted disabilities.

Chart at Top Portion of FORM 440, page 7. The first row of data is taken from the 3rd row of EEOC FORM 440, page 7 of the prior year's report. The second row is from EEOC FORM 440, page 2 of the prior year. The third row of data is taken from the far right column of EEOC FORM 440, page 10 for the current year. Percentages are computed by dividing the number of employees in the cell by the number of employees in the total work force (column 1). The numbers in the second, fourth, and sixth columns should add up to the total work force reported in the first column.

☛ The data from the shaded boxes in the right column of the sample FORM 440, page 10 are inserted across the 3rd row in the top of FORM 440, page 7. Data from EEOC FORM 440, page of an imaginary report from the prior year was inserted in the 2nd row.

Note that the number of employees reported in the "not identified" (code 01) row of FORM 440, page 10, is added to the number of employees in the "not available or unspecified" row and entered in column 6. The number and percentage reported in the **solid-bold box*** is obtained from line C at the bottom of page 2 of the previous year's FORM 440, which is what the agency anticipated for the current reporting year.

Report the total number of accessions and losses for the entire permanent work force. To check for accuracy, the number of employees as of September 30, 2001 plus the accessions minus the losses should equal the number of employees as of September 30, 2002. From the sample on the preceding page:

47,801 Total Work Force as of 9/30/01	52,026	
+4,225 Total Accessions	- 2,026	Total Losses
52,026	**50,000**	✔ ☺ Total Work Force as of 09/30/02

Chart at Bottom of FORM 440, page 7

For the chart on the bottom of FORM 440, page 7, the numbers in the far right column for the first row should match the total number of persons with targeted disabilities reported in the 8th column of the first row of the chart at the top of the page. The numbers across the first row of the bottom chart are from the last row of the prior year report.

In the three rows across the center of the chart at the bottom of FORM 440, page 7, report recruiting and hiring activity for persons with targeted disabilities during the reporting fiscal year. The numbers in each column should be checked in the same manner as previously discussed for the chart at the top of the page. The numbers in the far right column for the last row should match the total number of persons with targeted disabilities reported in the 8th column of the first row at the top of the page.

SUMMARY OF ACCOMPLISHMENTS IN AFFIRMATIVE ACTION PROGRAM FOR EMPLOYMENT OF INDIVIDUALS WITH HANDICAPS *

TEMPORARY (TEMP) WORK FORCE

	TOTAL WORK FORCE TEMP	PERSONS WITH HANDICAPS TEMP	% TEMP	NO HANDICAP (04-05) TEMP	% TEMP	OTHER (01 AND NOT AVAILABLE TEMP	% TEMP	PERSONS WITH TARGETED DISABILITIES TEMP	% TEMP
SEPTEMBER 30, 2001	2,200	97	4.4	2,078	94.45	25	1.14	**24**	1.09
SEPTEMBER 30, 2002	**2,000**	94	4.7	1,881	94.05	25	1.25	**20**	1.00

TOTAL NUMBER OF ACCESSIONS (TEMP) FROM OCTOBER 1, 20 01, TO SEPT. 30, 2002: 300

TOTAL NUMBER OF LOSSES FROM OCTOBER 1, 2001, TO SEPT. 30, 2002: 500

INSTRUCTIONS: THE DATA ON THIS PAGE ARE FOR TEMPORARY TENURE, TEMPORARY, INTERMITTENT, AND TEMPORARY NON-APPROPRIATED FUND EMPLOYEES

ACCESSIONS AND LOSSES (TEMPORARY) — TARGETED DISABILITIES

TEMPORARY EMPLOYEES ONLY	DEAF (16, 17)	BLIND (23, 25)	MISSING EXTREMITIES (28, 32-38)	PARTIAL PARALYSIS (64-68)	COMPLETE PARALYSIS (71-78)	CONVULSIVE DISORDERS (82)	MENTALLY RETARDED (90)	MENTAL ILLNESS (91)+	DISTORTION LIMB/SPINE (92)	TOTAL TARGETED DISABILITIES
ON-BOARD PERSONS TARGETED DISABILITIES AS OF SEPT. 30, 2001	5	3	1	3	1	2	7	1	1	**24**
ACCESSIONS FROM OCT. 1, 2001 TO SEPT. 30, 2002 **	1	3		1				1		6
LOSSES FROM VOLUNTARY & INVOLUNTARY SEPARATIONS OCT. 1, 2001 TO SEPT. 30, 2002	3	2		1	1	1				8
CONVERSIONS TO PERMANENT EMPLOYMENT OCT. 1, 2001 TO SEPT. 30, 2002		1	1							2
ON-BOARD PERSONS WITH TARGETED DISABILITIES AS OF SEPT. 30, 2002	3	3	0	3	0	1	7	2	1	**20**

EEOC FORM 440 (pg. 7-A) (10/87)

* NUMBERS IN PARENTHESES REFER TO CODES ON STANDARD FORM 256.

SAMPLE of page 7-A shown above

Step 4. EEOC FORM 440, page 7-A

Page 7-A is completed in a manner similar to page 7, but with data for temporary employees. Note that the chart at the top of the page has two rows for data instead of three rows. Agencies are not required to set objectives for hiring people with targeted disabilities into temporary jobs.

Just as for EEOC FORM 440, page 7, report the total number of accessions and losses for the entire temporary work force. Check for accuracy in the same manner as for page 7.

2,200	Total Temp. WF as of 09/30/01
+ 300	Total Accessions
2,500	
- 500	Total Losses
2,000	✔ ☺ Total Temp. WF as of 09/30/02

EEOC FORM 440, page 7-A is different from page 7 because it requests information about conversions (see highlighted row). A conversion is a loss from the temporary work force and an accession to the permanent workforce.

Note that the one temporary employee with missing extremities was converted to permanent employment status. Thus, at the end of the reporting period, there were no employees with missing extremities remaining in the temporary workforce.

Step 5. Calculate the Net Change using the WORKSHEET (insert after page 7)

Purpose of Worksheet A: To determine whether employees with targeted disabilities are experiencing growth or loss at a rate that is similar to the change rate for the total agency workforce.

Worksheet A must be submitted by all agencies. Please insert the completed worksheet behind EEOC FORM 440, page 7 when you compile the report for submission. While the numbers will vary greatly, the rates (or percentages) should be very similar. The net change is computed by taking the difference in the number of employees from the prior FY to the current FY and dividing it by the number of employees from the prior FY.

For example, if an agency had 5,000 employees at the end of FY 2001 and 5,500 employees (total) in the agency at the end of FY 2002, it would have a difference of 500. The net change is 10%. (500 ÷ 5,000). If the agency had 50 employees with targeted disabilities in FY 2001 and increased to 53 employees with targeted disabilities in FY 2002, the difference is three and the net change is 6.0% (3 ÷ 50).

Thus, employees with targeted disabilities increased at a lower rate than the agency work force as a whole. This sample agency's goal for the future is for the net change for employees with targeted disabilities to be the same or higher than the net change for the total work force.

NET CHANGE WORK SHEET

Calculating the Net Change from the previous FY to the current FY

		Previous FY	Current FY	Net Change
Total Workforce	# %	5,000 100.00	5,500 100.00	500 10.00
Employees with Targeted Disabilities	# %	50 1.00	53 0.96	3 6.00

Calculating the Net Change over a three year period

		FY 1999	FY 2002	Net Change
Total Workforce	# %	4,750 100.00	5,500 100.00	750 15.80
Employees with Targeted Disabilities	# %	49 1.03	53 0.96	4 8.16

Worksheet A

Step 6. EEOC FORM 440 (page 13)

Sample shown on page 18 of 46.

Purpose of EEOC FORM 440, page 13: To provide a structure for agencies to analyze the distribution of promotions and career development training to determine whether employees with disabilities, especially those with targeted disabilities, are receiving equitable opportunities.

First column - On board in each category as of the end of the reporting year. Enter the number of permanent employees from the total work force (far right) column on the EEOC FORM 440 page 10, category by category (total work force, not identified, etc.).

Promotions column - Enter the number of employees in each category who received promotions. Compute the rate of promotions for each group by dividing the number of employees who received promotions by the total on board for the employee category on the same row (total work force, not identified, etc.)

Career Development (grades 5-12) column - Enter by category the number of employees in grades 5 - 12 who were in formal programs: Formal upward mobility programs, apprenticeship programs, and other training and development programs, as well as appointments that move people noncompetitively through a series of promotions with some type of training in the process. Include both blue collar and white collar positions. Individual classes do not constitute career development for purposes of this report. Compute the rate of participation for each group by dividing the number of employees who participated by the total on board for the employee category on the same row (total work force, not identified, etc.)

Senior Level Career Development Programs (Grades 13 - 15) column - Enter by category the number of employees in grades 13 - 15) enrolled in formal executive and management development programs during the reporting period. Compute the rate of participation for each group by dividing the number of employees who participated by the total on board for the employee category on the same row (total work force, not identified, etc.)

SES Development Program column - Enter by category the number of employees enrolled in formal Senior Executive Service development programs during the reporting period. Compute the rate of participation for each group by dividing the number of employees who participated by the total on board for the employee category on the same row (total work force, not identified, etc.).

SAMPLE

PERMANENT WORK FORCE

PROMOTIONS AND CAREER DEVELOPMENT PROGRAMS
OCTOBER 1, 2001, TO SEPTEMBER 30, 2002

CATEGORY *	ON-BOARD AS OF 9/30/02	PROMOTIONS		CAREER DEVELOPMENT (GRADES 5-12)		SENIOR LEVEL CAREER DEVELOPMENT PROGRAMS (GRADES 13-15)		SES DEVELOPMENT PROGRAMS	
		NUMBER	PERCENT	SLOTS FILLED	PERCENT	SLOTS FILLED	PERCENT	SLOTS FILLED	PERCENT
TOTAL WORK FORCE	50,000	11,600	23.20	125	0.25	64	0.13	6	0.01
NOT IDENTIFIED (01)	21	0		0		0		0	
NOT AVAILABLE OR UNSPECIFIED	721	101	14.01	0		1	0.14	0	
NO HANDICAP (04-05)	46,683	11,811	25.30	121	0.26	61	0.13	6	0.01
HANDICAP REPORTED (06, 13-94)	2,575	623	24.19	4	0.16	2	0.08	0	
TOTAL TARGETED DISABILITIES	500	120	24.00	1	0.20	0		0	

COMPUTATIONS:

PERCENT PROMOTIONS = NUMBER / ON-BOARD IN CATEGORY

PERCENT DEVELOPMENT PROGRAMS = SLOTS IN CATEGORY / ON-BOARD IN CATEGORY

COMPUTATIONS ARE TO BE BASES ON ACTIONS DURING THE REPORTING PERIOD. FOR PROMOTIONS, USE STANDARD FORM 50, NATURE OF ACTION CODES 702 AND 542. FOR CAREER DEVELOPMENT (GRADES 5-12), COUNT SLOTS FILLED UNDER FORMAL UPWARD MOBILITY PROGRAMS, APPRENTICESHIP PROGRAMS, AND OTHER TRAINING AND DEVELOPMENT PROGRAMS, AS WELL AS APPOINTMENTS THAT MOVE PEOPLE NONCOMPETITIVELY THROUGH A SERIES OF PROMOTIONS WITH SOME TYPE OF TRAINING IN THE PROCESS. INCLUDE BOTH BLUE COLLAR AND WHITE COLLAR POSITIONS. FOR SENIOR LEVEL CAREER DEVELOPMENT (GRADES 12 THROUGH 15) PROGRAMS, COMPUTATIONS ARE TO BE BASED ON THE NUMBER OF INDIVIDUALS ENROLLED IN FORMAL EXECUTIVE AND MANAGEMENT DEVELOPMENT PROGRAMS DURING THE REPORTING PERIOD.

EEOC FORM 440 (pg. 13) (10/87)

* NUMBER IN PARENTHESES REFER TO CODES ON STANDARD FORM 256.

Step 7. Narrative reports: EEOC FORM 440, pages 11, 12 & 14

Purpose of EEOC FORM 440, pages 11 and 12: To describe efforts made during the reporting year to remove barriers identified in prior year reports.

Purpose of EEOC FORM 440, page 14: To describe initiatives proven to be successful during the reporting year.

EEOC FORM 440, page 11 - Report on Facility Accessibility

A. Summarize your agency's physical barrier removal activity. Include actions taken to remove electronic and information technology barriers (Section 508 of the Rehabilitation Act). Briefly state what was done to remove an identified barrier.

B. Is GSA providing assistance with barrier removal?

1. If the barrier is not in a GSA building, or is not covered by GSA, please check the first box.

2. If GSA is assisting, check the "yes" box.

3. If the barrier is in a GSA-controlled building, but GSA is not assisting with the barrier removal, please check the "no" box and explain why GSA is not part of the barrier removal process.

C. Describe any difficulties that have been encountered in attempting to remove barriers that remain in agency facilities.

D. Describe actions being taken to overcome difficulties described in "C" above.

EEOC FORM 440, page 12 - Alternatives to Personnel or Management Policies, Practices, or Procedures Which Restrict Hiring, Placement, and Advancement of Individuals with Disabilities.

On this page, list all barriers presented in prior years and addressed in the past year.

In the **first column,** briefly describe or identify the barrier that was addressed.

In the **second column**, present the alternative chosen to achieve the intent of the policy, practice, or procedure without posing a barrier to people with disabilities.

In the **third column**, briefly describe the actions taken by your agency to adapt the alternative policy, practice or procedure.

EEOC FORM 440, page 14 - Agency Initiatives and Noteworthy Accomplishments

This page is optional, but we encourage agencies to share best practices.

The intent is to solicit information on initiatives that achieved results, so that they may be shared with other agencies. Include only initiatives undertaken and proven successful during the reporting year. Routine or required activities should not be reported unless the approach used achieved exceptional results. Be brief and select the most successful activities. One or two activities is sufficient for purposes of this form; the EEOC is seeking **quality, not quantity**.

Whenever possible, include total participant data and ratios. For example, if reporting a mentoring program that was successful in moving employees with targeted disabilities from dead end positions to career-ladder positions, report the total number of employees who were mentorees, the number and ratio of these employees who have disabilities and who have targeted disabilities, and the number and ratio of employees in each category who moved to career-ladder positions.

Examples of noteworthy initiatives might include:

> A review of all (54) employees with disabilities who were on Schedule A appointments was conducted to determine if any were eligible for conversion. Seventy-percent (70%) of these employees were converted to career conditional appointments.
>
> A review of all (332) employees with disabilities who were at pay grades 5 through 7 was conducted to determine whether any were eligible for promotion to a higher grade. 15% of the employees were promoted.
>
> Leadership training was provided to the employees on the agency's Employees with Disabilities Advisory Committee. The result was increased input and feedback from the Committee members, which provided the agency with earlier notice of potential problems concerning the provision of reasonable accommodation, and the accessibility of certain buildings. This allowed the agency to be more responsive and eliminate problems at an early stage.

Section II: Identifying Potential Barriers

This section presents the methods agencies should use to identify potential barriers caused by agency policies, practices or procedures. Two useful sources of information are described here: (1) accomplishment report data, including supporting data; and (2) disability program criteria from EEO-MD-712. There is also a list of scenarios at the end of this instruction package.

Analyzing Work Force Data

Once the accomplishment report is completed and reviewed for accuracy of data, the next step is to analyze the data for any indicators of barriers. These instructions provide guidance on how to analyze the numerical data for indicators of barriers that may be impeding the progress of people with disabilities in the workplace.

Instructions are also provided for agencies to analyze their compliance with the requirements of EEO-MD-712 as part of the process of assessing whether barriers are imbedded in any agency policy, procedure or practice. Agencies may have other barriers that need to be addressed: the EEO-MD-712 list merely provides a basic framework. Agencies are encouraged to examine all indications of possible barriers, identify causes, and address all barriers within the control of the agency, not just those that are revealed when using this checklist.

Any barriers to full participation by individuals with targeted disabilities in the work force should be reported on EEOC FORM 440, page 5.

Step 1. Analyzing EEOC FORM 440, page 6 to determine whether the agency has allocated sufficient staff to the Disability Program..

EEO-MD-712, Section 7d(1) "Staffing Commitments" requires each agency with 3,000 or more employees to have a full time Disability Program Manager at headquarters and in each organizational unit and field installation with 3,000 or more employees. Also, for each unit with appointing authority, there should be one Selective Placement Coordinator. When reviewing the requirements for a disability program, which are described in MD-712, agencies should note any items for which they do not have sufficient staff to accomplish. Insufficient staff is a barrier to be reported and addressed on EEOC FORM 440 (page 5).

Step 2. Analyzing Data on EEOC FORM 440, pages 7, 7A, 8, 9, 10, & 13

Analysis of the data on EEOC FORM 440, page 7 and the Net Change worksheet should enable agencies to determine if recruitment and hiring activities had a positive result for people with targeted disabilities. Ratios for people with targeted disabilities are compared with the ratios for the whole agency. Questions that should be addressed include:

1. Does the accession rate for people with targeted disabilities compare favorably with the rate for the total agency?

2. If the total work force had a positive net change, did the targeted disabilities group have a net change equal to or higher than the net change for the total work force?

3. Does the agency track and report applications received for the fiscal year from people with targeted disabilities?

4. Are employees with targeted disabilities under utilized? (Are their ratios higher in the lower grades and lower in the GS 13 - SES pay levels compared to the ratios for employees without disabilities? Are employees with targeted disabilities heavily represented in the Technical and Clerical job categories, but not in the Professional and Administrative job categories when compared to the ratios for employees with no disabilities?)

5. Are the achievements and careers of employees with targeted disabilities given the same amount of support as for employees without disabilities? (Compare the rate for promotions for employees with targeted disabilities with the rate for employees without disabilities - they should be roughly the same. Compare the rates for participation in the career development programs in the same manner.)

A "no" response to any of these questions should be addressed in the plan update. This can be accomplished on multiple fronts. For example, suggested actions to improve the agency participation rate are: (1) increase and publicize the numerical objectives; (2) implement new recruitment strategies; (3) devise a strategy for retaining employees with targeted disabilities; (4) set up a system to solicit, track, and share applications from qualified individuals with targeted disabilities; and (5) provide hiring officials with information and training on hiring authorities.

After calculating the Net Change between the previous FY and the reporting FY (Worksheet A), the agency will be able to determine if employees with targeted disabilities are increasing at the same rate as the total work force. If the Net Change for employees with targeted disabilities is not at least equal to the Net Change for the total work force, the ratio of employees with targeted disabilities will fall farther behind, compared to their availability rate.

Analyzing the Disability Program - Identifying Personnel or Management Policies, Practices, or Procedures Which Restrict Equal Employment Opportunity for People With Disabilities

This section provides a disability program checklist based upon the basic disability program and administrative element requirements defined in EEO-MD-712. While this

list provides a start in examining agency policies, practices, and procedures for barriers, it might not be sufficient to uncover certain barriers unique to your agency. Therefore, we encourage all responsible officials to be alert to situations that create barriers so they can be reported and addressed.

For each disability program element in MD-712, these instructions provide self-evaluative questions which will assist agencies in identifying the cause(s) of an identified barrier. This process should also assist agencies in designing meaningful ways to address barriers that impede progress toward achieving affirmative employment goals.

EEO-MD-712 Checklist: Basic Disability Program Elements

The Commission issued EEO-MD-712 to direct federal agencies in managing disability programs which ensure that qualified individuals with disabilities have equitable opportunities to be hired, placed, and advanced in Federal jobs.

The basic program and administrative elements described in EEO-MD-712 are listed below with questions to assist agencies in determining whether the program is properly established. All questions must be addressed. Agencies will be required to provide one to two paragraphs of narrative for each question, to show that their compliance with each program element was explored. Narratives must be submitted with the MD-713 report. NOTE: Agency components should respond for only their component, not for the entire agency.

1. **Establish a Special Recruitment Program** (MD-712, section 7c(3))

- Are job announcements routinely shared with sources of qualified individuals with disabilities? (If so, please list.)
- How often do your agency Selective Placement Coordinators collects and track applications from people with targeted disabilities and share them with hiring officials?

2. **Prevent fiscal constraints from affecting provision of reasonable accommodation.** (MD-712, section 7c(5))

- How has your agency ensured that sufficient funds are available for providing accommodation without having an adverse impact on the immediate office of the individual with a disability?
- What is the largest number of days taken to provide requested accommodations and what is the average number of days? (Compare to the Federal standard of 15 days.)

3. **Use alternative selection procedures to eliminate barriers to hiring, placement, and advancement of individuals with disabilities.** (MD-712, section 7c(6))

- How does your agency publicize alternative selection procedures?
- What have you done to ensure that your typical hiring official is able to describe alternative selection procedures if EEOC were to conduct an audit?
- How frequently are these alternative procedures used?

4. **Publicize excepted appointing authorities.** (MD-712, section 7c(7))

- What method and frequency is used by your agency to inform hiring officials of the advantages to hiring individuals under Schedule A?
- How many people with targeted disabilities were hired under Schedule A last year?

5. **Provide equitable opportunities for merit promotion.** (MD-712, section 7c(8))

- Are any elements in your agency's merit promotion plan designed to ensure that individuals with disabilities have an opportunity to apply for merit promotions? For example, are announcements shared with all sources, are they readily available in alternative formats, and are they open long enough to garner applications from all sources?
- How are you reviewing all job announcements to ensure that inappropriate physical requirements are not included?

6. **Seek to provide other promotional opportunities.** (MD-712, section 7c(9))

- What is your agency doing to ensure that employees with disabilities have promotion opportunities?
- How often does your agency check to determine whether employees with disabilities who are in career ladders and receive satisfactory appraisals are promoted in a timely manner (comparable to similarly situated employees without disabilities)?
- How often does your agency check to determine whether individuals with disabilities who are in Schedule A status are eligible to be converted to career conditional status?

7. **Include people with targeted disabilities in upward mobility programs.** (MD-712, section 7c(10))

- What steps has your agency taken to ensure that employees with targeted disabilities have the opportunities to participate in any upward mobility programs offered by your agency?
- How does the upward mobility program participation rate for employees with targeted disabilities compare with the ratio of employees with no disabilities? (It should be roughly equal.)

8. Provide opportunities in trades and crafts-related job series.
(MD-712, section 7 c(11))

- What steps has your agency taken to ensure that employees with disabilities, especially those with targeted disabilities have opportunities to participate in any blue-collar career development and advancement programs?

9. Evaluate training and career development needs, provide opportunities.
(MD-712, section 7 c(12))

- How often and using what methods does your agency evaluate the career development needs of employees with disabilities, especially those with targeted disabilities?
- What is your agency doing to provide employees with disabilities, especially those with targeted disabilities, with training, details, lateral reassignments and other developmental opportunities that will qualify them for promotion?
- How is your agency ensuring that career counseling and mentoring is available to employees with targeted disabilities?

10. Include people with disabilities in special employment programs.
(MD-712, section 7 c(13))

- At what ratio are people with disabilities included in special employment programs such as Executive Development, Management Internships, Cooperative Education, Stay-in-School, and Summer Employment at your agency?
- How does this ratio compare to the participation rate of employees without disabilities?

11. In Reduction-in-Force (RIF) situations, minimize effect on people with disabilities, especially those with targeted disabilities. (MD-712, section 7c(14))

- Has your agency taken any steps to minimize the impact of RIFs on employees with disabilities?

12. Offer alternatives to disability retirement. (MD-712, section 7c(15))

- How many employees took disability retirement in the past two years?
- What alternatives were provided to them before retirement?

13. Foster affirmative attitudes. (MD-712, section 7c(16))

- What has your agency done to foster affirmative attitudes toward individuals with disabilities among all employees and especially managers and supervisors?

- What proportion of employees with disabilities, especially those with targeted disabilities, have filed complaints on the basis of reprisal/retaliation for requesting reasonable accommodation?
- What proportion of employees with disabilities have filed complaints concerning the issue of harassment based on the negative conduct of co-workers aimed at them because of their disability status?

14. Assure equitable opportunities to win awards. (MD-712, section 7c(17))

- What is the ratio of employees with disabilities, especially those with targeted disabilities, who received monetary awards, compared with the ratio of awards to the total agency work force?
- What is your agency doing to ensure that these employees have equitable opportunities to win awards?

15. Assure sufficient staffing for the disability program. (MD-712, section 7d(1))

- Does the agency have 3,000 of more employees? If so, does it have a full time disability program manager at headquarters and in each organizational and field installation with 3,000 or more employees?
- Does the agency have a Selective Placement Coordinator in every component with appointing authority?
- How is your agency ensuring that it has sufficient collateral duty staff assigned to the program to allow coordination and implementation of barrier identification and planned barrier removal activity?

16. Issue periodic guidance to all personnel with responsibilities for the program. (MD-712, section 7d(2))

- When was the last time your agency provided guidance related to the disability program, aside from the new reasonable accommodations procedures?

17. Delegate appropriate authority. (MD-712, section 7d(3))

- Has your agency clearly identified everyone with responsibility for the affirmative employment for people with disabilities program and held them accountable: EEO/CR officials, the Disability Program Manager, the Selective Placement Coordinator, and anyone else?

18. Include a line item or other identifiable element in agency management plans, budget, etc. (MD-712, section 7d(4))

- Does your agency have a centralized budget to cover the cost of reasonable accommodations? If not, how is your agency ensuring that the cost of reasonable accommodation does not have a negative impact on supervisors of employees with disabilities?

- Is this included as a line item in the budget?
- Do you have a budget line item to cover any needed renovations to bring facilities into compliance with the Uniform Federal Accessibility Standards, ADA, Section 508 of the Rehabilitation Act, etc.?

19. Ongoing system to evaluate program status and achievement.
(MD-712, section 7d(5))

- How is the agency measuring the success of its disability program?
- How is the agency tracking the number of individuals with targeted disabilities who were recruited, applied for positions, and were qualified for the positions?
- How is the agency tracking the number of EEO complaints based on disability or failure to accommodate?

20. Collect and report data on selection and non-selection for jobs, promotions, training, awards, development programs, etc. (MD-712, section 7d(6))

- How often has the agency re-surveyed its employee population, using SF 256?
- Has the agency developed a tracking system to collect information on selection and non-selection for jobs, promotions, training, awards, development programs, etc?
- If so, how are the results disseminated to and used by the appropriate staff to address deficiencies?

21. Include an element in the performance plan of managers.
(MD-712, section 7d(7))

- How is the agency holding managers accountable?
- Are managers aware that equal employment opportunity includes opportunities for people with disabilities, especially those with targeted disabilities?
- Are managers/supervisors evaluated on their efforts to hire and promote people with disabilities, especially those with targeted disabilities?

22. Provide training to agency managers and employees regarding the disability program responsibilities. (MD-712, section 7d(8))

- What specific training is provided by your agency to managers/supervisors regarding affirmative employment of people with disabilities?
- Does the training include information on agency goals, attitudes, and perceived barriers?
- How often is the training provided?

23. Provide leadership, guidance, and resources for an Employees Advisory Committee. (MD-712, section 7d(9))

- Does your agency have an Employee Advisory Committee for People with Disabilities?
- How is your agency ensuring that sufficient staff support is allocated to the Committee's activities?
- How often has the committee met with the head of the agency to discuss perceived barriers?

24. Cooperate with unions. (MD-712, section 7d(10))

- How does your agency consult with employee unions (if applicable) when preparing AEP plans, updates and reports?
- How does your agency ensure that provisions in collective bargaining agreements do not adversely impact individuals with disabilities?

25. Maintain liaison with outside national and local agencies and organizations concerned with education or rehabilitation and employment of individuals with disabilities. (MD-712, section 7d(11))

- How does your agency consult with these outside groups before making policy changes that affect individuals with disabilities? What groups?
- How often does your agency utilize outside contacts who can provide advice on resolving problems or removing barriers related to hiring, placement, advancement, and retention of individuals with disabilities?

Section III: Setting Numerical Objectives and Establishing or Updating Target Dates for Completing Objectives for Facility Accessability and Planned Actions for Barrier Removal - - EEOC FORM 440, Part I

This section provides instruction on completing Part I of the EEOC FORM 440. Once potential problems are identified, agencies are to examine them to determine causes, address the causes and eliminate the barrier.

Every agency has unique factors that can cause barriers. Therefore, it is impossible to list every possible barrier. However, agencies may not use their unique factors as an excuse for allowing barriers to exist; they must be addressed and eliminated.

This section includes:

- The cover page for EEOC FORM 440.
- Page 2 of FORM 440, with detailed, line-by-line instructions. Flags and cross checks are noted where information and data from the accomplishment report should be consistent.
- Page 3 of FORM 440, with criteria for determining if the agency needs new recruitment strategies.
- Page 4 of FORM 440, with instructions on adequate agency narratives on planned activities for facility and technology accessability and barrier removal.
- Page 5 of FORM 440, with instructions on adequate agency narratives on planned activities for removal of barriers caused by management policy, practices, and/or procedures.
- Instructions on the content and purpose of the Executive Summary, which is now required for all MD-713 reports.

EEOC FORM 440 - (cover page).

This page is shown on page 30 of 46.

The cover page identifies the reporting agency, the number of employees covered by the plan, and requires the signature of the agency official responsible for the program and the agency head.

For the **total number of employees covered by the plan,** add the total permanent work force reported on EEOC FORM 440, page 10 to the total temporary work force reported on EEOC FORM 440, page 7-A.

AFFIRMATIVE ACTION PROGRAM PLAN UPDATE AND REPORT OF ACCOMPLISHMENTS FOR AGENCY WITH 1,001 OR MORE EMPLOYEES

AFFIRMATIVE ACTION PROGRAM FOR INDIVIDUALS WITH HANDICAPS

Plan update for the period Oct. 1, 20__, through Sept. 30, 20__
Report for the period Oct. 1, 20__, through Sept. 30, 20

Report all employees, whether temporary or permanent, full-time, part-time, intermittent, or paid with non-appropriated funds.

AGENCY

AGENCY ADDRESS

NUMBER OF EMPLOYEES COVERED BY THIS PLAN

NAME OF PERSON PREPARING THIS FORM

TELEPHONE NUMBER

EEO Officer signs here

SIGNATURE OF RESPONSIBLE OFFICIAL

DATE

NAME AND TITLE OF RESPONSIBLE OFFICIAL

Must be signed by the Agency Head

SIGNATURE OF AGENCY HEAD

DATE

NAME AND TITLE OF AGENCY HEAD (CERTIFIES THAT THIS REPORT IS IN COMPLIANCE WITH EEO-MD-713 "AFFIRMATIVE ACTION FOR HIRING, PLACEMENT, AND ADVANCEMENT OF INDIVIDUALS WITH HANDICAPS")

EEOC FORM 440 (10/87)

EEOC FORM 440, page 2 Numerical Objectives (Goals) for Employment of Persons with Targeted Disabilities (TD) (Based on Permanent Work Force)

Purpose of EEOC FORM 440, page 2: To guide agencies in setting employment goals for people with targeted disabilities, based on total agency employment projections. Both sets of goals are required so that if an agency's total hiring is lower than projected, it can focus on the employment goal.

Chart at Top of Page: Anticipated Changes in Work Force

This portion of FORM 440, page 2 is shown on the next page (32 of 46).

LOSSES:

The Human Resources Office (HRO) usually has an indication of whether there will be a major reorganization, a Reduction in Force (RIF), an increase in retirements, or if the normal number of employees are expected to leave the agency. The projection from the HRO should be only for the total permanent work force. If there will be major changes, obtain a prediction from the HRO regarding the number of employees (total permanent) expected to leave the agency in the upcoming FY. Agencies are not permitted to predict that no employees will leave.

Line A - Losses for the Total Work Force is for predicting the rate of loss for all permanent employees in the total work force. Enter in box A1 the number of employees expected to leave the agency. Calculate the expected rate of loss by dividing the number of employees expected to leave by the number of permanent employees in the work force at the end of the current FY and insert the rate in box A2.

Line B - Losses with Handicap Reported is for predicting the loss of employees who reported a disability. Unless there is documentation that employees with disabilities will leave at a faster or a slower rate, compared to employees who do not report disabilities, enter in box B2 the same rate as on the first line (box A2). Multiply this rate by the number of employees who reported a disability at the beginning of the reporting FY. Insert this number in the box at B1.

Line C - Losses Targeted Disabilities is for predicting the loss of employees with targeted disabilities. Compare the rate used in box A2 with the actual rate of separations by employees with targeted disabilities last year. Insert the higher of the two rates into the box C2. Multiply this rate by the number of employees who reported a targeted disability at the beginning of the reporting FY and insert the result in the box at C1. Agencies are not permitted to predict that no employees with targeted disabilities will leave.

ONLY the chart on the top portion of FORM 440, page 2 is shown below

Include only the PERMANENT WORK FORCE!

DO NOT include temporary employees.

Contact the Human Resources Office (HRO) for projections of hires and separations	ANTICIPATED CHANGES IN WORKFORCE FROM OCT. 1, 20__, TO SEPT. 30, 20__	
	NUMBER + OR -	PERCENT CHANGE +/-
A LOSSES (TOTAL WORK FORCE)	**A1** Number of employees (from total permanent work force) expected to leave during upcoming FY	**A2 =** TOTAL # of employees anticipated to leave / TOTAL work force at end of current FY
B LOSSES WITH HANDICAP REPORTED	**B1** Number of employees with disabilities expected to leave the agency in the upcoming FY	**B2 =** TOTAL # of employees with disabilities anticipated to leave / TOTAL # of employees with disabilities at end of current FY
C LOSSES TARGETED DISABILITIES (TD)	**C1** Number of employees with Targeted Disabilities expected to leave agency in the upcoming FY	**C2 =** TOTAL # of employees with targeted disabilities anticipated to leave / TOTAL # of employees with targeted disabilities at end of FY
D ACCESSIONS (TOTAL WORK FORCE)	**D1** Number of employees expected to enter the agency in the upcoming FY	**D2 =** TOTAL # of employees anticipated to enter work force / TOTAL # of employees at end of current FY
E ACCESSIONS WITH HANDICAP REPORTED	**E1** Number of employees with disabilities expected to enter the agency in the upcoming FY	**E2 =** TOTAL # of employees with disabilities anticipated to enter WF / TOTAL # of employees at end of current FY
F ACCESSIONS TARGETED DISABILITIES (TD)	**F1** Number of employees with TD expected to enter the agency in the upcoming FY	**F2 =** TOTAL # of employees with targeted disabilities anticipated to enter WF / TOTAL # of employees at end of current FY

ACCESSIONS:

Obtain from HRO the number of permanent employees anticipated to be hired in the upcoming FY. Budget increases, new programs, an increased number of retirements, and/or the lifting of a hiring freeze can cause an increase in the number and rate of accession of new employees. If any of these events are anticipated, the HRO should

increase the rate of expected accessions, compared to last year's report. Conversely, the rate of accessions can decrease with budget cuts, hiring freezes, etc.

Line D - Accessions for the Total Work Force is for predicting the number of new permanent employees for the coming year. Enter the anticipated number of accessions, as discussed in the preceding paragraph, in box D1. Divide this number by the total number of permanent employees at the end of the FY (from page 10 of FORM 440) to obtain the projected rate of accessions. Enter this number in box D2.

Line E - Accessions with Handicap Reported is for predicting the number of new employees with handicap reported. (This number would include people with targeted disabilities.) The rate entered in box E2 should be the same or higher than the rate in box D2. Multiply the rate by the number of employees with disabilities at the beginning of the FY to obtain the number of people with disabilities expected to enter the agency in the upcoming FY. Enter this number in box E1.

Line F - Accessions Targeted Disabilities is for predicting the number of new employees with targeted disabilities. Enter in box F2 a rate that is higher than the rate in box E2. Agencies with a low representation rate of employees with targeted disabilities are encouraged to set higher targets for this group.

The estimated availability of people with targeted disabilities within the population of work aged adults is **5.95%,** or one in every 17 people. For additional information on the availability rate, see Appendix A of MD-713.

EEOC FORM 440, page 2 – Chart at Center of Page

Line G - Total Work Force

Obtain from the agency data base the total number of permanent employees as of the end of the fiscal year. This number should also be the same number that appears in the accomplishment report on EEOC FORM 440, page 7, 3rd row/column 1; enter this number in space G1.

This portion of FORM 440 page 2 is shown below.

In space G3, enter the difference between projected losses for the total work force (A1) and projected accessions for the total work force (D1) from the top of FORM 440, page 2. This number is the projected net gain or loss for the upcoming FY. If a net loss is projected, include a minus sign. Next, divide the net gain/loss (G3) by the total permanent workforce (G1) and enter the result in space G4. This is the anticipated rate of gain or loss.

	WORK FORCE ACTUAL DATA AS OF 9/30/__		ANTICIPATED CHANGES IN WORK FORCE FROM 10/1/__ TO 9/30/__		ANTICIPATED DATA AS OF 9/30/__	
	NUMBER	%	NUMBER + OR -	* % CHANGE + OR -	NUMBER	%
TOTAL WORK FORCE	**G1** 3rd row/Column 1 FORM 440 pg. 7	100%	**G3** D1 - A1	**G4** G3 ÷ G1	**G5** G1 + G3	100%
HANDICAP REPORTED	**H1** 3rd row/Column 2 FORM 440 pg. 7	**H2** H1 ÷ G1	**H3** E1 - B1	**H4** H3 ÷ H1	**H5** H1 + H3	**H6** H5 ÷ G5
TARGETED DISABILITIES	**J1** 3rd row/Column8 FORM 440 pg. 7	**J2** J1 ÷ G1	**J3** F1 - C1	**J4** J3 ÷ J1	**J5** J1 + J3	**J6** J5 ÷ G5

* CALCULATE THIS PERCENTAGE BY DIVIDING THE NUMBER + OR - BY THE CORRESPONDING NUMBER IN THE WORK FORCE AS OF THE BEGINNING OF THE REPORTING PERIOD.

Add (or subtract) the net gain/loss (G3) from the total work force (G1) and enter in space G5. This is the number of employees your agency has predicted it will have at the end of the next FY.

Projections for employees with handicap reported (line H) and targeted disabilities (line J) are calculated in the same manner.

Line H - Handicap Reported

Obtain from the agency data base the total number of permanent employees with reportable disabilities as of the end of the fiscal year. This number should also be the same number that appears in the accomplishment report on EEOC FORM 440, page 7, 3rd row/column 2; enter this number in space H1.

Divide the number in H1 by the number in space G1 to obtain the current participation rate for employees with reportable disabilities; enter it in space H2. In space H3, enter the anticipated gain or loss for employees with reportable disabilities, which is the difference between the number of projected losses from employees with disabilities (B1) and the number of projected gains (E1). If it is a negative number, include a minus sign.

Divide the anticipated gain/loss (H3) by the current number of employees with reportable disabilities (H1) to obtain the rate of anticipated change; enter this in space H4. Add (or subtract) the anticipated net change (H3) from the current number of employees with reportable disabilities (H1) to determine the anticipated number of employees with reportable disabilities at the end of the next FY; enter in space H5. Divide the number in H5 by the number in G5 to determine the participation rate that would be achieved if the projections are achieved; enter the result in space H6.

Line J - Targeted Disabilities

Obtain from the agency data base the total number of permanent employees with targeted disabilities as of the end of the fiscal year. This number should also be the same number that appears in the accomplishment report on EEOC FORM 440, page7, 3rd row/column 8; enter this number in space J1.

Divide the number in J1 by the number in space G1 and enter it in space J2. In space J3, enter the difference between C1 and F1. If it is a negative number, include a minus sign. Divide the number in J3 by the number in J1 and enter the result in space J4. Add (or subtract) the number in space J3 from the number in space J1 and enter in space J5. Divide the number in J5 by the number in G5 and enter the result in space J6.

EEOC FORM 440, page 2 – Chart at Bottom of Page: Numerical Objectives

This portion of FORM 440, page 2 is shown below.

A. **Total number of accessions of persons with targeted disabilities** - Place on this line the number in the last row of the top box, in space F1.

B. **Percent of accessions of persons with targeted disabilities** - Divide the number in the last line of the top box, in space F1 by the number in D1.

C. **Total number of persons with targeted disabilities on board as of September 30, 20_** (the end of the upcoming FY) - Use the number in the last line of the center box, in space J5.

D. **Percent of workforce with targeted disabilities as of September 30, 20__** (the end of the upcoming FY) - Use the rate in the last line of the center box, in space J6.

NUMERICAL OBJECTIVES FOR THE PERIOD 10/1/20____ TO 9/30/20____		
A.	TOTAL NUMBER OF ACCESSIONS OF PERSON WITH TD	Number from F1
B.	PERCENT ACCESSIONS OF PERSONS WITH TD	Rate from dividing F1 by D1
C.	TOTAL NUMBER OF PERSONS WITH TD ON BOARD AS OF SEPTEMBER 30, 20____:	Number from J5
D.	PERCENT OF WORK FORCE WITH TD AS OF SEPTEMBER 30, 20____:	Rate from J6

EEOC FORM 440, page 3 Plan for Special Recruitment Program

Purpose of EEOC FORM 440, page 3: To prompt agencies to revise their plan if their "achievement" in the past year did not meet the criteria stated on FORM 440, page 3.

A completed sample of EEOC FORM 440, page 3 is on page 37. ☞

Whenever an agency has not met the employment objective [see last two lines of EEOC FORM 440, page 2 from the previous FY submission for the employment objective]; or, has not received a sufficient number of applications from people with targeted disabilities (or does not track applications), it is required to establish new recruiting strategies.

The agency should not list the same strategies described in the prior year, because those strategies failed. Target dates must be set. The agency may not say "ongoing" in lieu of a target date. It is acceptable to state an interval, with a starting date. For example "June 30, 2002 and at the end of each quarter."

PLAN FOR SPECIAL RECRUITMENT PROGRAM

Agencies are to establish and maintain special recruitment programs for individuals with handicaps with the specified severe disabilities. The purpose is to obtain applications from qualified individuals with handicaps. A revised and improved plan for a special recruitment program is required unless:

A. the agency met its previous year's employment objectives

(If so, check here: [ ])

or

B. the number of applications received from persons with targeted disabilities was at least two times the number of accessions that would have been necessary to achieve the objectives.

(If so, check here: [ ])

IF NEITHER OF THESE CONDITIONS HAS BEEN MET, list new recruiting strategies that will be instituted so that the agency can meet its current employment objectives.

NEW RECRUITING STRATEGIES	TARGET DATES
Contact the disability program or accessability offices at the local colleges and universities to obtain mailing/email addresses to which vacancy announcements may be sent.	June 2003
In cooperation with the college/university accessibility offices, conduct on-campus training sessions in applying for federal positions.	Once each semester beginning in April 2003
For major occupations, post "open" vacancy announcements and collect/monitor applications from people with targeted disabilities.	May 2003, and in the 1st month of each quarter annually

EEOC FORM 440 (pg. 3) (10/87)

FACILITY ACCESSIBILITY

A. LIST ANY UNMET OBJECTIVES FOR BARRIER REMOVAL THAT WERE ESTABLISHED IN PREVIOUS SUBMISSIONS BUT HAVE NOT BEEN ACCOMPLISHED. REMOVAL STRATEGIES ARE TO BE REVISED SO THAT THESE OBJECTIVES CAN BE ACCOMPLISHED PRIOR TO THE END OF THE FISCAL YEAR COVERED BY THIS PLAN.

OBJECTIVES	ORIGINAL TARGET DATES	REVISED TARGET DATES	REVISED REMOVAL STRATEGIES
1. Make one restroom on each floor in the headquarters building fully accessible.	May, 2002	April, 2003	Delay was caused by the building's historical landmark status. Approval is nearly completed. RFP is ready to go as soon as approval is received.

B. LIST ADDITIONAL OBJECTIVES FOR BARRIER REMOVAL DURING THE PERIOD COVERED BY THIS PLAN.

OBJECTIVES	TARGET DATES
1. Remove sink apron in restrooms #20, 22, 30, & 36 in building 25. Sink apron extends too low, in violation of the Uniform Federal Accessibility Standards (UFAS) and prevents wheel chair users from accessing the sinks comfortably.	1. September 2003
2. Reconfigure 5% of chemist lab work stations to improve accessibility.	2. January 2003
3. Improve lighting in main corridors of building 2 to meet candlepower requirements in UFAS.	3. June 2003

EEOC FORM 440 (pg. 4) (10/87)

EEOC FORM 440, page 4 - Facility Accessibility

Purpose of EEOC FORM 440, page 4: To assist agencies in planning for barrier removal. Agencies should continuously survey their facilities for compliance with the Uniform Federal Accessibility Standards (UFAS) and the Americans with Disabilities Act (ADA). Agencies should also survey their uses of electronic mediums to ensure compliance with Section 508 of the Rehabilitation Act. Barriers, or non-compliance, should be prioritized so that the most severe ones are addressed first.

☞ A completed sample of the FORM 440, page 4 is shown opposite on page 38 of 46.

Section A. - Unmet Objectives

Any barriers listed in prior plans that have not been removed should be listed in this section. Target dates and removal strategies should be revised, based on the agency's difficulty with removing the barrier during the past year.

Section B. - Additional Objectives

During the course of the past year, employees, applicants, visitors, facility staff and others may have identified barriers to facilities, and/or electronic and information technology used by the agency that were not previously noted in the plan. These barriers and removal target dates should be listed here.

Agencies are encouraged to conduct periodic facility accessibility surveys, enlisting the assistance of members of the agency's disability advisory committee.

- If a barrier cannot reasonably be removed within the reporting/planning year, an agency may wish to break down the process into steps, and each year report the next step as an objective.
- Accessibility of electronic and information technology (required by Section 508 of the Rehabilitation Act) should be included on this form.

ALTERNATIVES TO PERSONNEL OR MANAGEMENT POLICIES, PRACTICES, OR PROCEDURES WHICH RESTRICT HIRING, PLACEMENT, AND ADVANCEMENT OF INDIVIDUALS WITH HANDICAPS

A. LIST BARRIERS WHICH WERE IDENTIFIED IN PREVIOUS SUBMISSIONS BUT FOR WHICH ALTERNATIVES HAVE NOT YET BEEN INSTITUTED:

BARRIERS	ALTERNATIVES	PLANNED ACTIONS	CURRENT TARGET DATES	DATES INDICATED PREVIOUSLY
1. There are no instructions for the EEO element of managers' performance plans. Justifications for appraisals do not emphasize hiring of people with disabilities.	1. Clear instructions for determining satisfactory vs outstanding performance.	1a. Write instructions. 1b. Implement new instructions	1a. 02/03 1b. 04/03	1a. 07/02 1b. 09/02

B. LIST BARRIERS NOT PREVIOUSLY IDENTIFIED FOR WHICH ALTERNATIVES SHOULD BE INSTITUTED:

BARRIERS	ALTERNATIVES	PLANNED ACTIONS	TARGET DATES
1. Employees with targeted disabilities are clustered in the GS 5 -12 range.	1. Promote, especially if the employee is in a career ladder.	1. Examine the OPFs for employees in career ladder positions at the GS 9 and 11 levels to determine if they can be promoted.	1. 05/03
2. Hiring officials resent having to pay for technical assistance, readers, interpreters, etc. from their budget.	2. A centralized budget for accessibility, including paid slots for readers, interpreters, and personal assistants..	2a. Set up a centralized budget by requiring each component to contribute a set percentage of their budget. 2b. Contract with the DoD Computer Assistance Program (CAP) for assistive technology.	2a. 08/03 2b. 04/03
3. Employees with disabilities report that they are rarely selected for special assignments, task forces, and other high visibility projects.	3. As each special assignment, task force, etc., is approved by management, include an assessment of the composition.	3a. Distribute a memo to managers alerting them of the perceived problem. 3b. Monitor the composition of each project/task force.	3a. 03/03 3b. Quarterly, as groups are formed.

ENOUGH OF THE TARGET DATE INDICATED SHOULD BE PRIOR TO THE END OF THE FISCAL YEAR COVERED BY THIS PLAN SO THAT SUBSTANTIAL PROGRESS TOWARD ELIMINATION OF BARRIERS WILL HAVE BEEN BY THAT TIME. ALL BARRIERS THAT ARE LISTED IN ITEM "A" ABOVE SHOULD BE REMOVED PRIOR TO THE END OF THE FISCAL YEAR COVERED BY THIS PLAN.

EEOC FORM 440 (pg. 5) (10/87)

EEOC FORM 440, page 5:

☞ A completed sample of FORM 440, page 5 is shown on page 40 of 46.

Alternatives to Personnel or Management Policies, Practices, or Procedures Which Restrict Hiring, Placement, and Advancement of Individuals With Handicaps

Purpose of EEOC FORM 440, page 5: To encourage agencies to address non-physical barriers which prevent or hinder individuals with disabilities from competing or participating on an equal basis.

Based upon an agency's responses to the series of questions posed in the disability program barrier analysis, some examples of possible, non-physical barriers could be:

- job announcements that are limited to agency employees or to federal employees;
- hiring officials who only hire from their alma mater;
- hiring officials who only hire people who are referred by fellow managers;
- limited funds for providing reasonable accommodation, or a lack of knowledge of the funds that are available;
- job announcements that include irrelevant physical requirements;
- an agency practice of awarding high visibility assignments to the same people who, as a result, receive cash awards and promotions.

Some further examples of how barriers might be addressed in the Plan Update:

If qualified people with targeted disabilities are applying, but are not being hired

➥Conduct focus groups with hiring officials to identify any impediments address the issues identified.

If hiring officials indicate that the funding of reasonable accommodations is an issue

➥then establish centralized funding.

If the quality of applications is an issue

➥then work with the recruitment contacts (colleges, universities, etc.) to ensure that they have appropriate application software and knowledge that can be shared with student applicants

If hiring officials are hesitant to select people with disabilities because of lack of knowledge

➥then invite supervisors of such employees to speak to the other managers

If people with targeted disabilities are clustered in the lower pay grades:

➥Analyze the data to determine if this is occurring in specific job series. If so, recruit or re-train employees with targeted disabilities for career ladder positions.

If it impacts employees in one disability category or in all categories

➥then monitor the career progress of employees with targeted disabilities, especially those in career ladder positions.

➥ Provide career counseling and training for employees with targeted disabilities.

If people with targeted disabilities are leaving the agency after only one or two years

➥Analyze the departures by agency component to determine if the majority are separating from one or two components (then focus on the causes in those components); or

➥Conduct exit interviews of all employees to obtain feedback on any internal agency factors that led to their decision to leave.

If qualified people with targeted disabilities are not applying for agency vacancies

➥Verify that announcements are reaching appropriate resources, e.g. for Professional and administrative occupations, colleges and universities that offer degrees in fields central to the agency mission.

➥For technical and Clerical occupations, resources should include office automation and other training facilities as well as the Department of Veterans Affairs and State Vocational Rehabilitation offices.

If certain types of targeted disabilities are not evident in the agency's work force

➥Include support groups and advocacy organizations for those disability groups among the agency's recruitment resources;

➥provide awareness/training to managers/supervisors and employees regarding that type of disability.

If people with targeted disabilities are not participating in the agency's special employment programs, (student and summer employment, cooperative education, internships, etc.)

➥Contact the disability program coordinators at colleges and universities which offer degrees in fields central to your agency mission to recruit qualified candidates.

If employees with targeted disabilities are not participating in agency-sponsored developmental programs or training

➥Analyze your work force to determine that the agency has employees with disabilities who are eligible.

If the agency has eligible employees with targeted disabilities

➥Ensure that training announcements as well as required training materials are provided in accessible formats;

➥ Determine whether employees with targeted disabilities are applying for the developmental programs or training.

If employees with disabilities are not applying for developmental programs or training

➥hold a focus group to find out why they are not applying.

If employees with targeted disabilities are participating in and completing the agency's developmental programs, but not receiving career enhancement opportunities or promotions

➥Enlist the assistance of selecting/training officials/review panels to identify barriers to the promotion of these employees.

➥Evaluate and provide assistance/counseling to officials and/or candidates as needed.

If employees with targeted disabilities are not receiving incentive awards in a number proportionate to their representation in the agency work force

➥Determine if they have received appropriate consideration/nomination and opportunities to participate in assignments which would offer visibility.

If the agency has not re-surveyed the work force in the past five years

➥Survey all employees regarding their disability status.

A completed sample of an Executive Summary is on page 45. ☞

Final Step - Executive Summary

Purpose of the Executive Summary: To alert all managers and supervisors of their responsibilities regarding any problems and barriers to the participation of individuals with disabilities.

Once all the data is completed and analyzed, and the agency has identified barriers and plans for addressing the barriers, the Executive Summary can be written.

Essential elements of the Executive Summary are:

- Acknowledgment and a description of any low participation rates for individuals with targeted disabilities in the total agency, higher pay grades (GS 13 - SES), and the Professional and Administrative job categories.
- A comparison of the net increase (or decrease) in the total number of employees in the agency, compared to the net increase (or decrease) of employees with targeted disabilities during the past FY.
- An explanation of the agency's next FY goal for the number of employees with targeted disabilities.
- An explanation of major barriers and a summary of what is expected from managers and supervisors to address the barriers.

The Executive Summary should be as short and concise as possible, but must contain the four elements listed above. Extraneous information, such as an agency mission statement, should not be included in the Executive Summary.

Place the Executive Summary immediately before or after the cover page to ensure that it will be seen by the target audience: managers and supervisors.

Executive Summary

The Department of XYZ has not improved its representation of employees with targeted disabilities and has made only a small improvement in the number of employees with reportable disabilities. The representation rates for each group is below the Federal averages and well below the availability rate provided by EEOC. Although the agency experienced a net increase of ten percent last year, employees with targeted disabilities only increased by six percent.

Given our size (50,000 employees), parity for individuals with targeted disabilities would be 2,975 employees. We have 500 employees with targeted disabilities. If the Department's size remains the same and we increase our numbers by 75 employees with targeted disabilities (above and beyond replacing those who leave), we will raise their ratio from 1% to 1.2%. This is the goal of the Department of XYZ for the FY 2003. Therefore, all hiring officials are encouraged to ensure that individuals with targeted disabilities are recruited for any job openings.

Employees with disabilities, especially those with targeted disabilities, are concentrated in the lower pay grades (GS 1 - 8) and under represented in the upper pay grades (GS 13 - SES), as compared to the distribution of employees with no disabilities. Employees with targeted disabilities are slightly under represented in the Professional job category. Managers and supervisors are encouraged to ensure that qualified employees with targeted disabilities are considered for promotion. Employees with targeted disabilities who are performing in a satisfactory manner in career ladder positions should receive promotions within the same time frame as their peers.

Managers and supervisors are also encouraged to consider employees with disabilities for special assignments, task forces, and other high visibility projects. The composition of task forces, committees, and groups assigned to other special projects will be examined to ensure balanced participation.

In the past year, the Department of XYZ has addressed several barriers; policies and practices that created barriers were changed, and some physical barriers were removed. Managers and supervisors are encouraged to watch for physical barriers and report them to the Disability Program Manager.

The report provides a breakdown of the employment data as well as information on barriers identified and addressed and those that will be addressed in FY 2003. A major initiative will be a centralized budget for reasonable accommodation.

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