

# **Annual EEO Program Status Report**

## **Management Directive – 715**

**Department of Health and Human Services**

**National Institutes of Health**

**Office of Equal Opportunity and Diversity Management**

**October 1, 2009 to September 30, 2010**



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**EEOC Form  
715-01 Part A – D**

*U.S. Equal Employment Opportunity Commission*

**Federal Agency Annual EEO Program Status Report**

**For period covering October 1, 2009, to September 30, 2010.**

**Part A – Department or Agency Identifying Information**

<b>1. Agency</b>	1. Department of Health and Human Services
<b>1a. 2<sup>nd</sup> level reporting component</b>	National Institutes of Health
<b>1b. 3<sup>rd</sup> level reporting component</b>	N/A
<b>1c. 4<sup>th</sup> level reporting component</b>	N/A
<b>2. Address</b>	2. 1 Center Drive
<b>3. City, State, Zip Code</b>	3. Bethesda, Maryland 20892
<b>4. CPDF Code</b>	4. 240130031
<b>5. FIPS Code(s)</b>	5. 24

**Part B – Total Employment**

<b>1. Enter total number of permanent full-time and part-time employees</b>	<b>1. 13,391</b>
<b>2. Enter total number of temporary employees</b>	<b>2. 5,076</b>
<b>3. Enter total number employees paid from non-appropriated funds</b>	<b>3. 0</b>
<b>4. Total Employment [add lines B 1 through 3]</b>	<b>4. 18,467</b>

### Part C – Agency Official(s) Responsible For Oversight of EEO Programs(s)

1. Head of Agency Official Title	1. Director, National Institutes of Health
2. Agency Head Designee	2. N/A
3. Principal EEO Director/Official – Official Title/series/grade	3. Director, Office of Equal Opportunity and Diversity Management (OEODM), ES-0340
4. Title VII Affirmative EEO Program Official	4. Director, Division of Institutes and Center Services, OEODM
5. Section 501 Affirmative Action – Program Official	5. Disability Program Manager, OEODM
6. Complaint Processing Program Manager	6. Director, Division of Complaints Management and Resolution, OEODM
7. Other Responsible EEO Staff	7.

### Parte D – List of Subordinate Components Covered in This Report

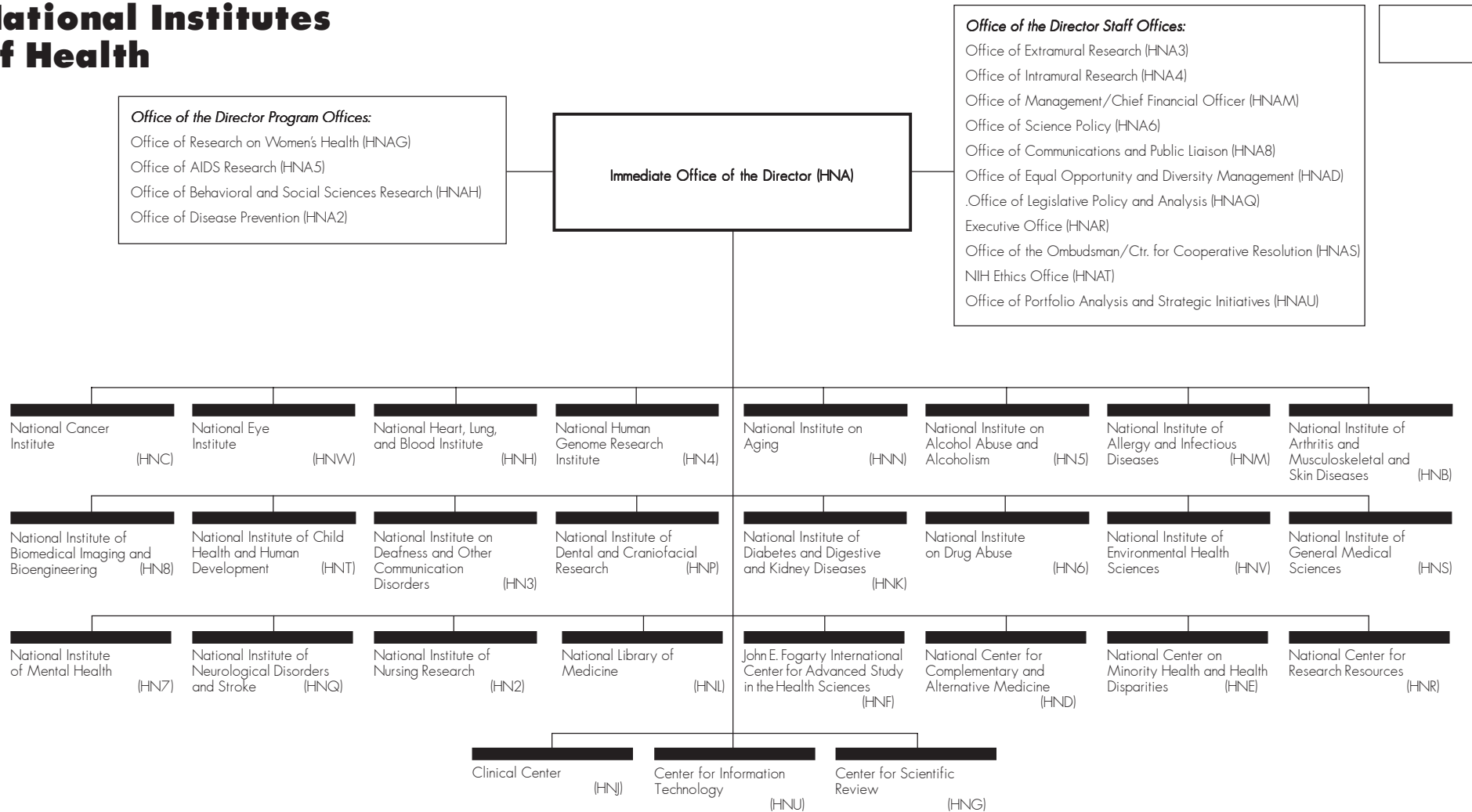
Subordinate Component and Location (City/State)	CPDF Code	FIPS Code
Office of the Director, Bethesda, MD		
National Cancer Institute, Bethesda, MD		
National Eye Institute, Bethesda, MD		
National Heart, Lung, and Blood Institute, Bethesda, MD		
National Human Genome Research Institute, Bethesda, MD		
National Institute on Aging, Bethesda, MD		
National Institute on Alcohol Abuse and Alcoholism, Bethesda, MD		
National Institute of Allergy and Infectious Diseases, Bethesda, MD		
National Institute of Arthritis and Musculoskeletal and Skin Diseases, Bethesda, MD		
National Institute of Biomedical Imaging and Bioengineering, Bethesda, MD		

Subordinate Component and Location (City/State)	CPDF Code	FIPS Code
National Institute of Child Health and Human Development, Bethesda, MD		
National Institute on Deafness and Other Communication Disorders, Bethesda, MD		
National Institute of Dental and Craniofacial Research, Bethesda, MD		
National Institute of Diabetes and Digestive and Kidney Diseases, Bethesda, MD		
National Institute on Drug Abuse, Bethesda, MD		
National Institute of Environmental Health Sciences, Research Triangle Park, NC		
National Institute of General Medical Sciences, Bethesda, MD		
National Institute of Mental Health, Bethesda, MD		
National Institute of Neurological Disorders and Stroke, Bethesda, MD		
National Institute of Nursing Research, Bethesda, MD		
National Library of Medicine, Bethesda, MD		
Center for Information Technology, Bethesda, MD		
Center for Scientific Review, Bethesda, MD		
John E. Fogarty International Center, Bethesda, MD		
National Center for Complementary and Alternative Medicine, Bethesda, MD		
National Center on Minority Health and Health Disparities, Bethesda, MD		
National Center for Research Resources, Bethesda, MD		
Clinical Center, Bethesda, MD		

## EEOC FORMS and Documents Included With This Report

<b>*Executive Summary [FORM 715-01 PART E], that includes:</b>	X	<b>*Optional Annual Self-Assessment Checklist Against Essential Elements [FORM 715-01PART G]</b>	X
Brief paragraph describing the agency's mission and mission-related functions	X	<b>*EEO Plan To Attain the Essential Elements of a Model EEO Program [FORM 715-01PART H] for each programmatic essential element requiring improvement</b>	X
Summary of results of agency's annual self-assessment against MD-715 "Essential Elements"	X	<b>*EEO Plan To Eliminate Identified Barrier [FORM 715-01 PART I] for each identified barrier</b>	X
Summary Analysis of the Workforce Profile	X	<b>*Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities for agencies with 1,000 or more employees [FORM 715-01 PART J]</b>	X
Summary of EEO Plan objectives planned to eliminate identified barriers or correct program deficiencies	X	<b>*Copy of Workforce Data Tables as necessary to support Executive Summary and/or EEO Plans</b>	X
Summary of EEO Plan action items implemented or accomplished	X	<b>*Copy of data from 462 Report as necessary to support action items related to Complaint Processing Program deficiencies, ADR effectiveness, or other compliance issues.</b>	
<b>*Statement of Establishment of Continuing Equal Employment Opportunity Programs [FORM 715-01 PART F]</b>	X	<b>*Copy of Facility Accessibility Survey results as necessary to support EEO Action Plan for building renovation projects</b>	
<b>*Copies of relevant EEO Policy Statement(s) and/or excerpts from revisions made to EEO Policy Statements</b>	X	<b>*Organizational Chart</b>	X

# National Institutes of Health



The Mission of the National Institutes of Health is science in pursuit of knowledge to improve human health. This means pursuing science to expand fundamental knowledge about the nature and behavior of living systems; to apply that knowledge to extend the health of human lives; and to reduce the burdens resulting from disease and disability.

The National Institutes of Health seeks to accomplish its mission by:

- Fostering fundamental discoveries, innovative research, and their applications in order to advance the Nation's capacity to protect and improve health;
- Developing, maintaining, and renewing the human and physical resources that are vital to ensure the Nation's capability to prevent disease, improve health, and enhance quality of life;
- Expanding the knowledge base in biomedical, behavioral, and associated sciences order to enhance America's economic well-being and ensure a continued high return on the public investment in research; and
- Exemplifying and promoting the highest level of scientific integrity, public accountability, and social responsibility in the conduct of science.



# EEO Policy Statement



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

National Institutes of Health  
Bethesda, Maryland 20892

**AUG 25, 2010**

**TO:** NIH Employees

**FROM:** Director, NIH

**SUBJECT:** Policy on Equal Employment Opportunity and Diversity Management

I am writing about a matter of considerable importance. It is critical that the NIH, as the world's premier biomedical research institution, continues to uphold its reputation for excellence by recruiting, training, and retaining employees from all backgrounds who are committed to working together to reach our common goal of better health for everyone. Therefore, I am taking this opportunity to ask all of you to join me in a commitment to achieving the goal of a discrimination-free work environment. This includes maintaining an atmosphere in which employment opportunities are open to all candidates. Here at NIH, hiring decisions must be made on the basis of merit, without regard to race, color, national origin, sex, religion, age, disability, genetic information, sexual orientation (through the Department of Health and Human Services (HHS) Policy on Sexual Orientation), and without reprisal for engaging in a prior protected activity.

In addition to our actions to eliminate employment barriers, we must make efforts to eliminate discrimination and harassment in any form at the NIH. This should be an environment where all feel welcome and their presence is valued. Employees and applicants who believe they have been discriminated against may exercise their right to seek redress by contacting the Office of Equal Opportunity and Diversity Management. Any manager or supervisor who discriminates or retaliates against an employee is subject to disciplinary action.

I am asking you to join me in vigorous support of these policies throughout the NIH, in order to demonstrate an inclusive and nondiscriminatory work environment that complements our noble mission.

**/Francis S. Collins/**

**Francis S. Collins, M.D., Ph.D.  
Director**

# **EEOC Form 715-01 Part E**

***U.S. Equal Employment Opportunity Commission***

## **Federal Agency Annual EEO Program Status Report**

### **Executive Summary**

#### **Agency Mission**

The mission of the National Institutes of Health (NIH) is to seek fundamental knowledge about the nature and behavior of living systems and the application of that knowledge to enhance health, lengthen life, and reduce the burdens of illness and disability.

The goals of the Agency are:

- to foster fundamental creative discoveries, innovative research strategies, and their applications as a basis for ultimately protecting and improving health;
- to develop, maintain, and renew scientific human and physical resources that will ensure the Nation's capability to prevent disease;
- to expand the knowledge base in medical and associated sciences in order to enhance the Nation's economic well-being and ensure a continued high return on the public investment in research; and
- to exemplify and promote the highest level of scientific integrity, public accountability, and social responsibility in the conduct of science.

#### **Summary of Fiscal Year 2010 Accomplishments and Fiscal Year 2011**

##### **Focus Areas**

The NIH fiscal year (FY) 2010 Annual EEO Program Status Report has three purposes. First, the report identifies program deficiencies and barriers to achieving a model EEO program. Second, the report delineates the planned actions necessary to address and/or eliminate the program deficiencies and barriers. Finally, the report outlines the Agency's accomplishments toward rectifying the program deficiencies and barriers. An analysis of the NIH workforce for FY 2010 was conducted to complete this report.

While the NIH made significant progress in FY 2010, four of the five focus areas will carry over into FY 2011. The focus area on the recruitment of American Indian/Alaska Native tenure track scientists has been eliminated. This focus area was eliminated based on findings from the Stadtman tenured and tenure track applicant tracking initiative for FY 2009 and 2010. Findings from the applicant tracking surveys show that all American Indian/Alaska Native applicants also self-identified as being Hispanic and/or as having 2 or more races. Hence, if hired, these applicants would not be reflected in the human resource database as American Indian/Alaska Native. Moreover, the benchmark for American Indian/Alaska Native tenure track scientists is less than 1%. While the recruitment of American Indian/Alaska Native tenure track scientists is not a focus area for FY 2011, the NIH will continue outreach and recruitment efforts to this group. The remaining focus areas will carry over into FY 2011 because the barriers have not been totally eliminated.

The four focus areas to be addressed in FY 2011 based on barriers identified in Part I of this report are as follows:

- Recruitment of Black tenured and tenure track scientists/investigators;
- Recruitment and retention of Hispanic employees;
- Recruitment of individuals with targeted disabilities; and
- Recruitment of Asian/Pacific Islander scientific lab and branch chiefs.

Tenured and tenure track scientists are the senior intramural scientists who largely guide the direction of the research conducted at the NIH. There are a total of 893 tenured and 259 tenure track scientists in the NIH workforce. Blacks comprise 1.0% of tenured scientists and 1.2% of tenure track scientists at the NIH. Given that diversity in the workplace and the elimination of disparities in health are of paramount importance, the NIH has chosen to focus on this group.

Hispanics represent 2.8% of the total NIH workforce and 10.7% of the civilian workforce. Further, the representation of Hispanics in the NIH workforce declined between FY 2008 and FY 2010; therefore, the NIH has chosen to focus on increasing the representation of this group.

The representation of individuals with targeted and reportable disabilities at the NIH increased between FY 2009 and FY 2010. The percentage of individuals with reportable disabilities increased from 4.6% to 6.1% and the percentage of individuals with targeted disabilities increased from .97% to 1.1%. This is largely the result of the NIH's hires from the Workforce Recruitment Program, the Office of Personnel Management's job fair for individuals with disabilities, the NIH job fair for individuals with disabilities and the workforce resurvey. The representation of individuals with targeted disabilities is still below the 2.0% Federal benchmark; hence, the NIH will continue outreach and recruitment efforts to individuals with targeted disabilities.

Lab and branch chiefs represent a cadre of senior leaders in the NIH intramural program. At the NIH, lab and branch chiefs are primarily tenured scientists. Asian/Pacific Islanders comprise 13.1% of the tenured scientists at the NIH; however, they account for 5.8% of the branch and lab chiefs. Given the importance of diversity in leadership, the NIH has chosen to focus on diversifying the population of lab and branch chiefs.

The NIH Director commissioned a diversity task force in FY 2010 to evaluate the scientific diversity efforts at the NIH and to make recommendations for improvement. The task force is comprised of senior leaders in the Agency. The results from this task force will be released in FY 2011.

The NIH Exit Survey was successfully piloted in FY 2010 and was launched NIH-wide effective FY 2011. The survey now collects information on the reasons for separation as well as collects demographic information so that trends can be assessed by race, ethnicity, gender and disability status. The Agency further assessed the involuntary separation rates of Black employees, no barriers were identified.

## **Summary of the Agency's Annual Self-Assessment**

The Agency has conducted its annual self-assessment against the MD-715 "Essential Elements." The following highlights the Agency's FY 2010 activities in support of a Model EEO Program.

### **Demonstrated Commitment from Agency Leadership**

- The Agency Head re-issued the Policy Statement on Equal Opportunity and Diversity Management on August 25, 2010.
- Agency senior executives and supervisors were evaluated on the EEO critical element in their performance plans.
- The Agency Head appointed a diversity task force headed by a senior leader to evaluate the intramural and extramural scientific diversity efforts at the NIH and to make recommendations for improvements.
- The Agency held a job fair for individuals with disabilities which resulted in 12 hires thus far, 2 began work in FY 2010.
- The Agency held a workshop on skills desirable for senior scientific leaders to educate scientists from all racial and ethnic groups interested in pursuing leadership positions.
- The Agency held eight Special Emphasis Program Observances to celebrate diversity and the scientific contributions of individuals from under-represented groups.

### **Integration of EEO into the Agency's Strategic Mission**

- The Office of Equal Opportunity and Diversity Management (OEODM) Director reported to the NIH Director.
- The OEODM Director attended senior staff meetings.
- The OEODM Director presented the "State of the Agency" to the NIH Director and senior leaders.
- EEO Specialists served on 159 search committees, qualification review boards and tenure/promotion review boards.
- The Agency implemented applicant tracking for tenured and tenure track vacancies after a successful pilot project.

### **Management and Program Accountability**

- The OEODM staff provided quarterly updates to Agency leaders on the demographics of the workforce and monthly updates on complaints activity.
- The Agency sponsored two mediation training seminars to enhance the skills of its EEO Counselors.

### **Proactive Prevention of Unlawful Discrimination**

- The Agency provided Prevention of Sexual Harassment training for 6557 employees on-line.
- The Agency provided No FEAR training for 8351 employees on-line.
- The Agency provided Diversity Management training for 1082 employees on-line.
- The Agency provided EEO Laws and Regulations training for 1034 employees on-line.
- The Agency provided Disability Awareness training for 1537 employees on-line.
- The Agency provided Reasonable Accommodations training for 559 employees on-line.
- The Agency provided Alternative Dispute Resolution training for 2272 employees on-line.

### **Efficiency**

- The Agency continued to utilize the electronic reasonable accommodations tracking system.

- Monthly complaint activity status reports were issued to each Institute and Center.
- The Agency conducted evaluations of all special emphasis programs and training sessions.
- The Agency utilized a web-based customer service survey to gather feedback on the services provided to the workforce.
- The Agency offered the option of alternative dispute resolution to employees who filed complaints.
- The Agency launched an electronic exit survey after a successful pilot to assess the reasons for separations.
- The Office of Equal Opportunity and Diversity Management and Office of Human Resources held a seminar in FY 2010 designed to improve collaborative targeted outreach and recruitment efforts.

### **Responsiveness and Legal Compliance**

- The Agency posted complaints statistical data on the website in compliance with the No FEAR Act.
- The Agency's average processing time for EEO counseling was 29 days without an extension and 70 days with an extension.

### **Summary Analysis of the Workforce Profile**

It is important to note that a significant number of the NIH employees are in Administratively Determined Pay Plans with time-limited appointments although they hold key positions in the organization. Many of these employees which are considered temporary are employed in mission critical occupations. Where possible, additional Business Objects tables which capture these employees have been included and used to complete this report. In cases where groups could not be captured using the Business Objects tables, supplemental tables have been included in Appendix A.

At the end of FY 2010, the NIH had a total workforce of 18,467 employees; of these 13,391 were permanent employees and 5,076 were temporary employees as indicated in the Business Objects database. The workforce totals do not include employees in the Commissioned Corps or Advisory Committee members. Women at the NIH comprised 58.8% and men comprised 41.2% of the FY 2010 workforce. In the 2000 Civilian Labor Force (CLF), women comprised 46.8% and men comprised 53.2%.

The workforce composition by race, ethnicity and gender is as follows:

Race/National Origin	NIH Total	NIH Males	NIH Females	CLF Total	CLF Male	CLF Female
White	59.7%	26.1%	33.6%	72.7%	39.0%	33.7%
Black	20.8%	6.0%	14.8%	10.5%	4.8%	5.7%
Hispanic	2.8%	1.2%	1.6%	10.7%	6.2%	4.5%
Asian/PI	16.2%	7.8%	8.4%	3.8%*	2.0%*	1.8%*
AI/AN	.5%	.2%	.4%	.6%	.3%	.3%

Rows and columns may not equal the total due to rounding  
\* Asian and Native Hawaiian or other Pacific Islander combined.

Overall, the NIH workforce increased by 177 individuals from FY 2009 to FY 2010. The following ratio changes occurred by race, ethnicity and gender:

Race/National Origin	Males	Females
White	-.0%	.1%
Black	-.1%	-.4%
Hispanic	.0%	-.0%
Asian/PI	.3%	.4%
AI/AN	-.0%	0.0%

The percentage of employees with targeted disabilities in the NIH workforce increased in FY 2010 reversing the decreasing trend. The representation of individuals with targeted disabilities in the NIH workforce remains below the Federal target of 2%.

	NIH FY 2007	NIH FY 2008	NIH FY 2009	NIH FY 2010	Federal Target
Targeted Disabilities	1.03%	1.02%	0.97%	1.10%	2.00%

## Trends in EEO Complaints

The number of complaints increased in FY 2010. This increase comes after a one year decrease. Non-sexual harassment remains the number one issue for formal complaints, while reprisal remains the number one basis. The Agency has not identified any barriers in this area.

	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
<b>Pre-Complaints</b>	93	128	133	122	132
<b>Formal Complaints</b>	48	75	90	80	82

All employees who wish to file complaints are given a choice of traditional EEO counseling or Alternative Dispute Resolution (ADR) where appropriate. Exceptions to this election of processes include allegations of sexual harassment and termination. The number of complainants offered and the percentage of employees electing ADR decreased significantly in FY 2010.

	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
<b># of Complainants Offered ADR by Agency</b>	92	131	124	131	115
<b># of Complaints Accepting ADR</b>	44	50	31	46	18
<b>% of Complainants Utilizing ADR</b>	48%	38%	25%	35%	16%





# EEOC Form 715-01 Part G

*U.S. Equal Employment Opportunity Commission*

## Federal Agency Annual EEO Program Status Report

### Agency Self-Assessment Checklist Measuring Essential Elements

#### Essential Element A – Demonstrated Commitment from Agency Leadership

Requires the agency head to issue written policy statements ensuring a workplace free of discriminatory harassment and a commitment to equal employment opportunity.

**Compliance Indicator: EEO policy statements are up-to-date.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
<p>The Agency Head (NIH Director) was installed on <u>August 17, 2009</u>. The EEO policy statement was issued on <u>September 25, 2009</u>.</p> <p>Was the EEO policy Statement issued within 6 - 9 months of the installation of the Agency Head?</p> <p>If no, provide an explanation.</p>	X		
<p>During the current Agency Head's tenure, has the EEO policy Statement been re-issued annually?</p> <p>If no, provide an explanation.</p>	X		
<p>Are new employees provided a copy of the EEO policy statement during orientation?</p>	X		
<p>When an employee is promoted into the supervisory ranks, is s/he provided a copy of the EEO policy statement?</p>	X		The EEO Policy Statement is posted annually on the NIH website for review by all employees.

**Compliance Indicator: EEO policy statements have been communicated to all employees**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Have the heads of subordinate reporting components communicated support of all agency EEO policies through the ranks?	X		
Has the agency made written materials available to all employees and applicants, informing them of the variety of EEO programs and administrative and judicial remedial procedures available to them?	X		
Has the agency prominently posted such written materials in all personnel offices, EEO offices, and on the agency's internal website? [see 29 CFR §1614.102(b)(5)]	X		

**Compliance Indicator: Agency EEO policy is vigorously enforced by agency management.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Are managers and supervisors evaluated on their commitment to agency EEO policies and principles, including their efforts to:	X		
resolve problems/disagreements and other conflicts in their respective work environments as they arise?	X		
address concerns, whether perceived or real, raised by employees and following-up with appropriate action to correct or eliminate tension in the workplace?	X		
support the agency's EEO program through allocation of mission personnel to participate in community out-reach and recruitment programs with private employers, public schools and universities?	X		

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
ensure full cooperation of employees under his/her supervision with EEO office officials such as EEO Counselors, EEO Investigators, etc.?	X		
ensure a workplace that is free from all forms of discrimination, harassment and retaliation?	X		
ensure that subordinate supervisors have effective managerial, communication and interpersonal skills in order to supervise most effectively in a workplace with diverse employees and avoid disputes arising from ineffective communications?	X		
ensure the provision of requested religious accommodations when such accommodations do not cause an undue hardship?	X		
ensure the provision of requested disability accommodations to qualified individuals with disabilities when such accommodations do not cause an undue hardship?	X		
Have all employees been informed about what behaviors are inappropriate in the workplace and that this behavior may result in disciplinary actions?	X		
Describe what means were utilized by the agency to so inform its workforce about the penalties for unacceptable behavior.			
Have the procedures for reasonable accommodation for individuals with disabilities been made readily available/accessible to all employees by disseminating such procedures during orientation of new employees and by making such procedures available on the World Wide Web or Internet?	X		
Have managers and supervisor been trained on their responsibilities under the procedures for reasonable accommodation?	X		

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

Requires that the agency's EEO programs be organized and structured to maintain a workplace that is free from discrimination in any of the agency's policies, procedures or practices and supports the agency's strategic mission.

**Compliance Indicator: 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.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
<p>Is the EEO Director under the direct supervision of the agency head? <b>[see 29 CFR §1614.102(b)(4)]</b></p> <p>For subordinate level reporting components, is the EEO Director/Officer under the immediate supervision of the lower level component's head official?</p> <p>(For example, does the Regional EEO Officer report to the Regional Administrator?)</p>	X		
<p>Are the duties and responsibilities of EEO officials clearly defined?</p>	X		
<p>Do the EEO officials have the knowledge, skills, and abilities to carry out the duties and responsibilities of their positions?</p>	X		
<p>If the agency has 2nd level reporting components, are there organizational charts that clearly define the reporting structure for EEO programs?</p>	X		
<p>If the agency has 2nd level reporting components, does the agency-wide EEO Director have authority for the EEO programs within the subordinate reporting components?</p>	X		
<p>If not, please describe how EEO program authority is delegated to subordinate reporting components.</p>			

**Compliance Indicator: The EEO Director and other EEO professional staff responsible for EEO programs have regular and effective means of informing the agency head and senior management officials of the status of EEO programs and are involved in, and consulted on, management/personnel actions.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the EEO Director/Officer have a regular and effective means of informing the agency head and other top management officials of the effectiveness, efficiency and legal compliance of the agency's EEO program?	X		
Following the submission of the immediately preceding FORM 715-01, did the EEO Director/Officer present to the head of the agency and other senior officials the "State of the Agency" briefing covering all components of the EEO report, including an assessment of the performance of the agency in each of the six elements of the Model EEO Program and a report on the progress of the agency in completing its barrier analysis including any barriers it identified and/or eliminated or reduced the impact of?	X		
Are EEO program officials present during agency deliberations prior to decisions regarding recruitment strategies, vacancy projections, succession planning, selections for training/career development opportunities, and other workforce changes?	X		EEO Officials are generally present during agency deliberations prior to decisions regarding recruitment strategies for senior level positions (e.g. SES, title 42 senior scientists). The OEODM recently developed a partnership with OHR to receive the NIH's staffing plan which delineates vacancy projections and aids in succession planning. However, EEO is still not involved in selections for training/career development opportunities
Does the agency consider whether any group of employees or applicants might be negatively impacted prior to making human resource decisions such as re-organizations and re-alignments?	X		

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Are management/personnel policies, procedures and practices examined at regular intervals to assess whether there are hidden impediments to the realization of equality of opportunity for any group(s) of employees or applicants? [see 29 C.F.R. § 1614.102(b)(3)]	X		
Is the EEO Director included in the agency's strategic planning, especially the agency's human capital plan, regarding succession planning, training, etc., to ensure that EEO concerns are integrated into the agency's strategic mission?	X		

**Compliance Indicator: The agency has committed sufficient human resources and budget allocations to its EEO programs to ensure successful operation.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the EEO Director have the authority and funding to ensure implementation of agency EEO action plans to improve EEO program efficiency and/or eliminate identified barriers to the realization of equality of opportunity?	X		
Are sufficient personnel resources allocated to the EEO Program to ensure that agency self-assessments and self-analyses prescribed by EEO MD-715 are conducted annually and to maintain an effective complaint processing system?	X		
Are statutory/regulatory EEO related Special Emphasis Programs sufficiently staffed?	X		
Federal Women's Program - 5 U.S.C. 7201; 38 U.S.C. 4214; Title 5 CFR, Subpart B, 720.204	X		
Hispanic Employment Program - Title 5 CFR, Subpart B, 720.204	X		

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
People With Disabilities Program Manager; Selective Placement Program for Individuals With Disabilities - Section 501 of the Rehabilitation Act; Title 5 U.S.C. Subpart B, Chapter 31, Subchapter I-3102; 5 CFR 213.3102(t) and (u); 5 CFR 315.709	X		
Are other agency special emphasis programs monitored by the EEO Office for coordination and compliance with EEO guidelines and principles, such as FEORP - 5 CFR 720; Veterans Employment Programs; and Black/African American; American Indian/Alaska Native, Asian American/Pacific Islander programs?	X		

**Compliance Indicator: The agency has committed sufficient budget to support the success of its EEO Programs.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Are there sufficient resources to enable the agency to conduct a thorough barrier analysis of its workforce, including the provision of adequate data collection and tracking systems		X	NIH is now able to track some but not all applicants for employment. NIH is now tracking applicants who apply via HHS careers and those who apply for tenured and tenure track positions; however, we are not yet able to track applicants who apply through other sources.
Is there sufficient budget allocated to all employees to utilize, when desired, all EEO programs, including the complaint processing program and ADR, and to make a request for reasonable accommodation? (Including subordinate level reporting components?)	X		
Has funding been secured for publication and distribution of EEO materials (e.g. harassment policies, EEO posters, reasonable accommodations procedures, etc.)?	X		

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Is there a central fund or other mechanism for funding supplies, equipment and services necessary to provide disability accommodations?	X		
Does the agency fund major renovation projects to ensure timely compliance with Uniform Federal Accessibility Standards?	X		
Is the EEO Program allocated sufficient resources to train all employees on EEO Programs, including administrative and judicial remedial procedures available to employees?	X		
Is there sufficient funding to ensure the prominent posting of written materials in all personnel and EEO offices? [see 29 C.F.R. § 1614.102(b)(5)]	X		
Is there sufficient funding to ensure that all employees have access to this training and information?	X		
Is there sufficient funding to provide all managers and supervisors with training and periodic up-dates on their EEO responsibilities:	X		
for ensuring a workplace that is free from all forms of discrimination, including harassment and retaliation?	X		
to provide religious accommodations?	X		
to provide disability accommodations in accordance with the agency's written procedures?	X		
in the EEO discrimination complaint process?	X		
to participate in ADR?	X		



### Essential Element C – Management and Program Accountability

This element requires the Agency Head to hold all managers, supervisors, and EEO Officials responsible for the effective implementation of the agency's EEO Program and Plan.

#### Compliance Indicator: EEO program officials advise and provide appropriate assistance to managers/supervisors about the status of EEO programs within each manager's or supervisor's area or responsibility

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Are regular (monthly/quarterly/semi-annually) EEO updates provided to management/supervisory officials by EEO program officials?	X		
Do EEO program officials coordinate the development and implementation of EEO Plans with all appropriate agency managers to include Agency Counsel, Human Resource Officials, Finance, and the Chief information Officer?	X		

#### Compliance Indicator: The Human Resources Director and the EEO Director meet regularly to assess whether personnel programs, policies, and procedures are in conformity with instructions contained in EEOC management directives. [See 29 CFR § 1614.102(b) (3)]

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Have time-tables or schedules been established for the agency to review its Merit Promotion Program Policy and Procedures for systemic barriers that may be impeding full participation in promotion opportunities by all groups?	X		
Have time-tables or schedules been established for the agency to review its Employee Recognition Awards Program and Procedures for systemic barriers that may be impeding full participation in the program by all groups?	X		

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Have time-tables or schedules been established for the agency to review its Employee Development/Training Programs for systemic barriers that may be impeding full participation in training opportunities by all groups?	X		

**Compliance Indicator: When findings of discrimination are made, the agency explores whether or not disciplinary actions should be taken.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the agency have a disciplinary policy and/or a table of penalties that covers employees found to have committed discrimination?	X		
Have all employees, supervisors, and managers been informed as to the penalties for being found to perpetrate discriminatory behavior or for taking personnel actions based upon a prohibited basis?	X		
Has the agency, when appropriate, disciplined or sanctioned managers/supervisors or employees found to have discriminated over the past two years?	X		
If so, cite number found to have discriminated and list penalty /disciplinary action for each type of violation.			
Does the agency promptly (within the established time frame) comply with EEOC, Merit Systems Protection Board, Federal Labor Relations Authority, labor arbitrators, and District Court orders?	X		
Does the agency review disability accommodation decisions/actions to ensure compliance with its written procedures and analyze the information tracked for trends, problems, etc.?	X		

## Essential Element D – Proactive Prevention

Requires that the agency head makes early efforts to prevent discriminatory actions and eliminate barriers to equal employment opportunity in the workplace

**Compliance Indicator: Analyses to identify and remove unnecessary barriers to employment are conducted throughout the year.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Do senior managers meet with and assist the EEO Director and/or other EEO Program Officials in the identification of barriers that may be impeding the realization of equal employment opportunity?	X		
When barriers are identified, do senior managers develop and implement, with the assistance of the agency EEO office, agency EEO Action Plans to eliminate said barriers?	X		
Do senior managers successfully implement EEO Action Plans and incorporate the EEO Action Plan Objectives into agency strategic plans?	X		
Are trend analyses of workforce profiles conducted by race, national origin, sex and disability?	X		
Are trend analyses of the workforce's major occupations conducted by race, national origin, sex and disability?	X		
Are trends analyses of the workforce's grade level distribution conducted by race, national origin, sex and disability?	X		
Are trend analyses of the workforce's compensation and reward system conducted by race, national origin, sex and disability?	X		
Are trend analyses of the effects of management/personnel policies, procedures and practices conducted by race, national origin, sex and disability?	X		

**Compliance Indicator: The use of Alternative Dispute Resolution (ADR) is encouraged by senior management.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Are all employees encouraged to use ADR?	X		
Is the participation of supervisors and managers in the ADR process required?	X		

**Essential Element E – Efficiency**

Requires that the agency head ensure that there are effective systems in place for evaluating the impact and effectiveness of the agency's EEO Programs as well as an efficient and fair dispute resolution process.

**Compliance Indicator: The agency has sufficient staffing, funding, and authority to achieve the elimination of identified barriers.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the EEO Office employ personnel with adequate training and experience to conduct the analyses required by MD-715 and these instructions?	X		
Has the agency implemented an adequate data collection and analysis systems that permit tracking of the information required by MD-715 and these instructions?	X		
Have sufficient resources been provided to conduct effective audits of field facilities' efforts to achieve a model EEO program and eliminate discrimination under Title VII and the Rehabilitation Act?	X		
Is there a designated agency official or other mechanism in place to coordinate or assist with processing requests for disability accommodations in all major components of the agency?	X		
Are 90% of accommodation requests processed within the time frame set forth in the agency procedures for reasonable accommodation?	X		

**Compliance Indicator: The agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the agency's EEO Programs.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the agency use a complaint tracking and monitoring system that allows identification of the location and status of complaints and length of time elapsed at each stage of the agency's complaint resolution process?	X		
Does the agency's tracking system identify the issues and bases of the complaints, the aggrieved individuals/complainants, the involved management officials and other information to analyze complaint activity and trends?	X		
Does the agency hold contractors accountable for delay in counseling and investigation processing times?	X		
If yes, briefly describe how: Timelines are specified in contracts and monitored for compliance by the Program Support Center.			
Does the agency monitor and ensure that new investigators, counselors, including contract and collateral duty investigators, receive the 32 hours of training required in accordance with EEO Management Directive MD-110?	X		
Does the agency monitor and ensure that experienced counselors, investigators, including contract and collateral duty investigators, receive the 8 hours of refresher training required on an annual basis in accordance with EEO Management Directive MD-110?	X		

**Compliance Indicator: The agency has sufficient staffing, funding and authority to comply with the time frames in accordance with the EEOC (29 C.F.R. Part 1614) regulations for processing EEO complaints of employment discrimination.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Are benchmarks in place that compare the agency's discrimination complaint processes with 29 C.F.R. Part 1614?	X		
Does the agency provide timely EEO counseling within 30 days of the initial request or within an agreed upon extension in writing, up to 60 days?	X		The average timeframe for EEO counseling in FY 2010 was 29 days without an extension and 70 days with an extension. Two cases were processed untimely.
Does the agency provide an aggrieved person with written notification of his/her rights and responsibilities in the EEO process in a timely fashion?	X		
Does the agency complete the investigations within the applicable prescribed time frame?	X		
When a complainant requests a final agency decision, does the agency issue the decision within 60 days of the request?			N/A-Responsibility of DHHS
When a complainant requests a hearing, does the agency immediately upon receipt of the request from the EEOC AJ forward the investigative file to the EEOC Hearing Office?	X		
When a settlement agreement is entered into, does the agency timely complete any obligations provided for in such agreements?	X		
Does the agency ensure timely compliance with EEOC AJ decisions which are not the subject of an appeal by the agency?	X		

**Compliance Indicator: There is an efficient and fair dispute resolution process and effective systems for evaluating the impact and effectiveness of the agency's EEO complaint processing program.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
In accordance with 29 C.F.R. §1614.102(b), has the agency established an ADR Program during the pre-complaint and formal complaint stages of the EEO process?	X		
Does the agency require all managers and supervisors to receive ADR training in accordance with EEOC (29 C.F.R. Part 1614) regulations, with emphasis on the federal government's interest in encouraging mutual resolution of disputes and the benefits associated with utilizing ADR?	X		
After the agency has offered ADR and the complainant has elected to participate in ADR, are the managers required to participate?	X		
Does the responsible management official directly involved in the dispute have settlement authority?		X	The Executive Officer is the settlement official. The Agency has decided to keep this structure.

**Compliance Indicator: The agency has effective systems in place for maintaining and evaluating the impact and effectiveness of its EEO programs.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the agency have a system of management controls in place to ensure the timely, accurate, complete and consistent reporting of EEO complaint data to the EEOC?	X		
Does the agency provide reasonable resources for the EEO complaint process to ensure efficient and successful operation in accordance with 29 C.F.R. § 1614.102(a) (1)?	X		
Does the agency EEO office have management controls in place to monitor and ensure that the data received from Human Resources is accurate, timely received, and contains all the required data elements for submitting annual reports to the EEOC?	X		
Do the agency's EEO programs address all of the laws enforced by the EEOC?	X		
Does the agency identify and monitor significant trends in complaint processing to determine whether the agency is meeting its obligations under Title VII and the Rehabilitation Act?	X		
Does the agency track recruitment efforts and analyze efforts to identify potential barriers in accordance with MD-715 standards?	X		Outreach and Recruitment efforts are tracked manually by the Special Emphasis Program Managers. Additionally, the agency collects applicant tracking data on tenured and tenure track applicants.
Does the agency consult with other agencies of similar size on the effectiveness of their EEO programs to identify best practices and share ideas?	X		



**Compliance Indicator: The agency ensures that the investigation and adjudication function of its complaint resolution process are separate from its legal defense arm of agency or other offices with conflicting or competing interests.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Are legal sufficiency reviews of EEO matters handled by a functional unit that is separate and apart from the unit which handles agency representation in EEO complaints?	X		
Does the agency discrimination complaint process ensure a neutral adjudication function?	X		
If applicable, are processing time frames incorporated for the legal counsel's sufficiency review for timely processing of complaints?			N/A-Responsibility of DHHS

**Essential Element F – Responsiveness and Legal Compliance**

This element requires that federal agencies are in full compliance with EEO statutes and EEOC regulations, policy guidance, and other written instructions.

**Compliance Indicator: Agency personnel are accountable for timely compliance with orders issued by EEOC Administrative Judges.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the agency have a system of management control to ensure that agency officials timely comply with any orders or directives issued by EEOC Administrative Judges?	X		

**Compliance Indicator: The agency's system of management controls ensures that the agency timely completes all ordered corrective action and submits its compliance report to EEOC within 30 days of such completion.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the agency have control over the payroll processing function of the agency? If Yes, answer the two questions below.			N/A-Responsibility of DHHS
Are there steps in place to guarantee responsive, timely, and predictable processing of ordered monetary relief?			N/A
Are procedures in place to promptly process other forms of ordered relief?			N/A

**Compliance Indicator: Agency personnel are accountable for the timely completion of actions required to comply with orders of EEOC.**

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Is compliance with EEOC orders encompassed in the performance standards of any agency employees?	X		An EEO critical element is included in the performance plans of senior executives, managers and supervisors.
If so, please identify the employees by title in the comments section, and state how performance is measured.			
Is the unit charged with the responsibility for compliance with EEOC orders located in the EEO office?	X		
If not, please identify the unit in which it is located, the number of employees in the unit, and their grade levels in the comments section.			
Have the involved employees received any formal training in EEO compliance?	X		

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Does the agency promptly provide to the EEOC the following documentation for completing compliance:			
Attorney Fees: Copy of check issued for attorney fees and /or a narrative statement by an appropriate agency official, or agency payment order dating the dollar amount of attorney fees paid?	X		
Awards: A narrative statement by an appropriate agency official stating the dollar amount and the criteria used to calculate the award?	X		
Back Pay and Interest: Computer print-outs or payroll documents outlining gross back pay and interest, copy of any checks issued, narrative statement by an appropriate agency official of total monies paid?	X		
Compensatory Damages: The final agency decision and evidence of payment, if made?	X		
Training: Attendance roster at training session(s) or a narrative statement by an appropriate agency official confirming that specific persons or groups of persons attended training on a date certain?	X		
Personnel Actions (e.g., Reinstatement, Promotion, Hiring, Reassignment): Copies of SF-50s	X		
Posting of Notice of Violation: Original signed and dated notice reflecting the dates that the notice was posted. A copy of the notice will suffice if the original is not available.	X		
Supplemental Investigation: 1. Copy of letter to complainant acknowledging receipt from EEOC of remanded case. 2. Copy of letter to complainant transmitting the Report of Investigation (not the ROI itself unless specified). 3. Copy of request for a hearing (complainant's request or agency's transmittal letter).	X		
Final Agency Decision (FAD): FAD or copy of the complainant's request for a hearing.	X		

Measures	Measure has been met	Measure has not been met	For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Restoration of Leave: Print-out or statement identifying the amount of leave restored, if applicable. If not, an explanation or statement.	X		
Civil Actions: A complete copy of the civil action complaint demonstrating same issues raised as in compliance matter.	X		
Settlement Agreements: Signed and dated agreement with specific dollar amounts, if applicable. Also, appropriate documentation of relief is provided.	X		

## EEOC Form 715-01 Part H

*U.S. Equal Employment Opportunity Commission*

### Federal Agency Annual EEO Program Status Report

### EEO Plan to Attain the Essential Elements of a Model EEO Program

#### FY 2010 – National Institutes of Health

**Table – Part H-1A**

<b>Statement of Model Program Essential Element Deficiency:</b>	A trend analysis of the NIH workforce compensation and reward system has not been conducted by race, national origin, sex and disability.
<b>Objective:</b>	Conduct a trend analysis of the workforce's compensation and reward system by race, ethnicity, gender and disability.
<b>Responsible Official:</b>	Director, OEODM and Director OHRM
<b>Date Objective Initiated:</b>	December 2007
<b>Target Date for Completion of Objective:</b>	Original date: September 30, 2008 <b>Revised date: June 2009</b>

**Table – Part H-1B**

Planned Activities Toward Completion of Objective:	Target Date (Must Be Specific)
1. Secure a statistician to conduct the analysis. <b>Status: Complete.</b>	March 2008
2. Complete the analysis <b>Status: Complete.</b>	Original Date: May 2008 <b>Revised Date: May 2009</b>
3. Present the findings of the analysis to the NIH leadership. <b>Status: Complete.</b>	Original Date: June 2008 <b>Revised Date: June 2009</b>
4. Make any changes warranted based on the results of the analysis. <b>Status: Complete.</b>	Original Date: August 2008 <b>Revised Date: Beginning June 2009</b>
<b>Report Of Accomplishments And Modifications To Objective</b>	
A compensation trend analysis of major scientific occupations by race, ethnicity, gender and disability status in the workforce was completed and the OEODM Director shared the findings with the NIH Deputy Director and Director for Intramural Research. A salary analysis was also conducted for the senior executive service pay plan and other selected pay plans. Additionally, trend analyses were conducted on monetary awards for the entire workforce. No changes were recommended based on these analyses.	

**Table – Part H-2A**

<b>Statement of Model Program Essential Element Deficiency:</b>	The lack of a mechanism to collect applicant flow data from all application sources prevents the Agency from assessing whether or not it is attracting a diverse applicant pool.
<b>Objective:</b>	Secure a mechanism to collect applicant flow data from all application sources. Increase the frequency of HHS Careers applicant flow reports. Utilize the tenured and tenure track applicant tracking mechanism.
<b>Responsible Official:</b>	Director, Office of Human Resources; Director of Office of Equal Opportunity and Diversity Management; Assistant Director, Office of Intramural Research
<b>Date Objective Initiated:</b>	The original objective was developed in September 2005 and was revised in September 2008 and 2010 based on progress made.
<b>Target Date for Completion of Objective:</b>	New Target Date: September 2012 Original Target Date: September 2006

**Table – Part H-2B**

<b>Planned Activities Toward Completion of Objective:</b>	<b>Target Date (Must Be Specific)</b>
Secure quarterly reports of the optional race, ethnicity and disability status data for all applicants applying to vacancies via HHS careers. <b>Status: Complete.</b>	December 2008
Develop a mechanism to allow applicants for tenured and tenure track vacancies to submit optional race/ethnicity and disability data <b>Status: Complete.</b>	September 2009
Work with HHS to develop a mechanism for capturing applicant flow data from all possible recruitment vehicles (e.g. USA jobs).	September 2012
<b>Report Of Accomplishments And Modifications To Objective</b>	
The Office of Human Resources continues to provide The Office of Equal Opportunity and Diversity Management with periodic applicant flow data from HHS Careers. However, reports have not been obtained every quarter due to reported vendor issues. The successful Office of Equal Opportunity and Diversity Management and Office of Intramural Research tenured and tenure track applicant tracking pilot project became a permanent mechanism effective FY 2011. Hence, applicant flow data is now collected for all tenured and tenure track vacancies. There is still no process for gathering applicant flow data for vacancies outside of HHS careers and tenured and tenure track vacancies.	

# EEOC Form 715-01 Part I

*U.S. Equal Employment Opportunity Commission*

## Federal Agency Annual EEO Program Status Report

### EEO Plan To Eliminate Identified Barrier

**FY 2010 Accomplishments & FY 2011 Plan  
DHHS, National Institutes of Health**

**Table – Part I-1A**

<p><b>Statement of Condition that Was a Trigger for a Potential Barrier:</b></p> <p>Provide a brief narrative describing the condition at issue.</p> <p>How was the condition recognized as a potential barrier?</p>	<p>There is a low participation rate of Black tenured and tenure track scientists in the NIH workforce.</p> <p>This condition was recognized after examining the participation rate of Black tenured and tenure track scientists in the NIH workforce. The participation rate of Black tenured and tenure track scientists in the NIH workforce was also compared to the participation rate of Black tenured and tenure track scientists with science and engineering doctorate degrees in U.S. universities.</p>
<p><b>Barrier Analysis:</b></p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>Business Objects data was analyzed by comparing the participation rates of all racial and ethnic groups in the NIH workforce. This demonstrated initial cause for concern. Further, the participation rate of Hispanics in the NIH workforce was compared to Hispanics in the civilian labor force. This revealed that the percentage of Hispanic males in the civilian labor force is more than four times greater than in the NIH workforce, and the percentage of Hispanic females in the civilian labor force is more than two times higher than in the NIH workforce.</p> <p>Additionally, the percentage of Hispanic employee hires and separations was examined and compared to the percentage of Hispanics in the NIH workforce. In FY 2010 Hispanics left the NIH at higher rates than they were hired. The representation of Hispanics in the NIH workforce is trending downward.</p>
<p><b>Statement of Identified Barrier:</b></p> <p>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>The NIH funds a number of programs to increase the pipeline of Black and other minority scientists including the National Institute on Minority Health and Health Disparities Loan Repayment Program; however, NIH has not fully tapped into these sources when seeking to fill tenured and tenure track vacancies.</p> <p>The NIH lacks best practice strategies for recruiting and retaining Black tenured and tenure track scientists.</p>

<p><b>Objective:</b> State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>Utilize the forthcoming findings and recommendations of the Diversity Task Force appointed by the Agency Head in FY 2010.</p> <p>Utilize the forthcoming findings and recommendations from the focus groups held in FY 2010 with tenured and tenure track scientists, postdoctoral fellows, and scientific directors.</p> <p>Continue building relationships with Black professional scientific organizations and associations comprised of experienced scientists.</p> <p>Continue advertising vacancy announcements for tenured and tenure track positions with Black professional scientific organizations and associations comprised of experienced scientists.</p> <p>Continue reaching out to doctorate level minority scientists who are recipients of NIH pipeline programs.</p>
<p><b>Responsible Official:</b></p>	<p>Assistant Director, Division of Intramural Research; Black Employment Program Manager; Scientific Directors, Institute/Center Directors; Director, Office of Human Resources; and Director, Office of Equal Opportunity and Diversity Management</p>
<p><b>Date Objective Initiated:</b></p>	<p>The original objective was initiated on November 9, 2004; however, modifications were made in FY 2007, FY 2008 and FY 2010.</p>
<p><b>Target Date for Completion of Objective:</b></p>	<p>March 2012</p> <p>March 2012 is the target date for implementation of recommendations from the Diversity Task Force formed in FY 2010 and the focus groups conducted in FY 2010.</p> <p>The Agency will continuously work to build and maintain relationships with scientific organizations with a cadre of scientists with the requisite skills for tenured and tenure track positions.</p> <p>The Agency will continue advertising tenured and tenure track positions with professional scientific organizations with significant numbers of Black scientists as well as continue outreach efforts to racial and ethnic minority doctorate level recipients of NIH pipeline programs.</p>

**Table – Part I-1B**

<p><b>Planned Activities Toward Completion of Objective:</b></p>	<p><b>Target Date (Must Be Specific)</b></p>
<p>The Assistant Director, Office of Intramural Research and the Black Employment Program Manager will establish relationships with organizations and associations comprised of scientists with the requisite skills to fill tenured and tenure track vacancies.</p> <p><b>Status: Complete.</b></p> <p>The Agency will continue to cultivate existing relationships and establish new ones.</p>	<p>June 2008</p>



Planned Activities Toward Completion of Objective:	Target Date (Must Be Specific)
<p>The NIH will advertise tenured and tenure track positions with Black professional scientific organizations and associations comprised of experienced scientists.</p> <p><b>Status: Complete.</b></p> <p>The Agency will continue to advertise vacancies with organizations.</p>	June 2008
<p>The Black Employment Program Manager and EEO Specialists will continue to work with search committees to identify Black candidates for tenured and tenure track vacancies.</p> <p><b>Status: Complete.</b></p> <p>EEO representation will continue on search committees.</p>	June 2007
<p>The Assistant Director, Office of Intramural Research will compile an exhaustive list of websites and key contacts for reaching Black and other underrepresented minority scientists. These sources will be used to inform a diverse pool of candidates about NIH vacancies.</p> <p><b>Status: Complete.</b></p> <p>The Assistant Director, Office of Intramural Research has compiled the list and will continue sending vacancy announcements to key contacts.</p>	September 2009
<p>The Assistant Director, Office of Intramural Research will contact the Program Directors for the National Institutes of General Medical Sciences Minority Opportunities in Research Programs (e.g. MBRS) to determine whether they have alumni who have the requisite skills to compete for tenured and tenure track vacancies.</p> <p><b>Status: Complete.</b></p> <p>The Assistant Director, Office of Intramural Research has made contact with the program directors and continues to send monthly e-mail listings of tenured and tenure track vacancies.</p>	September 2009
<p>The Office of Intramural Research and the National Center on Minority Health and Health Disparities will establish a postdoctoral intramural training program to recruit minority recipients of the National Center on Minority Health and Health Disparities loan repayment program. This will further increase the pool of Black and other minority scientists prepared for tenured and tenure track positions.</p> <p><b>Status: Complete.</b></p> <p>The program has been established and three individuals have participated thus far. The group includes Black scientist representation.</p>	September 2011
<p>The Agency will secure a contractor to conduct focus groups to learn more about scientists' (e.g. senior and entry level) perceptions of the reasons for the low numbers of Black tenured and tenure track scientists in the NIH workforce, and to gather recommendations for improving the representation.</p> <p><b>Status: Partial Completion</b></p> <p>The focus groups have been conducted; however, the report containing the findings and recommendations has not yet been released.</p>	<p>Previous target date: June 2010</p> <p>New target date: January 2011</p>
<p>The Diversity Task Force appointed by the Agency Head will evaluate the scientific diversity efforts at NIH and make recommendations for improvement.</p>	September 2011

## Planned Activities Toward Completion of Objective:

Target Date  
(Must Be  
Specific)

### Report Of Accomplishments And Modifications To Objective

Twenty-seven tenured\* and twenty-eight tenure track scientists were approved for hire in FY 2010; however, none were Black. The number and percentage of Black tenured and tenure track scientists at NIH decreased in FY 2010.

The Office of Equal Opportunity and Diversity Management and Office of Intramural Research successfully piloted an applicant tracking process to collect race, ethnicity and gender data in a multi-vacancy tenure track search (Earl Stadtman Investigator). Based on this initiative, the Agency was able to determine the diversity of 55% of the applicant pool as well as obtain information on how the applicants learned about the vacancy. As a result of this successful pilot, the Agency now routinely collects applicant tracking data from applicants for tenured and tenure track positions.

The Agency Head appointed a diversity task force in FY 2010 comprised of senior leaders to evaluate diversity efforts in scientific careers at the NIH, and charged the task force with making recommendations for improvements.

The Office of Intramural Research established the Diversity Strike Force in FY 2010 to generate recommendations for increasing diversity.

Based on feedback from NIH fellows, staff scientists, staff clinicians, principal investigators and the Diversity Strike Force, the following actions were implemented in FY 2010 to increase diversity at the tenured and tenure track ranks:

- A seminar series on diversity was initiated at the scientific directors' meetings. Scientific directors are the leaders of the intramural programs which employ tenured and tenure track scientists.
- The course content for new tenure track investigators was revised to include topics on the promotion of diversity and inclusion. Tenure track investigators have opportunities to select postdoctoral fellows who are a part of the pool for future tenured and tenure track investigators.
- The search committees were informed that the degree to which tenured and tenure track candidates articulate a plan or commitment to fair and inclusive hiring practices could be used as a selection criteria.

The Agency commissioned a series of focus groups in FY 2010 to learn more about scientists' perceptions of the reasons for the low numbers of Black tenured and tenure track scientists in the NIH workforce, and to gather recommendations for improving the representation. The final report from the focus group is pending; however, results from the groups will be used to address any barriers.

The Black Scientist Network expanded to a regional network that includes over 180 scientists from Virginia to Illinois in FY 2010. The group is now called the Black Scientists and Friends Network and includes scientists of other races who have an interest in increasing diversity in the biomedical research workforce. The group educates a diverse group of scientists on how to compete for NIH positions.

In FY 2010 three Disparities Research Education Advancing our Mission (DREAM) fellows trained at the NIH. DREAM is a postdoctoral intramural research program which recruits recipients of the National Institute on Minority Health and Health Disparities Loan Repayment Program. This group included Black representation.

The Agency actively attempted to recruit former participants of NIH programs with significant minority participation. These programs include the Undergraduate Scholars Program, NIH Academy, Howard Hughes Medical Institute and the Clinical Research Training Program.

The Office of Intramural Training and Education staff built alliances with potential tenured and tenure track applicants by attending workshops and career fairs, as well as by conducting outreach to Historically Black Colleges and Universities and other minority serving institutions in FY 2010

In FY 2010 the Agency, began distributing vacancy announcements to [www.Minoritypostdoc.org](http://www.Minoritypostdoc.org), a web portal which attracts a large population of racial and ethnic minority postdoctoral scientists. Additionally, the Agency sent vacancy announcements to all postdoctoral attendees of the 2009 Annual Biomedical Research Conference. This conference attracts a large population of racial and ethnic minority postdoctoral scientists.

In FY 2010, NIH continued sending monthly e-mails of tenured and tenure track vacancies to the following organizations and institutions which have access to a cadre of minority scientists:

- the diversity specialists in American Academy of Medical Colleges accredited medical schools throughout the United States; and
- the program directors at minority serving institutions for the National Institute of General Medical Sciences Minority Opportunities in Research Programs.

Planned Activities Toward Completion of Objective:	Target Date (Must Be Specific)
<p>The NIH also continued sending monthly e-mails of tenured and tenure track vacancies to the following in FY 2010:</p> <ul style="list-style-type: none"> <li>• Directors and Principal Investigators for the National Center for Research Resources' Research Centers in Minority Institutions Program;</li> <li>• The Leadership Alliance/Brown University;</li> <li>• The NIH Black Scientists Listserver;</li> <li>• The Meyerhoff Program;</li> <li>• Harvard Medical School's Biomedical Science Careers Program; and</li> <li>• Known Black scientists with requisite skills for tenured and tenure track vacancies.</li> </ul> <p>The NIH also continues to build a pipeline of minority scientists by funding programs such as the NIH Undergraduate Scholarship Program, NIH Academy, and Minority Access to Research Careers.</p> <p>EEO Specialists as well as racial and ethnic minority and women scientists continued to serve on tenured and tenure track search committees in FY 2010. Search committees also continued to receive listings for minority journals and organizations for placing paid advertisements.</p> <p>*Twenty of the twenty-seven tenured approvals for hire were promotions from tenure track.</p>	

**Table – Part I-2A**

<p><b>Statement of Condition that Was a Trigger for a Potential Barrier:</b></p> <p>Provide a brief narrative describing the condition at issue.</p> <p>How was the condition recognized as a potential barrier?</p>	<p>There is a low participation rate of Hispanic employees in the NIH workforce.</p> <p>This condition was recognized after examining the participation rate of Hispanic employees in the NIH workforce. The participation rate of Hispanics in the NIH workforce was also compared to the participation rate of Hispanics in the civilian labor force.</p>
<p><b>Barrier Analysis:</b></p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>Business Objects data was analyzed by comparing the participation rates of all racial and ethnic groups in the NIH workforce. This demonstrated initial cause for concern. Further, the participation rate of Hispanics in the NIH workforce was compared to Hispanics in the civilian labor force. This revealed that the percentage of Hispanic males in the civilian labor force is more than four times greater than in the NIH workforce, and the percentage of Hispanic females in the civilian labor force is more than two times higher than in the NIH workforce.</p> <p>Additionally, the percentage of Hispanic employee hires and separations was examined and compared to the percentage of Hispanics in the NIH workforce. In FY 2010 Hispanics left the NIH at higher rates than they were hired. The representation of Hispanics in the NIH workforce is trending downward.</p>
<p><b>Statement of Identified Barrier:</b></p> <p>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>Limited numbers of Hispanics are hired. In FY 2010 approximately 2% of all new hires were Hispanic.</p> <p>Additionally, Hispanic employees leave the NIH at rates comparable to their total percentage in the workforce.</p> <p>Hispanics reportedly perceive limited career advancement opportunities in the NIH workforce.</p>

<b>Objective:</b> State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	Direct targeted outreach and recruitment efforts to the Hispanic population for all NIH vacancies. Collect and utilize information obtained from the NIH Exit Survey to learn more about the reasons for the separation rates of Hispanic employees. Promote the HHS Mentoring Program
<b>Responsible Official:</b>	Hispanic Employment Program Manager Director, Office of Human Resource Management
<b>Date Objective Initiated:</b>	This objective was initiated in September 2007 and amended in November 2008, 2009 and 2010.
<b>Target Date for Completion of Objective:</b>	September 30, 2012 The process to complete this objective has been ongoing. Each year the agency targets specific venues to recruit Hispanic employees. Additionally, the agency notifies key organizations and individuals in the Hispanic community about NIH vacancies.

**Table – Part I-2B**

Planned Activities Toward Completion of Objective:	Target Date (Must Be Specific)
<p>The Special Emphasis Program Manager for the Hispanic Employment Program will network with the Hispanic community to educate the population about the types of jobs available at NIH. Additionally, the Hispanic Employment Program Manager will inform the Hispanic community of NIH vacancies as they occur.</p> <p><b>Status: Complete.</b></p> <p>The Hispanic Employment Program Manager and Office of Human Resources Corporate Recruitment staff informed the Hispanic community about NIH vacancies in FY 2010 and will continue to do so in the future.</p>	September 2007
<p>The NIH will advertise vacancies in the Hispanic community.</p> <p><b>Status: Complete.</b></p> <p>The Agency advertised job vacancies in the Hispanic community through mediums such as LatPro in FY 2010 and will continue to do so in the future.</p>	September 2007
<p>The Hispanic Employment Program Manager will build new relationships and strengthen existing relationships with Hispanic organizations which can serve as referral and advertising sources for NIH vacancies.</p> <p><b>Status: Complete.</b></p> <p>The Hispanic Employment Program Manager strengthened the Agency's existing relationship with Hispanic organizations and built new relationships in FY 2010 and will continue to do so in the future.</p>	September 2007

Planned Activities Toward Completion of Objective:	Target Date (Must Be Specific)
<p>The NIH will utilize the HHS Mentor Program as a vehicle to facilitate mentoring relationships for Hispanic employees.</p> <p><b>Status: Complete.</b></p> <p>The Agency promoted the HHS Mentor Program in FY 2010 and will continue to do so in the future. Nearly 5% of the 2009 program participants were Hispanic.</p>	January 2009
<p>The NIH will launch a pilot exit survey.</p> <p><b>Status: Complete.</b></p> <p>The exit survey was tested during the pilot phase and was launched NIH-wide effective October 2010. Race, ethnicity, gender and disability status questions were added to the survey.</p>	June 2010
<p>The NIH will utilize the findings from exit surveys to learn about the reasons for Hispanic employee separations. Data from the survey will be analyzed quarterly to determine whether there are common themes in the reasons cited by Hispanic employees for leaving the Agency.</p>	September 2011
<p><b>Report Of Accomplishments And Modifications To Objective</b></p> <p>The NIH hired 39* new Hispanic employees in FY 2010.</p> <p>The Agency participated in a career fair at the University of Puerto Rico Mayaguez Campus. This outreach activity resulted in the hire of two students and the selection of two students for summer internships.</p> <p>The Agency hired 14 Hispanic summer interns and hosted 90 students from the Hispanic Youth Initiative.</p> <p>The Agency advertised 8 global employment announcements with LatPro. This announcement generated over 6000 hits or viewings of the announcements.</p> <p>The Hispanic Employment Program Manager and Office of Human Resources Corporate Recruitment staff attended a career fair hosted by the National Society for Hispanic Professionals and LatPro. Over 300 potential candidates were in attendance.</p> <p>The Hispanic Employment Program Manager and Office of Human Resources Corporate Recruitment staff attended the National Hispanic Medical Association's Conference and made several contacts.</p> <p>NIH Institutes and Centers participated in the following conferences which target Hispanics in the sciences:</p> <ul style="list-style-type: none"> <li>• Society for the Advancement of Chicanos and Native Americans in Science;</li> <li>• Hispanic Association of Colleges and Universities; and</li> <li>• Annual Biomedical Research Conference for Minority Students.</li> </ul> <p>* Source: NIH Data Warehouse &amp; Human Resources Database (excludes commission corps and advisory council)</p>	

**Table – Part I-3A**

<p><b>Statement of Condition that Was a Trigger for a Potential Barrier:</b></p> <p>Provide a brief narrative describing the condition at issue.</p> <p>How was the condition recognized as a potential barrier?</p>	<p>There is a low participation rate of persons with targeted disabilities in the NIH workforce.</p> <p>This condition was recognized after examining the participation rate of individuals with targeted disabilities in the NIH workforce.</p>
<p><b>Barrier Analysis:</b></p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>Business Objects data was analyzed by comparing the participation rate of individuals with targeted disabilities in the NIH workforce with the Federal benchmark. Representation of individuals with targeted disabilities in the NIH workforce is lower than the benchmark.</p>
<p><b>Statement of Identified Barrier:</b></p> <p>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>Limited utilization of special hiring authorities for hiring qualified individuals with disabilities.</p> <p>Limited targeted outreach and recruitment to qualified individuals with disabilities.</p>
<p><b>Objective:</b></p> <p>State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>Target outreach and recruitment for NIH vacancies to qualified individuals with disabilities.</p> <p>Educate managers, supervisors and selecting officials about usage of the special hiring authorities for qualified individuals with disabilities.</p> <p>Utilize the Office of Personnel Management’s shared register of individuals with disabilities.</p> <p>Partner with organizations serving individuals with disabilities seeking employment.</p>
<p><b>Responsible Official:</b></p>	<p>Disability Employment Program Manager</p> <p>Director, Office of Human Resource Management</p>
<p><b>Date Objective Initiated:</b></p>	<p>The initial objective was initiated in January 2005 and revised in December 2007 and 2010.</p>
<p><b>Target Date for Completion of Objective:</b></p>	<p>September 2011</p> <p>Much progress has been made toward the first two objectives as evidenced by the FY 2010 workforce increase in the representation of individuals with disabilities. The Agency will continue targeting outreach and recruitment to individuals with disabilities and educating managers and supervisors.</p> <p>The Agency will implement the additional two objectives in FY 2011.</p>

**Table – Part I-3B**

Planned Activities Toward Completion of Objective:	Target Date (Must Be Specific)
<p>Continue providing in-service trainings and briefings for managers and supervisors on usage of special hiring authorities.</p> <p><b>Status: Complete.</b></p> <p>The Agency provided 10 briefings on special hiring authorities for managers and supervisors in FY 2010 and will continue conducting briefings in the future.</p>	September 2008
<p>Continue utilizing the Workforce Recruitment Program as a vehicle for employing individuals with disabilities.</p> <p><b>Status: Complete.</b></p> <p>The Agency hired 21 individuals with disabilities from the workforce recruitment program in FY 2010 and will continue to utilize this vehicle in the future.</p>	August 2008
<p>Continue conducting manager and supervisor training on reasonable accommodations.</p> <p><b>Status: Complete.</b></p> <p>The Agency conducted 10 briefings on reasonable accommodations in FY 2010 and will continue conducting briefings in the future.</p>	September 2008
<p>Access and utilize the information from the Office of Personnel Management’s shared register to fill vacancies</p>	September 2011
<p>Identify and partner with organizations which seek to find employment for individuals with disabilities.</p>	September 2011
<p><b>Report Of Accomplishments And Modifications To Objective</b></p> <p>The NIH hired a total of 86* new individuals with disabilities in fiscal year 2010; 17* of these individuals have targeted disabilities. The percentage of individuals with reportable and targeted disabilities in the NIH workforce increased in FY 2010. The increase is due to new hires and the workforce resurvey.</p> <p>The NIH hired 21 students from the Workforce Recruitment Program for students with disabilities.</p> <p>NIH participated in the April 2010 Office of Personnel Management hiring event and hired three individuals with disabilities.</p> <p>NIH also held its own hiring event for individuals with disabilities in August 2010; Multiple job offers were made as a result of this event and two of the individuals came aboard in FY 2010.</p> <p>Equal Employment Opportunity Specialists provided 10 training sessions on the Schedule A Hiring Authority and reasonable accommodations in FY 2010.</p> <p>*Source: NIH Data Warehouse &amp; Human Resources Database (excludes commission corps and advisory council)</p>	



**Table – Part I-4A**

<p><b>Statement of Condition that Was a Trigger for a Potential Barrier:</b></p> <p>Provide a brief narrative describing the condition at issue.</p> <p>How was the condition recognized as a potential barrier?</p>	<p>The low participation rate of Asian/Pacific Islanders in scientific lab and branch chief occupations.</p> <p>Asian/Pacific Islander scientists expressed concerns about the low number of Asian/Pacific Islanders employed in lab and branch chief positions. This condition was recognized after requesting a list of all intramural lab and branch chiefs from each of the NIH Institutes and Centers.</p>
<p><b>Barrier Analysis:</b></p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>The list of lab and branch chiefs was researched in the Data Warehouse and Office of Intramural Research databases to determine the race, ethnicity and tenure status of each individual occupying these positions. This data revealed that approximately 5.8% (FY 2010) of NIH lab and branch chiefs are Asian/Pacific Islander.</p> <p>Over 90% of the lab and branch chiefs at NIH are tenured investigators, and approximately 13.1% (FY 2010) of the tenured investigators at NIH are Asian/Pacific Islander. Asian/Pacific Islanders represent 10.3% of the tenured scientists in U.S. universities. See the data tables in Appendix A.</p> <p>The percentage of tenured scientists for all other racial/ethnic groups in the NIH workforce closely approximates their percentages in intramural lab and branch chief positions.</p>
<p><b>Statement of Identified Barrier:</b></p> <p>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>Limited numbers of Asian/Pacific Islanders are hired into intramural lab and branch chief positions.</p> <p>Asian/Pacific Islander scientists reportedly perceive limited opportunities for management positions.</p> <p>The NIH lacks best practice strategies for developing and promoting Asian/Pacific Islander scientists into lab and branch chief leadership positions.</p> <p><b>Note:</b></p> <p>The absence of an applicant tracking system limits the NIH’s ability to determine whether Asian/Pacific Islander candidates are applying for lab and branch positions.</p>
<p><b>Objective:</b></p> <p>State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>The NIH leadership will make a concerted effort to identify qualified Asian/Pacific Islander internal and external candidates for lab and branch chief vacancies.</p> <p>The NIH will utilize the forthcoming findings and recommendations of the Diversity Task Force appointed by the Agency Head in FY 2010.</p> <p>The NIH will utilize the forthcoming findings and recommendations from the focus groups held in FY 2010 with tenured and tenure track scientists, postdoctoral fellows, and scientific directors.</p>
<p><b>Responsible Official:</b></p>	<p>Asian/Pacific Islander Program Manager; Deputy Director, Intramural Research; Scientific Directors; Institute and Center Directors; Director, Office of Human Resource Management; and Director, Office of Equal Opportunity and Diversity Management</p>



<b>Date Objective Initiated:</b>	The original objective was initiated on November 17, 2008 and was modified in FY 2010.
<b>Target Date for Completion of Objective:</b>	March 2012 is the target date for implementation of the recommendations from the Diversity Task force formed in FY 2010 and the focus groups conducted in FY 2010.

**Table – Part I-4B**

<b>Planned Activities Toward Completion of Objective:</b>	<b>Target Date (Must Be Specific)</b>
<p>The search committees, EEO Specialists, Asian/Pacific Islander Program Manager, Assistant Director, Division of Intramural Research and Asian/Pacific Islander Program Employee Committee will work together to identify potential applicants for scientific lab and branch positions as they become available.</p> <p><b>Status: Ongoing.</b></p> <p>Vacancy announcements are distributed widely to diverse sources.</p>	As positions become available
<p>The NIH will secure a contractor to conduct focus groups to learn more about scientists' perceptions of the reasons why more Asian/Pacific Islander scientists are not lab and branch chiefs.</p> <p><b>Status: Partial Completion.</b></p> <p>The focus groups have been conducted; however, the report containing the findings and recommendations has not yet been received</p>	<p>Previous target date: July 2010</p> <p>New target date: January 2011</p>
<p>The NIH will host a panel discussion on career paths to becoming a scientific lab/branch chief.</p> <p><b>Status: Complete.</b></p> <p>The forum was held on September 1, 2010 and was rated highly by the attendees.</p>	August 2010
<p>The Diversity Task Force appointed by the Agency Head will evaluate the scientific diversity efforts at the NIH and make recommendations for improvement.</p>	September 2011

**Planned Activities Toward Completion of Objective:**

**Target Date  
(Must Be  
Specific)**

**Report Of Accomplishments And Modifications To Objective**

The Agency Head appointed a diversity task force in FY 2010 comprised of senior leaders to evaluate diversity efforts in scientific careers at the NIH and charged the task force with making recommendations for improvements.

The Agency hosted a workshop entitled "Skills Desirable for Senior Scientific Research Leaders" on September 1, 2010. The objectives of the workshop were to promote a better understanding of the scientific governance structure and to provide information on selection factors for senior scientific leadership positions. Presentations were given by the Deputy Director of Intramural Research and three scientific directors. The presentations were followed by a question and answer period.

The Agency commissioned a series of focus groups in FY 2010 to learn more about scientists' perceptions of the reasons for the low numbers of Asian/Pacific Islanders in lab and branch chief positions and to gather recommendations for improving their representation. The final report from the focus groups is pending; however, results from the groups will be used to address any barriers.

Based on feedback from NIH fellows, staff scientists, staff clinicians, principal investigators and the Diversity Strike Force, the following action was implemented in FY 2010 to increase diversity in the scientific leadership ranks:

- A diversity seminar series was implemented at the scientific directors' meetings. Scientific directors are the leaders of the intramural programs which employ lab and branch chiefs.

Search committee members for scientific lab/branch chief positions continued outreach efforts to potential Asian/Pacific candidates and encouraged them to apply.

An Asian/Pacific Islander tenured investigator continued serving as an advisor to the Office of Intramural Research.

# EEOC Form 715-01 Part J

*U.S. Equal Employment Opportunity Commission*

## Federal Agency Annual EEO Program Status Report

### Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals with Targeted Disabilities

#### Part I – Department or Agency Information

<b>1. Agency</b>	1. Department of Health and Human Services
<b>1a. 2<sup>nd</sup> Level Component</b>	1a. National Institutes of Health (NIH)
<b>1b. 3<sup>rd</sup> Level Component</b>	1b.

#### Part II – Employment Trend and Special Recruitment for Individuals with Targeted Disabilities

Enter Actual Number at the	Beginning FY 2010	Beginning FY 2010	End FY 2010	End FY 2010	Net Change	Net Change
	#	%	#	%	#	%
<b>Total Work Force</b>	18,290	100.00%	18,467	100.00%	177	.97%
<b>Reportable Disability</b>	844	4.61%	1,126	6.10%	282	33.41%
<b>Targeted Disability*</b>	177	.97%	240	1.10 %	27	15.25%

\* If the rate of change for persons with targeted disabilities is not equal to or greater than the rate of change for the total workforce, a barrier analysis should be conducted (see below).

<b>1. Total Number of Applications Received From Persons with Targeted Disabilities during the reporting period</b>	Unknown
<b>2. Total Number of Selections of Individuals with Targeted Disabilities during the reporting period.</b>	17 <sup>1</sup>

<sup>1</sup> Per NIH Data Warehouse and Human Resources Database 17 new individuals with targeted disabilities were hired in fiscal year 2010 (excludes commission corps and advisory council members)

### Part III – Participation Rates in Agency Employment Programs

Other Employment /Personnel Programs	Total	Reportable Disability #	Reportable Disability %	Targeted Disability #	Targeted Disability %	Not Identified #	Not Identified #	No Disability #	No Disability %
3. Competitive Promotions	Unk	Unk	Unk	Unk	Unk	Unk	Unk	Unk	Unk
4. Non-Competitive Promotions	Unk	Unk	Unk	Unk	Unk	Unk	Unk	Unk	Unk
5. Employee Career Development Programs	Unk	Unk	Unk	Unk	Unk	Unk	Unk	Unk	Unk
5a. Grades 5-12	6554	492	7.51%	115	1.75%	243	3.71%	5819	88.79%
5b. Grades 13-14	4904	317	6.46%	38	.77%	206	4.20%	4381	89.34%
5c. Grades 15/SES	1436	82	5.71%	8	.56%	80	5.57%	1274	88.72%
6. Employee Recognition and Awards									
6a. Time-Off Awards (total 9 or more hours awarded)	1859	109	5.86%	35	1.88%	56	3.01%	1694	91.12%
6b. Cash Awards (total more than \$500 awarded)	16328	710	4.35%	111	.68%	651	3.99%	14967	91.66%
6c. Quality Step Increase	1374	52	3.78%	8	.58%	31	2.26%	1291	93.96%

## **Part IV – Identification and Elimination of Barriers**

While the representation of individuals with targeted disabilities in the NIH workforce increased between fiscal years 2009 and 2010, it is still below the federal target of 2.00%. NIH continues to increase the utilization of special hiring authorities as well as increase targeted outreach and recruitment to individuals with targeted disabilities which were previously identified as barriers.

## **Part V – Goals for Targeted Disabilities**

The NIH will target outreach and recruitment for NIH vacancies to qualified individuals with disabilities. Further NIH will continue to educate managers, supervisors and selecting officials about usage of the special hiring authorities for qualified individuals with disabilities, as well as host and participate in hiring events to recruit individuals with targeted disabilities

The NIH aspires to increase the representation of individuals with targeted disabilities in fiscal year 2011 to 2.00% of the workforce..

## Appendix A

### NIH Tenured and Tenure Track Profile

#### Investigators – Tenure Track Scientists

	October 2008	October 2009	October 2010
White*	70.9%	66.4%	67.2%**
Black	1.6%	1.5%	1.2%
Hispanic	4.5%	3.8%	2.7%
Asian/Pacific Islander	23.1%	28.3%	29.0%**
Native American/Alaska Native	0%	0%	0%
Source: NIH Office of Intramural Research * White included the count of all Foreign Nationals regardless of race in 2008 ** Includes Foreign Nationals			

	October 2008	October 2009	October 2010
White*	175*	176**	174**
Black	4	4	3
Hispanic	11	10	7
Asian/Pacific Islander	57	75**	75**
Native American/Alaska Native	0	0	0
<b>Total</b>	<b>247</b>	<b>265</b>	<b>259</b>
Source: NIH Office of Intramural Research * White included the count of all Foreign Nationals regardless of race in 2008 ** Includes Foreign Nationals			

## Senior Investigators – Tenured Scientists

	October 2008	October 2009	October 2010
White*	84.0%*	83.3%**	82.6%**
Black	1.0%	1.1%	1.0%
Hispanic	2.6%	3.0%	3.1%
Asian/Pacific Islander	12.3%	12.5%	13.1%
Native American/Alaska Native	.1%	0.1%	0.1%
<p>Source: NIH Office of Intramural Research</p> <p>* White included the count of all Foreign Nationals regardless of race in 2008</p> <p>** Includes Foreign Nationals</p>			

	October 2008	October 2009	October 2010
White*	757*	757**	738**
Black	9	10	9
Hispanic	23	27	28
Asian/Pacific Islander	111	114	117
Native American/Alaska Native	1	1	1
Total	901	909	893
<p>Source: NIH Office of Intramural Research</p> <p>* White included the count of all Foreign Nationals regardless of race in 2008</p> <p>** Includes Foreign Nationals</p>			

## Tenured and Tenure Track Science and Engineering Faculty in U.S. Universities

	Tenured	Tenured Track
White*	82.5%	72.4%
Black	3.1%	5.2%
Hispanic	3.2%	4.1%
Asian/Pacific Islander	10.3%	17.5%
Native American/Alaska Native	.9%	.8%
Source: National Science Foundation as of 2006		

## NIH Lab and Branch Chief Profile

### NIH Lab and Branch Chief Equivalents

	%	#
White	89.3%	217
Black	1.7%	4
Hispanic	2.9%	7
Asian/PI	5.8%	14
AI/AN	0%	0
Unknown	.4%	1
Source: NIH ICs and nVision Data Warehouse as of September 2010		