



FISCAL YEAR 2020

AGENCY FINANCIAL REPORT

U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

HOW THIS REPORT IS ORGANIZED

This *Fiscal Year 2020 Agency Financial Report* (AFR) presents the U.S. Equal Employment Opportunity Commission's (the EEOC or agency) financial management and high-level performance information, including management challenges. We organize our AFR into the following major sections:

- **Management Discussion and Analysis (MD&A):** The MD&A provides an overview of the EEOC's performance and financial information, as well as the EEOC's operational highlights for fiscal year 2020. The MD&A highlights our strategic objectives and our accomplishments in achieving our mission. This section also highlights the agency's financial results and provides management's assurances on the agency's internal controls.
- **Financial Section:** This section outlines our efforts to be good stewards over the funds the agency receives to carry out its mission. Included is an independent auditor's opinion on the agency's financial statements.
- **Other Information:** This section includes the Inspector General's Statement on key management challenges, the agency's progress and plans to address them, and summary of Financial Statement Audit and Management Assurances tables.
- **Appendices:** Contains a glossary of the acronyms and definitions of terms used in the report.



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MESSAGE FROM THE CHAIR



I am pleased to present the U.S. Equal Employment Opportunity Commission's (EEOC) Agency Financial Report (AFR) for fiscal year (FY) 2020. The EEOC is dedicated to effective enforcement of the nation's federal equal employment opportunity laws. This report highlights the agency's achievements in advancing our mission to prevent and remedy unlawful employment discrimination and to advance equal employment opportunity in the workplace as well as our stewardship of resources in pursuit of that goal.

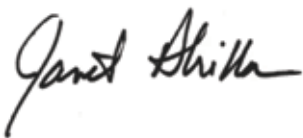
In fiscal year 2020 the agency continued to make the critical investments needed to focus on fulfilling our statutory responsibilities and addressing the Commission's needs and challenges. To maximize its effectiveness, the EEOC deployed its resources toward those efforts that promote broad compliance with federal workplace anti-discrimination laws and enhance the agency's service to the public.

In January, I presented "The Chair's Priorities for 2020." The five priorities are rooted in the EEOC's core mission, which guide our efforts to prevent and remedy unlawful employment discrimination and advance equal opportunity for all in the workplace. None of us knew, however, the unique challenges we would face soon after the introduction of these priorities. The impact of the pandemic on the work of the Commission was significant. The EEOC closed physical offices to the public and implemented agency-wide telework. I am proud to say that the agency met and overcame those challenges. The agency adapted quickly to telework and utilized new technologies to continue providing vital services for those who rely on our work. The efforts of our employees allowed us to make significant progress toward reaching our strategic objectives and implementing the 2020 priorities — maximizing our impact on advancing equal opportunity in the workplace.

In the year ahead, we will focus on the work made possible through the Technology Modernization Fund (TMF). The changes to our core technology systems will encompass nearly every aspect of the work of the agency and every employee will play a role in this transformation. The Commission exists to serve the public and all our efforts in the coming fiscal year will be focused on providing the best service we can through timely, high-quality work.

Finally, I am pleased to share that the Commission received, for the 17th consecutive year, an unmodified opinion from independent auditors.

It was an honor to work with EEOC's dedicated employees through the unique challenges of FY 2020. As we enter FY 2021 we can look back and draw inspiration from all we have accomplished as we advance equal opportunity for all in the workplace and work to prevent and remedy unlawful employment discrimination.



Janet Dhillon
Chair
November 16, 2020



MANAGEMENT DISCUSSION AND ANALYSIS

The Equal Employment Opportunity Commission's (the EEOC or agency) Agency Financial Report (AFR) provides financial information and an overview of programs, accomplishments, and challenges that enable the President, Congress, and American people to assess the EEOC's performance and accountability for the resources entrusted to it for the fiscal year (October 1 through September 30). The report is prepared in accordance with the requirements of the Office of Management and Budget (OMB) Circular No. A-136, Financial Reporting Requirements.

In lieu of a combined Performance and Accountability Report, the EEOC provides an AFR with a primary focus on financial results and a high-level discussion of performance results, along with an Annual Performance Report (APR), which details strategic goals and performance results. The EEOC will publish the APR in coordination with its Congressional Budget Justification in February 2021. Both reports will be available at <https://www.eeoc.gov/budget-and-performance>.

MISSION, MAJOR PROGRAMS, AND ORGANIZATIONAL STRUCTURE

- **Mission:** Prevent and remedy unlawful employment discrimination and advance equal opportunity for all in the workplace.
- **Vision:** Respectful and inclusive workplaces with equal employment opportunity for all.

AGENCY OVERVIEW

Title VII of the Civil Rights Act of 1964 (Title VII) created the EEOC to enforce protections against employment discrimination on the bases of race, color, national origin, religion, and sex. Congress subsequently vested the EEOC with responsibility to enforce the Equal Pay Act of 1963 (EPA), the Age Discrimination in Employment Act of 1967 (ADEA), Section 501 of the Rehabilitation Act of 1973, Titles I and V of the Americans with Disabilities Act of 1990 (ADA), and Title II of the Genetic Information Nondiscrimination Act of 2008 (GINA). In addition, in 1972, Congress further expanded the agency's responsibilities by providing federal government employees the protections of Title VII and providing the EEOC with independent litigation authority against private employers under Title VII.

STATUTORY STRUCTURE

The EEOC is led by six presidential appointees — five Commissioners (including the Chair and Vice Chair) who serve staggered five-year terms and the General Counsel. No more than three Commissioners (including the Chair and Vice Chair) may be from the same political party. The Chair is responsible for the administration and implementation of policy and the enforcement program, financial management, and day-to-day operations of the Commission. The Commissioners participate in the development and approval of Commission policies, issue charges of discrimination where appropriate, and authorize the filing of lawsuits. The General Counsel supports the Commission and provides direction, coordination, and supervision to the EEOC's litigation program.

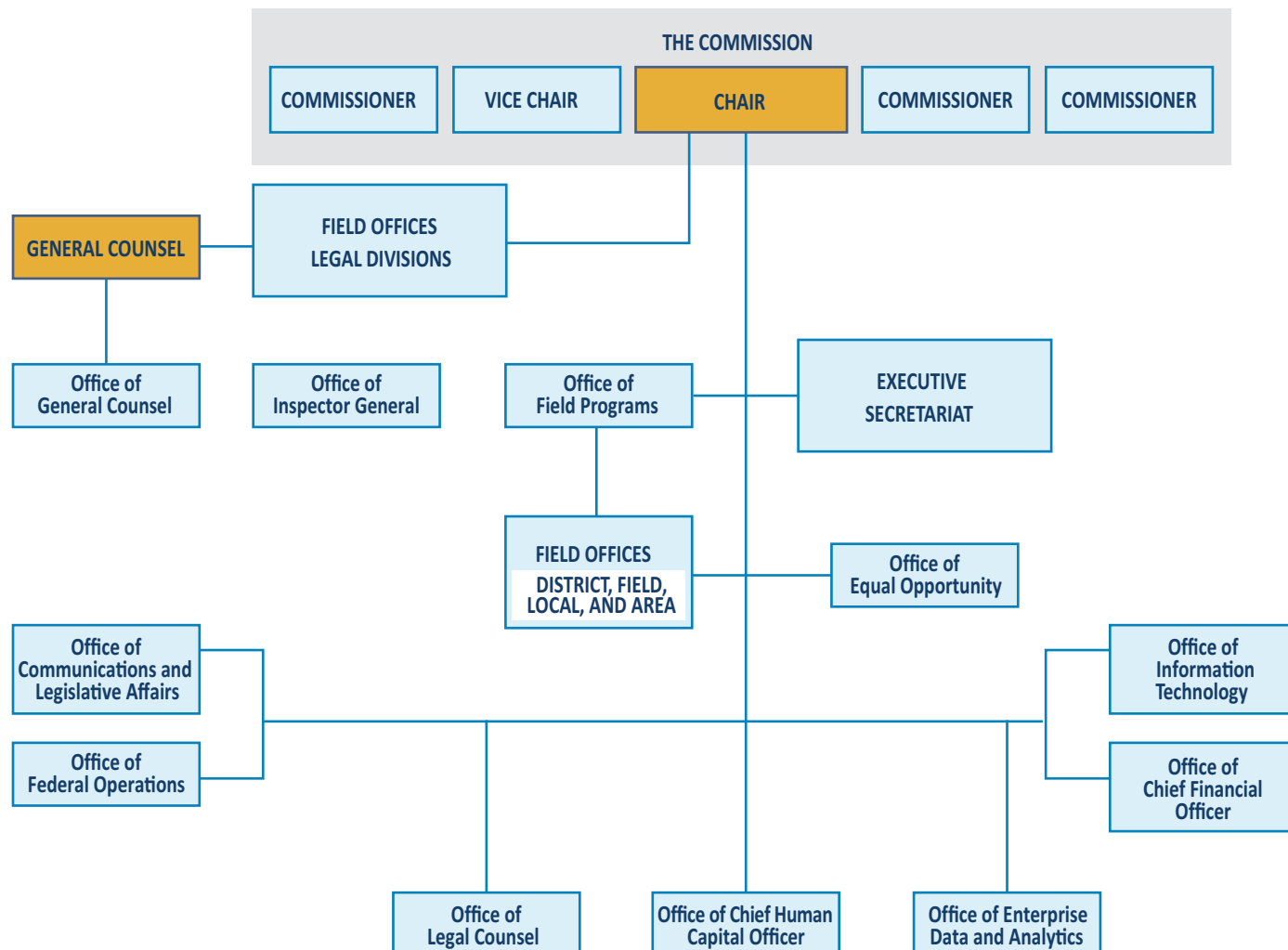


The Commissioners and General Counsel	Term Expires
CHAIR JANET DHILLON	2022
VICE CHAIR, KEITH E. SONDERLING*	2024
COMMISSIONER VICTORIA A. LIPNIC*	2020
COMMISSIONER CHARLOTTE S. BURROWS	2023
COMMISSIONER, VACANT*	2021
GENERAL COUNSEL SHARON FAST GUSTAFSON	2023

*Keith E. Sonderling was sworn in on September 30, 2020, to the term ending in 2024. Andrea R. Lucas was confirmed to the term (occupied by Commissioner Victoria Lipnic in fiscal year 2020) ending in 2025 on September 22, 2020 but not sworn in before the end of the fiscal year. Jocelyn Samuels was confirmed to the term ending in 2021 on September 23, 2020, but not sworn in before the end of the fiscal year.



ORGANIZATION



The EEOC accomplishes its mission through component offices that administer various programs. For more information about specific EEOC offices, please see Appendix A.

These programs are carried out through a network of 53 district, field, area, and local offices. For more information about the EEOC Field Offices across the nation please see Appendix E.

PERFORMANCE GOALS, OBJECTIVES, AND RESULTS

FISCAL YEAR 2020 PERFORMANCE HIGHLIGHTS

Equal opportunity is one of our nation's most cherished values, giving all of us a fair shot to achieve our dreams and aspirations. The EEOC's Strategic Plan establishes a framework for achieving the EEOC's mission to "Prevent and remedy unlawful employment discrimination and advance equal opportunity for all in the workplace," so that the nation may achieve the Commission's vision of "Respectful and inclusive workplaces, with equal employment opportunity for all." Chair Dhillon's 2020 Priorities are rooted in the Commission's mission and vision and share the common theme of excellence, strategic innovation, and collaboration. Through implementation of the Strategic Plan and the Chair's 2020 Priorities, the EEOC advances opportunity and ensures freedom from discrimination in the American workplace. Below are some of our performance highlights in achieving the agency's strategic objectives and the Chair's Priorities for fiscal year 2020.

The EEOC continued to provide excellent customer service, successfully combat and prevent employment discrimination through the strategic application of EEOC's law enforcement authorities, and strategically allocate commission resources by:

- Ensuring that federal and private sector complaints and charges are handled promptly and efficiently by:
 - Reducing the inventory of pending private sector charges by 3.7 percent — to 41,951 charges — the lowest in 14 years.
 - Reducing the federal sector hearings pending inventory for the third consecutive year — achieving a reduction of 15.7 percent in fiscal year 2020.
 - Reducing the number of federal sector appeals that were more than 500 days old by 32 percent, ending the year with 66 appeals that were more than 500 days old.
 - Continuing to develop and deliver digital services in order to make it easier and more efficient for employees, applicants, and employers to access the EEOC's services. The online system has increased the public's access to the EEOC.
- Utilizing administrative and litigation authorities to promote broad compliance with federal workplace anti-discrimination laws, including:
 - Continuing to build on our successful mediation program, including:
 - Conducting 6,272 successful mediations resulting in \$156.6 million in benefits to charging parties.
 - Conducting 766 federal sector mediations, which contributed to the reduction of the federal sector inventory.
 - Implementing an ADR Pilot program that expands the categories of charges available for mediation and offers mediation throughout EEOC's administrative process.
 - Securing more than \$535.4 million, a record amount, for victims of discrimination, including:
 - Approximately \$333.2 million for victims of employment discrimination in private sector and state and local government workplaces through mediation, conciliation, and settlements.
 - \$106 million for charging parties and other aggrieved individuals through litigation. The highest in 16 years; and
 - \$96.2 million for federal employees and applicants.
 - Resolving 9,897 federal sector hearings requests and securing \$84 million in relief for federal employees.
 - Resolving 4,308 federal sector appeals, 5 percent more resolutions than in fiscal year 2019.

- EEOC continued its significant resolution of appeals addressing the merits of employees' discrimination claims, including 90 findings of discrimination in fiscal year 2020.
- Securing over \$12.2 million in monetary relief as ordered in EEOC's federal appellate decisions.
- Among the decisions issued by EEOC in fiscal year 2020, 68 were identified as implicating one or more Strategic Enforcement Plan (SEP) priorities.
- Resolving 165 lawsuits and achieving favorable results in approximately 96 percent of all district court resolutions. A total of 25,925 individuals received approximately \$106 million in monetary relief as a direct result of litigation resolutions. This is the highest litigation recovery amount since 2004.
- Filing 93 lawsuits including 68 suits on behalf of individuals, 12 non-systemic suits with multiple victims, and 13 systemic suits involving multiple victims or discriminatory policies.
- Upgrading the Commission's data collection, analysis, and reporting capabilities, which will enable the agency to use modern data analytics to facilitate data-driven decision making, including:
 - Creating new data visualizations to illustrate employment discrimination data in a simple, comprehensible, and visually appealing way.
 - Launching *EEOC Explore*, a web-enabled, state-of-the-art, user-friendly, data query and mapping tool, to promote transparency, facilitate access, and encourage greater use of EEOC's publicly available data.

The EEOC prevented employment discrimination and promoted inclusive workplaces through education and outreach by continuing to provide robust compliance assistance and enhancing our efforts to reach vulnerable workers in the following ways:

- Prioritizing education and outreach in the private and federal sectors, including:
 - Prioritizing outreach and education to address the intersection of COVID-19 and federal employment discrimination laws, including conducting more than 365 outreach events related to COVID-19 that reached 51,419 individuals.
 - Conducting more than 2,690 outreach events and providing more than 299,100 individuals nationwide with information about employment discrimination and their rights and responsibilities in the workplace, including:
 - Nearly 200 federal sector outreach, education, and training events, and providing more than 14,000 federal sector employees and EEO professionals with information about employment discrimination and their rights and responsibilities in the workplace.
 - Prioritizing outreach to vulnerable workers and developing and enhancing partnerships with organizations that work with vulnerable workers, including:
 - Conducting over 905 outreach events for vulnerable workers and reaching over 94,100 individuals.
 - Establishing 26 new partnerships with organizations that work with vulnerable workers.
 - Creating EEOC District Office specific infographics, using publicly available data, as a tool to identify the needs of and appropriately align resources for groups of potentially vulnerable workers.
 - Prioritizing outreach to the small business community, including:
 - Conducting over 422 outreach events for small businesses.
 - Promoting the online Small Business Resource Center to provide a one-stop shop to help small businesses easily access information about employer responsibilities.
 - The Small Business Administration Ombudsman's most recent report gave the EEOC an "A" rating for responsiveness to small business concerns. The EEOC expects to again receive an "A" rating when the Report for fiscal year 2019 is published.

- Focusing on significant partnerships with advocacy and business groups, adding 26 new significant partners, bringing the combined total to 357 significant partnerships.
 - Hosting 7 joint events with employer and advocacy groups.
 - Conducting 295 significant partner activities, reaching 22,347 attendees.

The EEOC worked to achieve organizational excellence, be a model workplace and improve management functions with a focus on information technology, infrastructure enhancement, and accountable financial stewardship by:

- Modernizing agency data collections and data dissemination activity to align with the Federal Data Lifecycle Framework and ensure compliance with the provisions of Title VII, Paperwork Reduction Act (PRA), Information Quality Act (IQA), Foundations for Evidence-Based Policymaking Act (Evidence Act), Confidential Information Protection and Statistical Efficiency Act (CIPSEA), and Federal Information Security Modernization Act (FISMA).
- Streamlining the recruitment process to improve time-to-hire rates. As of September 30, 2020, the agency hired 260 new employees; all of the hires were made within the 78-day deadline.
- Negotiating and reaching agreement on all 47 Articles of the current Collective Bargaining Agreement (CBA) between the EEOC and the National Council of EEOC Locals, No. 216.
- Negotiating a Re-Entry Guidelines Memorandum of Understanding (MOU) and Re-Entry Plan MOU for Headquarters and Field Offices with Local No. 216 concerning re-opening of offices during the COVID-19 pandemic and procedures for involving Local No. 216 once re-entry plans are developed.
- Continuing to recruit, employ, retain, and advance disabled veterans, with an added emphasis on veterans with a 30 percent or more disability, in adherence to 5 CFR § 720.304(a)(1) and OPM guidance.

EEOC'S PERFORMANCE MEASUREMENT PROCESS

The Government Performance and Results Modernization Act of 2010 (5 U.S.C. 306, as amended) requires executive departments, government corporations, and independent agencies to develop and post a Strategic Plan on their public websites every four fiscal years. The implementing guidance in Circular A-11 from the Office of Management and Budget (OMB) instructs agencies on the necessary elements required in an agency's plan and the requirements to publish a new plan with the beginning of each new term of an administration.

The U.S. Equal Employment Opportunity Commission Strategic Plan for FYs 2018–2022 ("the Strategic Plan") establishes a framework for achieving the EEOC's mission to "Prevent and remedy unlawful employment discrimination and advance equal opportunity for all in the workplace," so that the nation may realize the Commission's vision of "Respectful and inclusive workplaces, with equal employment opportunity for all." The Commission approved the EEOC's Strategic Plan on February 12, 2018. It is located at https://www.eeoc.gov/eeoc/plan/strategic_plan_18-22.cfm.

The Strategic Plan established three overarching strategic objectives, and twelve performance measures to gauge the agency's progress in meeting these objectives. Goal leaders, assigned by program office representatives in headquarters, lead the efforts on each of the agency's performance measures. The EEOC conducts periodic performance measure reviews. During these reviews, program office representatives report on the progress made achieving the agency's performance measures. In coordination with congressional budget preparation, the reports on performance measure progress are shared with the Office of the Chair for their review.

In addition to the Commission's Strategic Plan, in early 2020 the Chair issued "The Chair's Priorities for 2020." The Chair's Priorities build on the EEOC's proud legacy of civil rights accomplishments, share the common theme of excellence, strategic innovation, and collaboration, and have allowed the Commission to implement "real time" solutions that uphold the Commission's mission and vision.

In the agency's Annual Performance Plan (APP), issued as part of the OMB's budget request, the EEOC identifies the level of planned performance to achieve in the fiscal year, along with performance goals and key milestones that align with the EEOC's Strategic Plan and agency priorities. In the agency's Annual Performance Report, issued in coordination with the agency's Congressional Budget Justification in February each year, the EEOC will report on progress achieving the goals and objectives in the agency's Strategic Plan and APP, along with performance and program results achieved for the previous fiscal year.

OVERVIEW OF THE STRATEGIC PLAN OBJECTIVES, GOALS, AND PERFORMANCE MEASURES

In accordance with the Government Performance and Results Modernization Act of 2010, the Commission approved the EEOC's [Strategic Plan for Fiscal Years 2018–2022](#) (Strategic Plan or Plan) on February 12, 2018. To do so, the agency engaged in a comprehensive assessment of its programs and priorities. Under this Plan, the EEOC focuses on three strategic objectives to achieve its critical mission to prevent and remedy unlawful employment discrimination and advance equal opportunity for all in the workplace, and to pursue its vision of respectful and inclusive workplaces with equal employment opportunity.

Strategic Objective I is to combat and prevent employment discrimination through the strategic application of the EEOC's law enforcement authorities. This Objective reflects the EEOC's primary mission of preventing unlawful employment discrimination through: 1) the administrative (investigation and conciliation) and litigation mechanisms Congress has entrusted to the agency with regard to private employers, labor organizations, employment agencies, and state and local government employers; and 2) the adjudicatory and oversight mechanisms Congress has entrusted to the agency with regard to federal employers.



There are two outcome goals and five performance measures for Strategic Objective I:

Strategic Objective I: Combat and prevent employment discrimination through the strategic application of the EEOC's law enforcement authorities.	
<p>Outcome Goal I.A: Discriminatory employment practices are stopped and remedied, and victims of discrimination receive meaningful relief.</p>	<p>Outcome Goal I.B: Enforcement authorities are exercised fairly, efficiently, and based on the circumstances of each charge or complaint.</p>
<p>Performance Measure 1: By FY 2022, a significant proportion of the EEOC's and FEPA's resolutions contain targeted, equitable relief.</p> <ul style="list-style-type: none"> • Sub-Measure 1a: By FY 2022, 86–88% of the EEOC's resolutions contain targeted, equitable relief. • Sub-Measure 1b: By FY 2022, 17–19% of FEPA's resolutions contain targeted, equitable relief. <p>Performance Measure 2: In each year through 2022, the EEOC continues to favorably resolve at least 90% of enforcement lawsuits.</p> <p>Performance Measure 3: Each year through 2022, the EEOC reports on its efforts to identify and resolve systemic discrimination.</p> <p>Performance Measure 4: By FY 2022, an increased percentage of federal agencies subject to oversight activities or compliance reviews change their employment practices based on the EEOC's recommendations.</p>	<p>Performance Measure 5: By FY 2022, a significant proportion of investigations, conciliations, hearings, and appeals meet established quality criteria.</p> <ul style="list-style-type: none"> • Sub-Measure 1a: By FY 2022, 88% of charge investigations and conciliations meet criteria established in the Quality Enforcement Practices Plan. • Sub-Measure 1b: By FY 2022, 90% of federal sector hearings and appeals meet criteria established in the Federal Sector Quality Practices Plan.

Strategic Objective II, to prevent employment discrimination and promote inclusive workplaces through education and outreach, reflects the EEOC's obligation to deter employment discrimination before it occurs. Investigations, conciliations, and litigation are only some of the means that the EEOC uses to fulfill its mission and vision. Educational and outreach programs, projects, and events are also cost-effective law enforcement tools because they promote understanding of the law and voluntary compliance with the law. All parties benefit when the workplace is free from discrimination and everyone has access to equal employment opportunity.

There are two outcome goals and three performance measures for Strategic Objective II:

Strategic Objective II: Prevent employment discrimination and promote inclusive workplaces through education and outreach.	
Outcome Goal II.A: Members of the public understand the employment discrimination laws and know their rights and responsibilities under these laws.	Outcome Goal II.B: Employers, unions, and employment agencies (covered entities) prevent discrimination, effectively address EEO issues, and support more inclusive workplaces.
Performance Measure 6 for Outcome Goals II.A and II.B: By FY 2022, the EEOC modernizes and expands utilization of technology to ensure the public has greater access to information about their rights and responsibilities.	
Performance Measure 7 for Outcome Goal II.A and II.B: By FY 2022, the EEOC leverages collaborations with significant partner organizations to assist in breaking employment barriers.	
Performance Measure 8 for Outcome Goal II.A: By FY 2022, the EEOC updates existing guidance and training materials and creates new, user-friendly resource tools to address and prevent workplace discrimination.	

The Management Objective, achieving organizational excellence, seeks to improve management functions with a focus on information technology, infrastructure enhancement, and accountable financial stewardship. This requires integration and coordination across the agency to foster organizational excellence from both internal and external perspectives.

The Commission has developed two outcome goals and four performance measures for its Management Objective:

Management Objective: Achieve organizational excellence.	
Outcome Goal III.A: Staff exemplify a culture of excellence, respect, and accountability.	Outcome Goal III.B: Resource allocations align with priorities to strengthen outreach, education, enforcement, and service to the public.
Performance Measure 9 for Outcome Goal III.A: The EEOC's performance improves with respect to employee engagement and inclusiveness.	Performance Measure 11 for Outcome Goal III.B: Monitor yearly progress on modernization of charge/case management systems for program offices until completed in 2022.
Performance Measure 10 for Outcome Goal III.A: Feedback surveys and other mechanisms provide baseline measures of services provided to those with whom the EEOC interacts.	Performance Measure 12 for Outcome Goal III.B: The EEOC's budgetary resources for FY 2018–2022 align with the Strategic Plan.

The agency's progress on the strategic objectives, outcome goals, and related performance measures is discussed below.

OVERVIEW OF THE CHAIR'S PRIORITIES FOR 2020

At the beginning of 2020, Chair Dhillon announced her 2020 Priorities for the Commission. The Chair's Priorities are rooted in the Commission's Mission to "Prevent and remedy unlawful employment discrimination and advance equal opportunity for all in the workplace" and its Vision of "Respectful and inclusive workplaces with equal employment opportunity for all." The Chair's Priorities build on the EEOC's proud legacy of civil rights accomplishments and share the common themes of excellence, strategic innovation, and collaboration. The Chair's Priorities were integral to the Commission's accomplishments under the agency's Strategic Objectives.



VERIFICATION AND VALIDATION OF DATA

The agency's private sector, federal sector, and litigation programs require accurate enforcement data, as well as reliable financial and human resources information, to assess the EEOC's operations and performance results and make sound management decisions. We will continue efforts to ensure the accuracy of program information and any analysis of the information.

The EEOC continually reviews the information we collect in our databases for accuracy by using software editing programs and program reviews of a sample of records during field office technical assistance visits. In addition, headquarters offices regularly conduct analyses to review the information collected in order to identify erroneous entries requiring correction to collection procedures.

Recent implementation of the Federal Sector EEO Portal that enables all federal agencies to electronically submit annual equal employment opportunity statistics (EEOC Form 462 and MD-715) continues to improve the quality and timeliness of the information received electronically. We continue to improve the collection and validation of information for our Integrated Mission System (IMS), which consolidates our mission data on charge intake, investigation, mediation, litigation, and outreach functions into a single shared information system. IMS includes many automated edit checks and rules to enhance data integrity. Because several performance measures require data to assess our achievements, it is significant that we can now obtain this data much more quickly and with greater data accuracy.

The EEOC's Office of Inspector General (OIG) continues to review the agency's data validity and verification procedures, information systems, and databases and offers recommendations for improvement. We use the OIG's information and recommendations to continually improve our systems and data.

PROGRAM EVALUATIONS

Program evaluation is an important component of the EEOC's effort to assure that its programs are operating as intended and achieving results. Program evaluation is a thorough examination of program design and operational effectiveness that uses rigorous methodologies and statistical and analytical tools. These evaluations also utilize expertise internal and external to the agency and the program under review to enhance the analytical perspectives and lend credence to the methodologies employed, the evaluation processes and findings, and any subsequent recommendations.

Independent program evaluations played an important role in formulating the strategic objectives and performance goals detailed in the EEOC's Strategic Plan for Fiscal Years 2018 – 2022 and helped shape some of the program issues and key focus areas for improvement. They are an invaluable management tool to guide the agency's strategic efforts in attaining overall productivity and program efficiency, effectiveness, and accountability.

Consistent with the agency's focus on improving the effectiveness of government through rigorous evaluation and evidence-based policy initiatives, the EEOC will continue to consider appropriate program areas for evaluation each year. This will ensure that the agency's efforts align with the EEOC's budget and other programmatic priorities.

In fiscal year 2020, the agency continued its work on the Conciliation Project and initiated three new evaluation projects: The Impact of COVID-19 on the EEOC's Mission Project; the Interagency Agreement (IAA) between the EEOC and The Committee on National Statistics (CNSTAT) of the National Academies of Sciences, Engineering, and Medicine for a Panel to Evaluate the Quality and Utility of Compensation and Hours Worked Data Collected from U.S. Employers by the EEOC through the EEO-1 Project; and the Mediation Survey Modernization Project.

The Conciliation Project is designed to address Congressional and stakeholder interest and to provide the agency with valuable information about one of its most important statutory functions – the conciliation of charges of discrimination in which cause has been found. The long-term evaluation project is being undertaken by a cross-section of agency staff with expertise in a number of areas and will provide a review of the conciliation process with comparative results across districts.

The Impact of COVID-19 on the EEOC's Mission Project is a research study being conducted by the Office of Enterprise Data and Analytics (OEDA) to determine whether there may be a correlation or causal relationship between unemployment during economic downturns and EEOC charge filings, and how EEOC charge filings may be affected by the economic downturn related to COVID-19. The study is divided into two phases. Phase I included literature review and data and descriptive analytics. Phase II is focused on model development and charge projections.



The Interagency Agreement (IAA) between the EEOC and The Committee on National Statistics (CNSTAT) of the National Academies of Sciences, Engineering, and Medicine for a Panel to Evaluate the Quality and Utility of Compensation and Hours Worked Data Collected from U.S. Employers by the EEOC through the EEO-1 Project will review the EEOC's methodology for collecting compensation data through the EEO-1 data collection process. The EEOC's large scale collection of pay information between July 15, 2019 and February 14, 2020 affords an opportunity to review the methods used and the circumstances of the collection, document lessons learned, and identify ways to improve potential future collections. The panel will consider existing data quality and data utility frameworks to assess the data collected and will issue a report with conclusions and recommendations to inform the EEOC's assessment of fitness for use of the data as required by the Information Quality Act and approach to future data collections.

Mediation Survey Modernization Project. Beginning in fiscal year 2020, EEOC mediation participants will be able to share their perceptions by completing a survey electronically, in English or Spanish. The project's benefits include fewer steps in the process of distributing the survey to participants, faster receipt of survey responses, reduced data entry, and elimination of postage. Due to the pandemic, the mediation program has conducted only telephone or video mediations since March 2020.

STRATEGIC GOALS AND PERFORMANCE RESULTS SUMMARY

As discussed above, the EEOC's Strategic Plan established a national framework to achieve the agency's mission by pursuing three strategic objectives and their underlying goals. The Plan also identified strategies for achieving each outcome goal and identified 12 performance measures for gauging the EEOC's progress for fiscal year 2020. The below chart summarizes the agency's progress in meeting these measures.

EEOC FY 2020 Performance			
Measures	Targets Met or Exceeded	Targets Partially Met	Targets Not Met
12	8	4	0

In fiscal year 2020, the EEOC's ability to make progress on our Strategic Objectives depended on the agency adapting to the challenges presented by COVID-19 while continuing to effectively combat and prevent employment discrimination. Through the adoption of agency-wide telework in March, the agency was able to continue enforcing the nation's employment anti-discrimination laws while taking measures to keep the public and employees safe. Despite the challenges of the pandemic, the EEOC was able to effectively manage the private and federal sector workloads, continue to prevent and remedy unlawful employment discrimination, and advance equal opportunity in the workplace.

I. STRATEGIC OBJECTIVE I: COMBAT AND PREVENT EMPLOYMENT DISCRIMINATION THROUGH THE STRATEGIC APPLICATION OF EEOC'S LAW ENFORCEMENT AUTHORITIES

To maximize the EEOC's effectiveness at preventing and remedying unlawful employment discrimination, the agency focuses its resources on efforts that promote broad compliance with federal workplace anti-discrimination laws and enhance the agency's service to the public. Critical elements of this effort depend on the EEOC providing excellent customer service to employees, employers, and those involved in a charge of discrimination and strategically allocating Commission resources to tasks that will have the maximum impact on fulfilling the agency's mission. As discussed earlier, in order for the EEOC to make progress under this Strategic Objective, it was essential for the agency to adapt our services to the challenges presented by the COVID-19 pandemic.

A. Chair's Priority No. 1: Continuing to Provide Excellent Customer Service

Providing excellent customer service to all members of the public who seek assistance from the EEOC has been a focus of the agency in fiscal year 2020 and the agency continued to build upon our work to reduce backlogs across all program offices. To ensure quality service, it is critical that federal and private sector complaints and charges are handled promptly and fairly. By effectively managing the private sector and federal sector workloads despite the challenges of the pandemic, the EEOC was able to continue to successfully provide excellent customer service to the public.

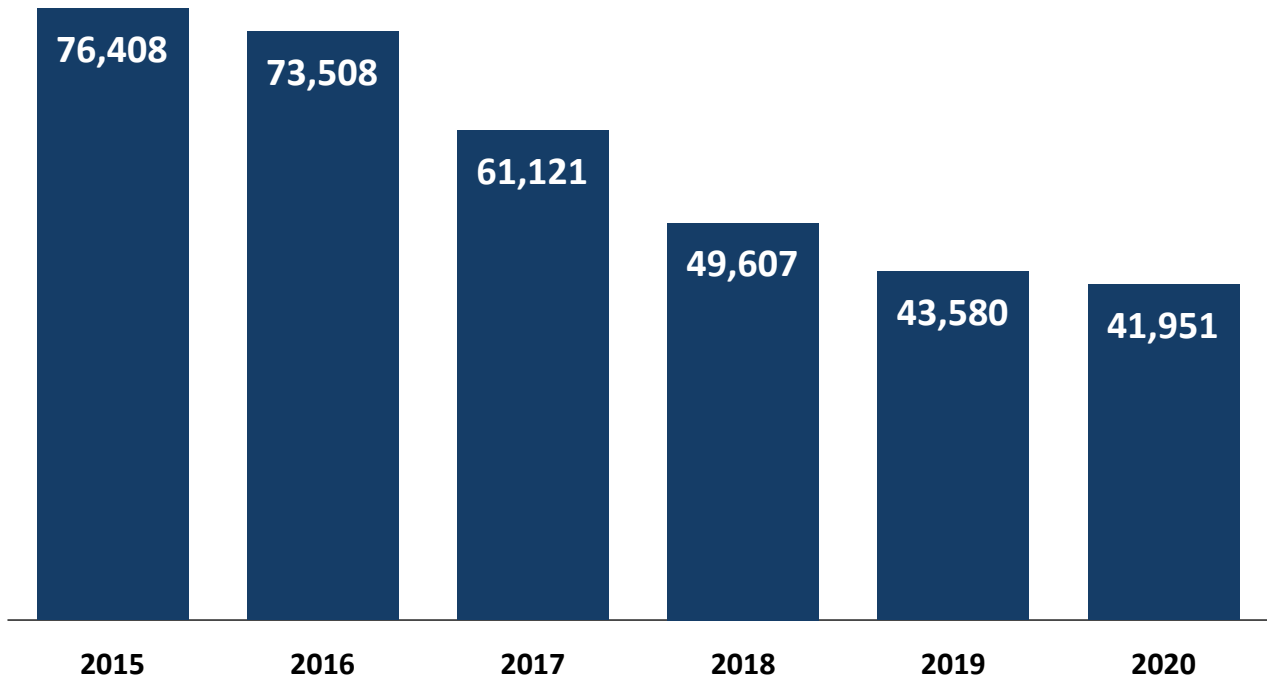
i. Continued Success in Reducing the Private Sector Charge Workload

In fiscal year 2020, the EEOC continued to prioritize reaching a manageable and sustainable private sector inventory so as to focus on charges with merit and provide improved customer service. As in previous years, the EEOC successfully addressed hundreds of thousands of calls, inquiries, and charges from workers in the private and public sector seeking assistance with potential complaints of discrimination. For example, in fiscal year 2020, the EEOC received almost 470,000 calls to the toll-free number, more than 37,300 emails, and over 187,000 inquiries in field offices, including 122,775 inquiries through the online intake and appointment scheduling system. Overall, this resulted in 67,448 charges being filed. With a focus on inventory reduction strategies and priority charge handling procedures, technological enhancements, and front-line staff hired in fiscal years 2018 through 2020, the agency was able to make significant progress managing our pending workload of charges. As a result, in fiscal year 2020 the EEOC reduced the charge workload by 3.7 percent to 41,951, which builds on the 12.1 percent decline in inventory realized in fiscal year 2019. Additionally, the merit factor rate increased to 17.4 percent and over \$333.2 million in monetary benefits was secured for victims of discrimination.

Overall, the EEOC's technological advances — including the Public Portal, Respondent Portal, and the entire Digital Charge System (DCS) — have greatly improved private sector efficiency and customer service, while requiring fewer resources. The DCS allows potential charging parties to answer a series of questions leading to a self-screen (to determine if the EEOC is the proper agency to address their concern), as well as obtain referrals to other agencies, as appropriate, and to allow them to schedule an initial interview prior to filing a charge. The DCS provides an accessible and customer-friendly approach and reflects the value of providing greater access for the public to speak with a member of our enforcement staff prior to filing a charge of discrimination. As a result, 122,775 Potential Charging Parties (PCPs) initiated inquiries through the system. Of these portal inquiries, 30,294 were formalized into charges of discrimination (very similar to the 30,759 portal inquiries in fiscal year 2019).

These technological advances also allowed the agency to further emphasize the EEOC's priority charge handling procedures to manage the pending inventory, including pre-charge counseling and pre-determination interviews. Effective pre-charge counseling ensures that individuals make informed decisions about whether to file a charge of discrimination and the pre-determination interview allows the EEOC to communicate the basis for our decisions to the parties. Both are essential for good customer service and effective charge processing. Coupling pre-charge counseling with the online system's elimination of a paper intake questionnaire contributed to a 7.2 percent reduction in charge receipts in fiscal year 2020. There was also a 6.7 percent reduction in the number of inquiries filed, 13,388 less than the prior year. Additionally, increased focus on the reassessment of charges as soon as new evidence is obtained enables staff to make the critical decision as to whether additional investigation is likely to result in a cause finding.

Pending Private Sector Charge Inventory



ii. Continued Success in Reducing the Federal Sector Inventories

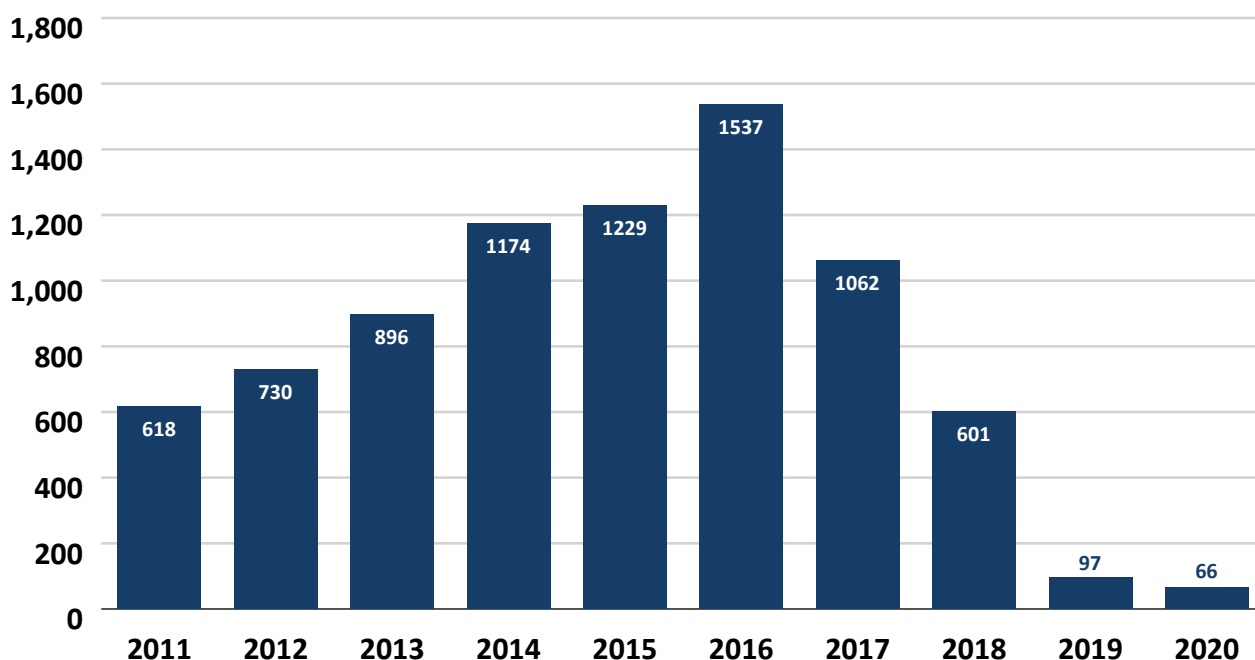
In addition to our private sector enforcement activities, the Commission has adjudicatory responsibilities in the federal EEO complaints process. This involves hearings before administrative judges on complaints of discrimination by federal employees or applicants, as well as adjudication of appeals from federal agency final decisions on employment discrimination complaints. Charges of discrimination in our federal workplaces are no less important than in the private sector and reducing the pending inventory in the federal sector was also a priority for the agency during fiscal year 2020.

In fiscal year 2020, the federal sector hearings program continued making major strides in managing its inventory of hearing requests. The EEOC successfully decreased the pending inventory of hearing receipts for the third consecutive year – a reduction of 15.7 percent, from 12,933 in fiscal year 2019 to 10,905 in fiscal year 2020. By developing and implementing strategies to increase efficiency, the hearings program resolved 9,897 hearing requests in fiscal year 2020. The hearings program focused on resolving older cases in the inventory and utilized case management strategies to balance field inventories through the resolution of older cases and the closure of incoming cases. As a result, aged inventory was reduced by 11.6 percent.

In order to maintain quality while also addressing the inventory management of federal hearings, the agency continued to use metrics to assess and measure quality, which were originally implemented in fiscal year 2019. Additionally, the online portal deployed nationwide in fiscal year 2019 continued to yield efficiencies in case processing in the federal sector because complainants can use the portal to submit their hearing requests, upload documents, view the status of their complaints, and file appeals. The EEOC Public Portal also allows federal sector complainants to indicate their interest in alternative dispute resolution to resolve their complaint.

In fiscal year 2020, EEOC was also focused on resolving the oldest federal sector appeals as well as those that vindicate employees' legal rights or preserve their access to the EEO complaint process. The EEOC resolved 4,308 appeals in fiscal year 2020. While federal sector receipts increased by 9 percent, appellate resolutions increased by 5 percent, and the EEOC ended the fiscal year with an inventory of 3,381 pending appeals, which was slightly higher than the inventory of 3,073 pending appeals at the end of fiscal year 2019. Resolutions resulted in an 89 percent reduction in the pending cases that were more than 500 days old, from 601 appeals at the start of fiscal year 2019 to 66 by the end of fiscal year 2020. Cases over 500 days old now comprise less than 2 percent of the total pending inventory. Another result of the focus on aged cases was the reduction in the average age of the overall pending appellate inventory by 6 percent over last year to 220 days by the end of the fiscal year.

Old Federal Sector Appeals (500+ Days) Inventory



At the same time, over 1,000 of the total appeal resolutions were issued within 180 days of their receipt. These resolutions included 779 initial appeals from procedural dismissals that terminated complainants' participation in the EEO process, reversing nearly 33 percent of those dismissals with an order to the agency to continue processing the EEO complaint. Quickly addressing appeals involving procedural dismissals of complaints has been critical to effectively preserving access to the EEO complaint process.

The federal sector program also vigorously implemented case management strategies to more effectively allocate resources. These strategies allowed for the screening and categorization of cases early in the appellate process, including cases determined to have significant impact. This early screening process was greatly aided by the full implementation of the FedSEP digital portal, in which agencies can upload the documentation necessary to process an appeal, as well as the public portal that was initially deployed during fiscal year 2019 and enabled complainants to request appeals, upload selected documents, and manage their personal and representative's contact information. In addition, through training

and educational outreach, the EEOC has partnered with federal agencies to speed record submissions, perfect defective records, and reduce wasted efforts spent on records not ripe for adjudication. These technological innovations make the appellate process more transparent for all parties and will reduce EEOC's reliance on and costs for support staff to prepare and scan paper documentation received from the parties.

iii. Continued Use of Technology to Improve Services to the Public

The EEOC's commitment to building a digital workplace to increase its efficiency and providing timely service to the public became even more critical to the agency's ability to provide excellent customer service during fiscal year 2020. The EEOC's Public Portal proved to be a critical factor in the agency's ability to provide services to both private and public sector parties during the COVID-19 pandemic. To further improve telework capabilities and ensure the agency was able to efficiently serve the public, the EEOC aggressively deployed Microsoft Teams enterprise-wide. Deploying and utilizing Teams rapidly helped transform the way the EEOC communicates and collaborates, both internally and externally. The EEOC also procured a limited set of Zoom for Government licenses for specific purposes, including providing "break-out" room capabilities during remote mediations, conciliations, settlements, and hearings.

Within the private sector component of the Public Portal, the agency served 59,663 charges electronically in fiscal year 2020 (up from 48,876 the prior year). As a conservative estimate, this saved the agency over \$37,000 in printing, postage, and related costs. Electronic service also resulted in savings for the field offices' clerical staff, freeing each enforcement office automation assistant from more than eight days of work to perform other tasks. Also, in fiscal year 2020, 122,775 potential charging parties initiated inquiries through the Public Portal. Of these, 30,294 were formalized into charges of discrimination (relatively steady with the 30,759 formalized in fiscal year 2019). In each of these instances, agency personnel were relieved of the task of data entry. Conservatively, the EEOC estimates that this saved over 41,000 hours of investigator time (almost two weeks per investigator) in fiscal year 2020, doubling our initial savings estimate.

In the Strategic Plan, the EEOC also committed to "complete a shared vision and develop high-level plans with resource requirements for modernizing [our] charge/case management systems." To meet this goal the agency engaged in a year-long effort with the Technology Modernization Fund (TMF), an innovative funding vehicle that uses a competitive vetting process to make limited funds available to federal agencies for technology improvements consistent with the President's Management Agenda. In late fiscal year 2019, the TMF Board awarded the agency \$4 million dollars, providing the EEOC with the resources to modernize the legacy technology and data structure of its 18-year old Integrated Mission System (IMS) over a two-year period. The TMF funds were received in January 2020 and initial development is well underway with the milestone of delivering a new Private Sector Charge Management application to both the EEOC and its Fair Employment Practice Agency (FEPAs) partners in mid-2021.

B. Chair's Priority No. 4: Strategically Allocating Commission Resources

In fiscal year 2020, the EEOC continued prioritizing the allocation of resources to tasks that will have the maximum impact on fulfilling our mission. Under this priority, the EEOC has continued to build on our successful mediation program in the private and federal sectors and made a renewed commitment to meaningful and effective conciliation efforts in all private sector matters (both are discussed in more detail below). The EEOC continued this important work during fiscal year 2020, despite the challenges of the pandemic.



Under this priority, the agency also engaged in efforts to control administrative costs whenever possible in order to reinvest those resources to activities that are most impactful in fulfilling the agency's mission. For example, in fiscal year 2020, by prioritizing transition to the Enterprise Infrastructure Solutions (EIS) Contract, the EEOC is expected to reduce the agency's annual data communications costs by nearly 40 percent. The savings achieved are being re-invested in increased bandwidth, better enabling agency personnel to communicate with voice, video, and data from all locations. In recent [Congressional testimony](#) before the Government Operations Subcommittee of the House Committee on Oversight and Reform, GSA highlighted the EEOC as one of three agencies that made the most measurable progress in transitioning to the EIS. Further, the agency's early transition to EIS allowed the EEOC to support fulltime telework during the COVID-19 pandemic.

The EEOC began fiscal year 2020 with plans to continue its implementation of unified communications to replace and consolidate telephone systems in use by the EEOC headquarters and field offices. As the pandemic forced the agency into full-time telework, the EEOC responded by deploying Microsoft Teams Phone Services to all offices that had no other agency-provided means with which to communicate with the public. By the end of fiscal year 2020, the EEOC successfully deployed Microsoft Teams Phone Services to 42 Field Offices. Phone Deployments, including delivering physical phones as offices reopen, will be completed in fiscal year 2021. Completing the migration to Teams Phone Services will save the agency nearly \$1.2 million annually, which will be reinvested in other needed IT services that will improve the agency's service to the public.

i. Continued Focus on Alternative Dispute Resolution

Alternative Dispute Resolution (ADR) is an effective and efficient tool to resolve charges of discrimination. The EEOC's ADR program provides an opportunity for complainants and employers to convene and discuss their respective positions with a neutral mediator. Successful mediations resolve charges early in the process, benefiting both workers and employers. In fiscal year 2020, the agency successfully resolved 6,272 of the 9,036 mediations conducted, resulting in over \$156.6 million in benefits to charging parties. Notably, mediators in the EEOC's ADR program also conducted 766 federal sector mediations, which contributed to efforts to reduce the federal sector inventory. Moreover, the program continues to receive overwhelmingly positive feedback from participants.

EEOC continued to provide mediation services during the pandemic. Prior to the health crisis, mediation sessions were conducted in-person. However, this was inconsistent with safety guidelines implemented during the pandemic. In mid-March, offices began conducting mediation sessions by telephone and by video, when available, to continue providing this necessary service in resolving employment discrimination charges. By early April, the EEOC integrated its internal Microsoft Teams platform externally within its ADR program so that parties could participate in mediations via an on-line, secure environment. In late-August 2020, the Commission began to integrate and employ Zoom for Government as its primary platform for conducting mediation sessions to allow mediators to use private virtual rooms with parties.

On July 6, 2020, the EEOC launched a mediation pilot program to build on our successful ADR program. The ACT (Access, Categories, Time) Pilot expanded the categories of charges available for mediation and increased opportunities for resolutions by offering ADR processes as charges progress through EEOC's administrative processes. The Pilot is in effect for six months and applies to all charges filed on or after the July launch date.

The EEOC Mediation Pilot Program Access, Categories, and Time



Additionally, during fiscal year 2020, efforts to maintain an increased employer participation rate in mediations were successful. Results show that the respondent participation rate was 31.7 percent in fiscal year 2020, achieving a 3.3 percent increase in the rate of participation in fiscal year 2019, which was 30.7 percent.

During fiscal year 2020, offices continued their focus on delivering outreach to respondents to highlight the benefits of the ADR program. Offices conducted a total of 267 ADR employer events, which far-exceeded the announced goal of 83 events.

ii. Continued Focus on Conciliation

The EEOC's conciliation efforts are another vital means to promote voluntary compliance with federal employment discrimination laws. If the EEOC determines there is reasonable cause to believe discrimination has occurred, the agency invites the parties to join the EEOC in seeking to settle the charge through an informal and confidential process known as conciliation. Conciliation is a voluntary process and the parties must agree to the resolution. The EEOC has a statutory obligation to attempt to resolve findings of discrimination on charges through conciliation before the agency considers the matter for litigation.

In fiscal year 2020, the EEOC launched a six-month conciliation pilot that seeks to drive greater internal accountability and improve the EEOC's implementation of existing practices. It is also part of our broader effort to emphasize the importance of conciliation as a tool for remedying complaints of discrimination. The pilot recommits EEOC to resolving charges through conciliation as one of the most effective means for bringing employers into compliance with the statutes the agency enforces. The pilot builds on a renewed commitment for full communication between the EEOC and the parties, which has been the agency's expectation for many years, and adds a requirement that conciliation offers be approved by the appropriate level of management before they are shared with respondents.

Under this priority, the agency continued its efforts to conciliate a greater percentage of cases — with successful conciliations rising from 27 percent in fiscal year 2010 to 43.6 percent in fiscal year 2020. The success rate for conciliation of systemic charges was 64 percent in fiscal year 2020, up from 56 percent in fiscal year 2019.

II. STRATEGIC OBJECTIVE II: PREVENT EMPLOYMENT DISCRIMINATION AND PROMOTE INCLUSIVE WORKPLACES THROUGH EDUCATION AND OUTREACH

Another essential way in which the EEOC is focusing its resources on efforts that promote compliance with federal workplace anti-discrimination laws and enhance the agency's service to the public is through continued emphasis on outreach and education. The EEOC has strengthened our efforts, many in collaboration with our enforcement partners in federal, state, and local government as well as with employer, employee, and academic communities, to maximize the impact of our collective knowledge and resources.

A. Chair's Priority No. 2: Continuing to Provide Robust Compliance Assistance

The first word in the EEOC's mission statement is "prevent," and all agency staff contribute to the goal of preventing discrimination in the workplace. In fiscal year 2020, the Commission continued to focus on: providing high-quality, easy to understand education and outreach in the private, public, and federal sectors; prioritizing outreach to the small business community; continuing to build strong partnerships with employer and advocacy groups; updating our guidance and technical assistance documents (where appropriate) to ensure that they represent a clear explanation of the law, and rescinding those documents that are out-of-date, raise the potential for confusion among our stakeholders, or exceed the Commission's statutory authority.

In fiscal year 2020, the agency also modernized its ten-year old external website, www.eeoc.gov. The new website is based on secure open-source technologies and improves our constituents' experience, better promotes the agency's message, integrates more effectively with our social media activities, supports multi-language capabilities, provides a mobile responsive platform for easier viewing on phones and tablets, and fully supports modern accessibility standards. Additionally, this effort partially resolved an open OIG finding regarding "out-of-date infrastructure supporting legacy EEOC systems and services."

i. Continued Emphasis on Outreach and Education in the Private Sector

Outreach and education are a major component of the Chair's priority to provide robust compliance assistance to the public. In fiscal year 2020, the EEOC's ability to provide outreach and education to members of the public depended on the agency successfully adapting to the COVID-19 pandemic. Prior to the pandemic, the majority of outreach events were conducted in person; however, after mid-March 2020, all outreach sessions were conducted remotely. Staff who conducted outreach utilized the Microsoft Teams platform and Zoom for Government to hold meetings, conferences, and webinars. From mid-March through the end of the fiscal year — a time during which the majority of staff teleworked — EEOC remotely conducted 1,085 outreach events, reaching 127,769 individuals.

Due to the need to provide the public with crucial information on the interplay between COVID-19 issues and employment discrimination laws, EEOC prioritized COVID-19 related outreach. During this period, there were 365 outreach events related to COVID-19, reaching 51,419 individuals.

EEOC also prioritized outreach, education, and technical assistance to underserved segments of the employer community, including small and new businesses. Given their size and limited resources, these businesses are often less able to take advantage of commercial training programs and less likely to have in-house human resources professionals to assist them with compliance. The EEOC's education and outreach programs to small and new businesses teach and promote prevention by emphasizing the importance of deterring employment discrimination before it occurs. Approximately 16 percent of outreach conducted is to small employers. In fiscal year 2020, agency offices conducted 422 outreach events directed toward small businesses, reaching 18,393 small business representatives.

Under this priority, the EEOC promoted its public website containing the online Small Business Resource Center, a one-stop source of information created to give small businesses the tools to understand the federal anti-discrimination laws and to prevent employment discrimination in their workplaces. It also provides quick access to the names and contact information of the EEOC's Small Business Liaisons in our field offices. These liaisons answer questions from small business owners as they institute policies and practices to comply with the law.

The online material in the Small Business Resource Center is geared toward small businesses who need answers fast. In addition to giving clear, general information on the EEOC's laws and on ways the EEOC can assist small businesses, the site features answers to frequently asked questions, guidance for making employment decisions in common scenarios, and pointers for developing good workplace policies. It also has tips for small businesses on a variety of potential workplace discrimination issues to aid businesses avert problems before they arise.

The Small Business Association Office of the National Ombudsman's Annual Report to Congress grades all federal agencies on their responsiveness to small business concerns and their compliance with the Small Business Regulatory Enforcement Fairness Act of 1996. The Ombudsman's most recent report to Congress gave the EEOC an "A" rating across-the-board, the highest rating possible, reflecting the SBA's recognition of the EEOC's strong commitment to assist this important sector of the economy. The EEOC expects to again receive an "A" rating when the Report for fiscal year 2019 is published.

In addition to developing and maintaining national and significant partnerships, we prioritized outreach related to the White House and Commission's focus areas as well as areas particular to the specific jurisdictions and demographics of each District. Working with other enforcement agencies and stakeholder communities is a vital strategy that enhances EEOC's mission to stop and remedy employment discrimination. It allows the EEOC to incorporate diverse perspectives, achieve savings efficiencies, eliminate duplication of efforts, and pursue shared enforcement objectives.

In fiscal year 2020, the EEOC also supported the White House Initiative on Historically Black Colleges and Universities (WHIHBCU), the White House Initiative on Asian Americans and Pacific Islanders (WHIAPPI), and the Interagency Task Force to Monitor and Combat Trafficking in Persons. There were 107 outreach events with 5,175 attendees involving the WHIHBCU initiative, there were 80 outreach events with 12,026 attendees supporting the WHIAPPI initiative, and 120 outreach events with 12,020 attendees that addressed human trafficking issues.

In fiscal year 2020, the EEOC also focused outreach and education on priorities identified in the agency's Strategic Enforcement Plan (SEP) for fiscal years 2017–2021.

National Priorities	Events	Attendees
Recruitment/Hiring	471	92,255
Vulnerable Workers (includes immigrant/migrant farmworkers, human trafficking, limited English proficiency, re-entry, youth and other vulnerable workers)	905	94,180
Emerging/Developing Issues	587	130,658
Disability Issues	411	114,281
Accommodating Pregnancy Related Restrictions	198	29,425
LGBT	230	20,585
Complex Employment Relationships	84	4,349
Backlash Discrimination	81	3,709
Equal Pay	310	45,505
Access to Legal System (includes retaliation, recordkeeping violations, waivers, mandatory arbitration)	503	134,771
Systemic Harassment (includes non-sexual and sexual harassment)	844	111,237

ii. Continued Emphasis on Outreach and Education in the Federal Sector

Continued emphasis on outreach and education in the federal sector is equally important to the EEOC's efforts to promote broad compliance with federal workplace anti-discrimination laws and enhance the agency's service to the public. In fiscal year 2020, the EEOC built upon its robust education and outreach program that focuses on both free and fee-based education and training opportunities in the federal sector and leveraged the use of technology to strengthen and expand the impact of its education and outreach activities.

In response to the COVID-19 pandemic, EEOC's federal sector staff revised 10 fee-based training courses that were previously available for delivery only in a traditional, in-person format for virtual delivery. As a result of the expedited course revisions, EEOC staff delivered and produced 42 virtual trainings reaching over 2,000 federal partners. Furthermore, the transition of our full catalog of federal sector courses for online delivery was in direct response to increased customer demand during the COVID-19 pandemic and resulted in a 47 percent increase in course enrollment. In addition, EEOC staff prepared and delivered 53 customer specific virtual trainings to federal agencies across the country, reaching approximately 2,120 attendees.

During fiscal year 2020, EEOC federal sector staff coordinated, attended, or hosted 83 no-cost outreach events, reaching 6,225 federal partners. EEOC staff also participated in several key federal partner conferences and events, including an EEOC Townhall at the Federal Dispute Resolution (FDR) Conference and delivering several EEO workshops at conferences for the League of United Latin American Citizens, Federally Employed Women, and Blacks In Government.

The EEOC also produced a weeklong virtual event in support of the White House Initiative on HBCU's including the complete buildout of the Commission's presence on the host platform, the production of videos to be shared during the event, the creation of promotional media, and the creation and daily production of a standalone platform to be linked to the event's host platform.

Additionally, the EEOC continued to leverage the new technology approaches to strengthen and expand the impact of its training and outreach activities. EEOC federal sector staff delivered 8 webinars on strategic priorities. These webinars saw an average increase in participation by 10 percent. In addition, EEOC staff hosted seven "First Friday's with OFO" which is its popular online information session attracting an average of 150 attendees per event.

The EEOC also successfully migrated its national conference for stakeholders — Examining Conflicts in Employment Law (EXCEL) — to a virtual platform. The EXCEL conference offered 28 workshops and 4 discussion forums. The three days of workshops served to enhance attendees' knowledge, skills, and abilities, and the EEO "Hot Topic" forums heightened interaction and communication amongst attendees. Also, in the evenings and for 30 days after the conference, attendees had the opportunity to view sessions they may have missed, eliminating the restriction of having to select between courses of interest.

In fiscal year 2020, the EEOC engaged in a new outreach effort to reach federal employees located in Puerto Rico. EEOC staff worked closely with the Puerto Rico Chapter of the Federal Executive Association to host a well-attended two-day virtual training event for federal employees. The event was bilingual, offered in English and Spanish, and open to federal leaders and employees. Attendees received instruction and guidance on the intersection of the Rehabilitation Act and COVID 19 as well as other EEO training.

In fiscal year 2020, the EEOC also continued liaising with other agencies and stakeholders to form strategic partnerships and engage in outreach activities. For example:

- The EEOC manages an interagency consortium with the Department of Labor and Office of Personnel Management, Federal Exchange of Employment and Disability (FEED). Through FEED, the EEOC and partner agencies conducted quarterly events for federal sector disability practitioners, including an event celebrating the 30th anniversary of the Americans with Disabilities Act.
- EEOC staff actively participated as Advisory Board members for the FDR Conference. In this role, the EEOC provided strategic guidance and direction in the creation of the EEO track at FDR's annual conference.
- The EEOC hosted a newly established Annual Meeting with Agency General Counsel across the federal government. This meeting was attended by approximately 200 individuals and served as a gateway to strengthen outreach and communication between EEOC and agency counsels who regularly represent the federal government during the EEO process.
- The EEOC hosted its first membership drive through its EEO Education Consortium (EdCon), introducing federal agencies to the benefits of membership. The event attracted approximately 80 federal employees and resulted in 28 federal agency representatives seeking EdCon membership. Moreover, the EdCon committees published an EEO Director's tool-kit online and identified parameters for an EdCon sponsored Speakers Bureau.
- Recognizing that smaller agencies have limited resources and different challenges from larger agencies, EEOC continued its efforts to meet with the Small Agency Council to address the unique needs of small federal agencies.

iii. **Emphasis on Clear and Accurate Guidance**

Outreach and education are critical tools to prevent discrimination, and the EEOC works with hundreds of thousands of employees and employers every year to educate them on their legal rights and responsibilities. As part of these efforts, the EEOC is committed to providing guidance and information to our stakeholders that is current, accurate, and clear.

EEOC provided high-quality, easy to understand education and outreach in the private, state and local, and federal sectors in response to the pandemic. This included:

- A question and answer document, [What You Should Know About COVID-19 and the ADA, the Rehabilitation Act, and Other EEO Laws](#), last updated on September 8, 2020.
- Updated guidance entitled [Pandemic Preparedness in the Workplace and the Americans With Disabilities Act \[PDF version\]](#) that can help employers implement strategies to navigate the impact of COVID-19 in the workplace. This pandemic publication, written during the prior H1N1 outbreak, is still relevant today and identifies established ADA and Rehabilitation Act principles to answer questions frequently asked about the workplace during a pandemic. It has been updated to address examples and information regarding COVID-19; the new information appears in bold.
- A pre-recorded webinar addressing questions arising under any of the Federal Equal Employment Opportunity Laws and the COVID-19 pandemic. The video can be seen on [YouTube](#). A [transcript](#) of the webinar is also available.

- The EEOC's Office of Federal Operations (OFO) [issued instructions](#) on April 6, 2020, regarding the processing of federal sector EEO complaints covered by 29 CFR Part 1614. Those [instructions were revised on July 27, 2020](#), to allow the issuance of agency final actions. We do not intend this guidance to require any task that would increase risks to the health or safety of federal employees.

The EEOC began issuing guidance documents in the 1980s and, since then, there have been many changes in the laws we enforce. Some of EEOC's guidance and technical assistance documents have been superseded by legislation, court decisions, or newer and more complete guidance. Other guidance documents have become outdated because they were limited to narrow fact patterns that now rarely arise. An internal work group reviewed the EEOC's guidance and technical assistance documents with these criteria in mind and identified candidates for updating or rescission. The Commission then rescinded select guidance documents and, for others, the EEOC is working on updating several guidance documents for consistency with current statutory requirements and court decisions. These efforts will continue in fiscal year 2021. Also, the EEOC modernized the guidance page on the website, adding a search mechanism and information about whether each item was approved by Commission vote.

The EEOC took the following significant regulatory and survey actions in fiscal year 2020:

Action	Description	Location
Notice of Proposed Rulemaking and second comment period	This NPRM proposes to provide greater clarity to federal agencies and unions who represent federal employees on what aspects of official time need to be addressed during the collective bargaining process.	84 Federal Register 67683 (Dec. 11, 2019) 85 Federal Register 33049 (June 1, 2020)
Notice of Proposed Rulemaking on the Issuance of Guidance	This NPRM proposes to amend the EEOC's procedural regulations to establish rules for issuing guidance, in compliance with the requirements of Executive Order 13891.	85 Federal Register 30667 (May 20, 2020)
Final Rule on the Issuance of Guidance	This rule establishes procedures for issuing guidance, in compliance with the requirements of Executive Order 13891.	85 Federal Register 69167 (Nov. 2, 2020)
Notice of Proposed Rulemaking on the Conciliation Process	This NPRM proposes to revise the EEOC's private sector procedural regulations to enhance the effectiveness of the charge conciliation process and provide greater clarity for all stakeholders.	85 Federal Register 64079 (Oct. 9, 2020)

Action	Description	Location
30-day Paperwork Reduction Act Notice for the EEO-1 Demographic Survey	The Commission submitted for approval to the Office of Management and Budget (OMB) a request for final PRA clearance for the demographic part of the EEO-1 ("Component 1").	85 Federal Register 16340 (March 23, 2020) (notice of submission to OMB and 30-day notice). On June 12, 2020, OMB gave the EEOC final approval to collect EEO-1 demographic data (EEO-1 Component 1 data) for calendar years 2020, 2021, and 2022.

B. Chair's Priority No. 3: Enhancing Our Efforts to Reach Vulnerable Workers

The EEOC is focusing its efforts to reach and serve vulnerable workers throughout the nation. In fiscal year 2020, the Chair established the Vulnerable Workers Task Force to re-examine the agency's practices and make recommendations to ensure that the agency effectively identifies, reaches, and serves vulnerable workers throughout the nation. The Task Force, consisting of several work groups, is analyzing issues involving outreach and education, strategic partnerships, research and data, accessibility, and internal collaboration and support.

The EEOC also continued to prioritize outreach to vulnerable populations and build strong partnerships with employer and advocacy groups that work with vulnerable workers. Overall, during fiscal year 2020, there were over 905 outreach events involving vulnerable workers reaching 94,180 individuals. This included outreach to immigrant, migrant, and farm worker communities, as well as communities where individuals are reluctant to come forward to complain about employment discrimination.

III. MANAGEMENT OBJECTIVE: ACHIEVE ORGANIZATIONAL EXCELLENCE

To lead the country in advancing equal opportunity in the workplace, the EEOC is committed to achieving organizational excellence by improving management functions with a focus on information technology, infrastructure enhancement, and accountable financial stewardship. In fiscal year 2020, this required the EEOC to adopt personnel, technology, and infrastructure enhancements that would allow agency employees to continue preventing and remedying unlawful employment discrimination and advancing equal opportunity in the workplace.

A. Chair's Priority No. 5: Continuing EEOC's Efforts to be a Model Workplace

The EEOC can best accomplish our mission with a productive, inclusive, and diverse workforce. In fiscal year 2020, the EEOC continued to fully embrace the principles of equal employment in our own workplace, recognizing that doing so creates an environment that enhances the EEOC's overall effectiveness; fosters a culture of inclusion and respect, and supports collaboration and strategic innovation among all employees; and supports agency employees by providing them with the tools and resources they need to be successful in their jobs.

The EEOC fostered a culture of inclusion and respect, and supported collaboration and strategic innovation among all employees by:

- Providing guidance on how best to have inclusive remote webinars and meetings. For example, the agency provided two documents to employees with information and best practices for hosting inclusive remote meetings and webinars for Deaf and hard-of-hearing participants.
- Ensured that materials circulated internally, and shared externally, were Section 508 compliant. This included working with Microsoft to produce an accessible Quick Start guide for Microsoft Teams. Issues identified by EEOC's accessibility coordinator were reported to Microsoft's Disability Answer Desk and, as a result, Microsoft produced a revised guide that is fully accessible and now available to the federal community.

The Commission also continued hiring a diverse workforce throughout the pandemic. The Office of the Chief Human Capital Officer, the Office of Information Technology, the Office of the Chief Financial Officer, and the District Resource Managers in Field Offices worked with hiring managers to bring on new staff and ensure they have human resources information, technology, and credentials to do their jobs. The agency has filled 161 permanent positions, with 156 of those 161 positions already onboarded virtually with the EEOC.

In fiscal year 2020, the EEOC also continued to provide employees with the tools and resources they need to be successful in their jobs, including:

- Flexible and alternative schedules during the pandemic for employees who needed them.
- A Maxi-Flex COVID-19 Emergency Pilot Program to provide employees who voluntarily participated in the program additional flexibilities to complete basic work requirements.
- Consistent and transparent communication with staff concerning the pandemic through the establishment of the COVID-19 SharePoint Site and regular email updates.

One of the management challenges associated with the COVID-19 pandemic was providing laptops and support to the 250-plus interns that were preparing to on-board during the summer. Understanding the importance of the program to the agency and the interns, and the time constraints related to their service, the EEOC developed and provisioned a secure Windows Virtual Desktop (WVD) environment for interns' use in less than one month. WVD allowed interns to securely connect to EEOC systems and services from their personal laptop at their remote location. While primarily implemented in response to the pandemic, this solution is expected to continue to provide EEOC interns and Continuity of Operations staff with reliable, secure, and cost-effective remote access. Using the EEOC's Azure cloud infrastructure, WVD services can be ramped up or down to more efficiently and cost effectively meet these needs.

LOOKING FORWARD

It is essential for the EEOC to continue to embrace and leverage technology to improve our services and upgrade the Commission's data capabilities to promote greater access to the data, enhance transparency, and augment agency use of modern data analytics to drive decision making. Although the pandemic and work-at-home restrictions brought hardships and new challenges, it also brought many lasting benefits associated with fast-track deployment and use of communication and collaboration technologies, and flexible infrastructures — such as Windows Virtual Desktop — which will increase cross-collaboration and related efficiencies into the future. Looking forward, our agency will continue to

focus on efforts to modernize our digital systems to build upon our ability to prevent and remedy unlawful employment discrimination, as well as other technological enhancements necessary to improve the quality of services to the public.

The agency's strategic plan requires that we "complete a shared vision and develop high-level plans with resource requirements for modernizing [our] charge/case management systems." As discussed above, to meet this goal, the agency engaged with the Technology Modernization Fund (TMF), and in late fiscal year 2019, the TMF Board awarded the agency \$4 million dollars. These funds are providing the EEOC with the resources needed to modernize the legacy technology and data structure of its 18-year old Integrated Mission System (IMS) over a two-year period. Initial development for this project is well underway with the milestone of delivering a new Private Sector Charge Management application to both the EEOC and its Fair Employment Practice Agency (FEPAs) partners in mid-2021.

In fiscal year 2020, the agency contracted for new, user-friendly Freedom of Information Act (FOIA) software that will receive FOIA requests, be compatible with the agency's other digital systems, and enable staff to respond to FOIA requests with increased efficiency. The new software will be implemented in early fiscal year 2021.

FINANCIAL HIGHLIGHTS

The Office of Management and Budget (OMB) Circular Number A-136 Revised dated August 27, 2020 was used as guidance for the preparation of the accompanying financial statements. EEOC prepares four financial statements: Consolidated Balance Sheets, Consolidated Statements of Net Cost, Consolidated Statements of Changes in Net Position, and the Combined Statements of Budgetary Resources.

Consolidated Balance Sheets

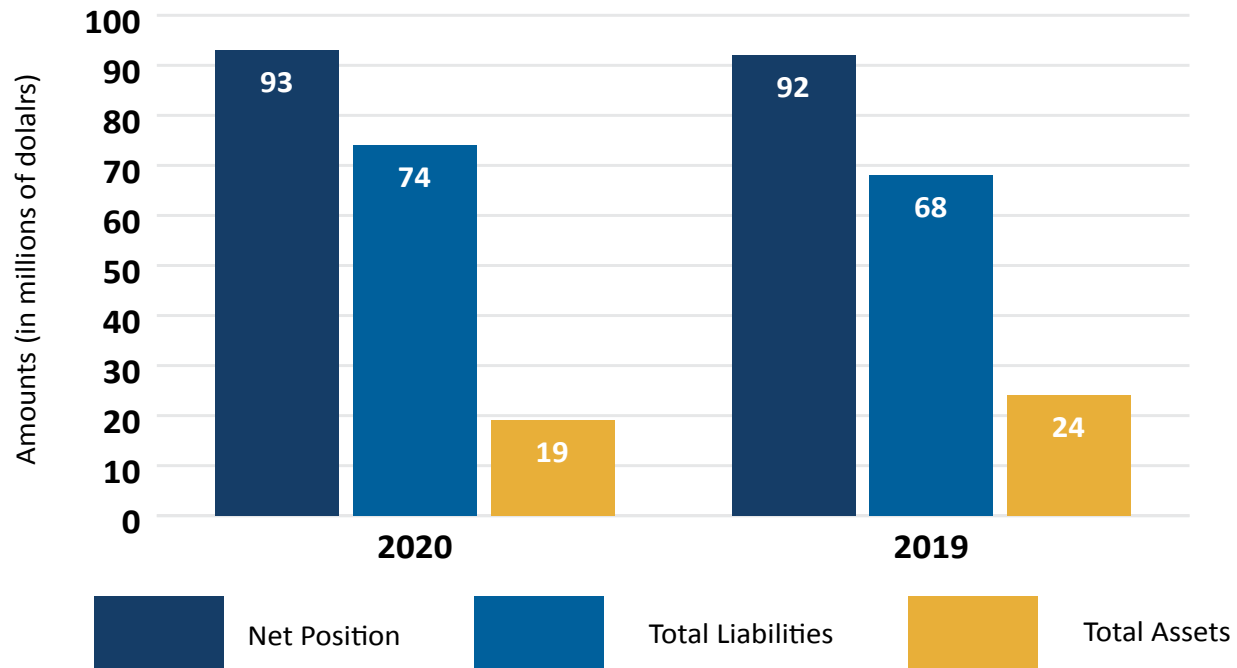
The Consolidated Balance Sheets present amounts that are owned or managed by EEOC (assets), amounts owed (liabilities), and the net position of the agency divided between the cumulative results of operations and unexpended appropriations.

EEOC's balance sheets show total assets of \$93 million at the end of fiscal year 2020 and \$92 million at the end of fiscal year 2019.

EEOC's balance sheet also show total liabilities of \$74 million at the end of fiscal year 2020 and \$68 million at the end of fiscal year 2019.

The Net Position is the sum of Unexpended Appropriations and the Cumulative Results of Operations. EEOC's Net Position on its Balance Sheets and the Statement of Changes in Net Position show \$19 million at the end of fiscal year 2020 and \$24 million at the end of fiscal year 2019.

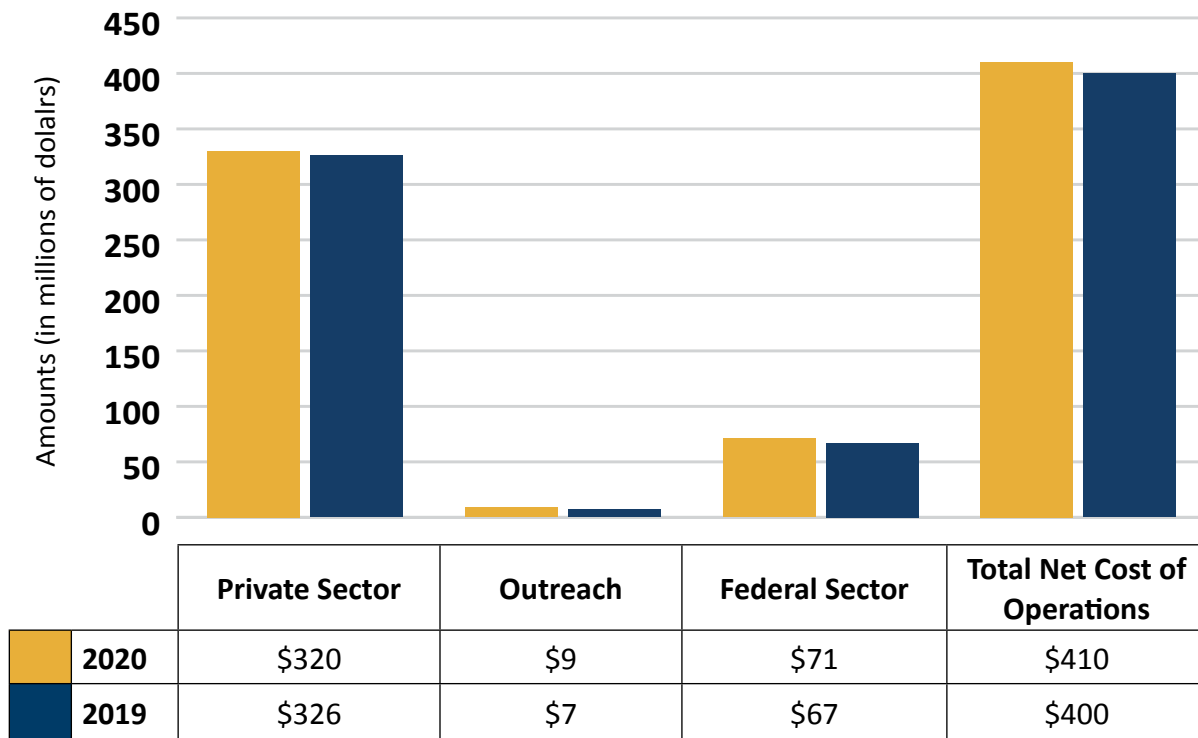
Equal Employment Opportunity Commission Balance Sheet



Consolidated Statements of Net Cost

The Consolidated Statements of Net Cost presents the gross cost incurred by all programs less any revenue earned. Overall, in fiscal year 2020, EEOC's Consolidated Statements of Net Cost of Operations increased by \$10 million or 2 percent. The increase for the allocation of costs for fiscal year 2020 for the net cost for the private sector and outreach increased by \$6 million or 3 percent, while the net cost for Federal Sector Programs has increased by \$4 million or 6 percent.

Consolidated Statements of Net Cost of Operations by Major Programs



Consolidated Statement of Changes in Net Position

The Consolidated Statement of Changes in Net Position represent the change in the net position for fiscal year 2020 and fiscal year 2019 from the cost of operations, appropriations received and used, and the financing of some costs by other government agencies. The Consolidated Statement of Changes in Net Position decreased by \$5 million for fiscal year 2020 when compared to fiscal year 2019.

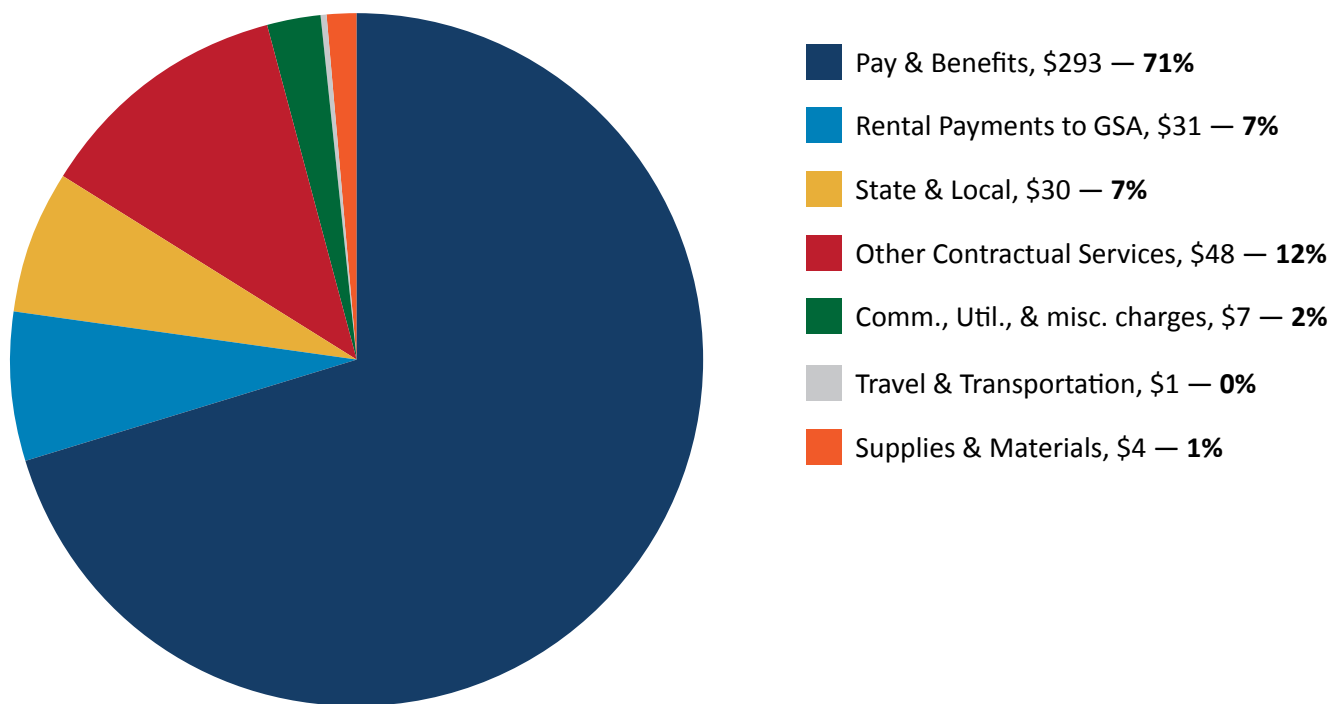
Combined Statements of Budgetary Resources

The Combined Statements of Budgetary Resources show how budgetary resources were made available and the status of those resources at the end of the fiscal year. In fiscal year 2020, EEOC received \$391.5 million in budget authority. This amount includes appropriations received from OMB of \$389.5 million and a \$2 million non-expenditure transfer from GSA's Technology Modernization Fund (TMF) with required apportionment from OMB. EEOC ended fiscal year 2020 with an increase by \$12 million in total budgetary resources. Resources not available for new obligations at the end of the year totaled \$3 million and \$4 million in fiscal year 2020 and fiscal year 2019, respectively. The unobligated balance not available represents expired budget authority from prior years that are no longer available for new obligations.

Use of Resources

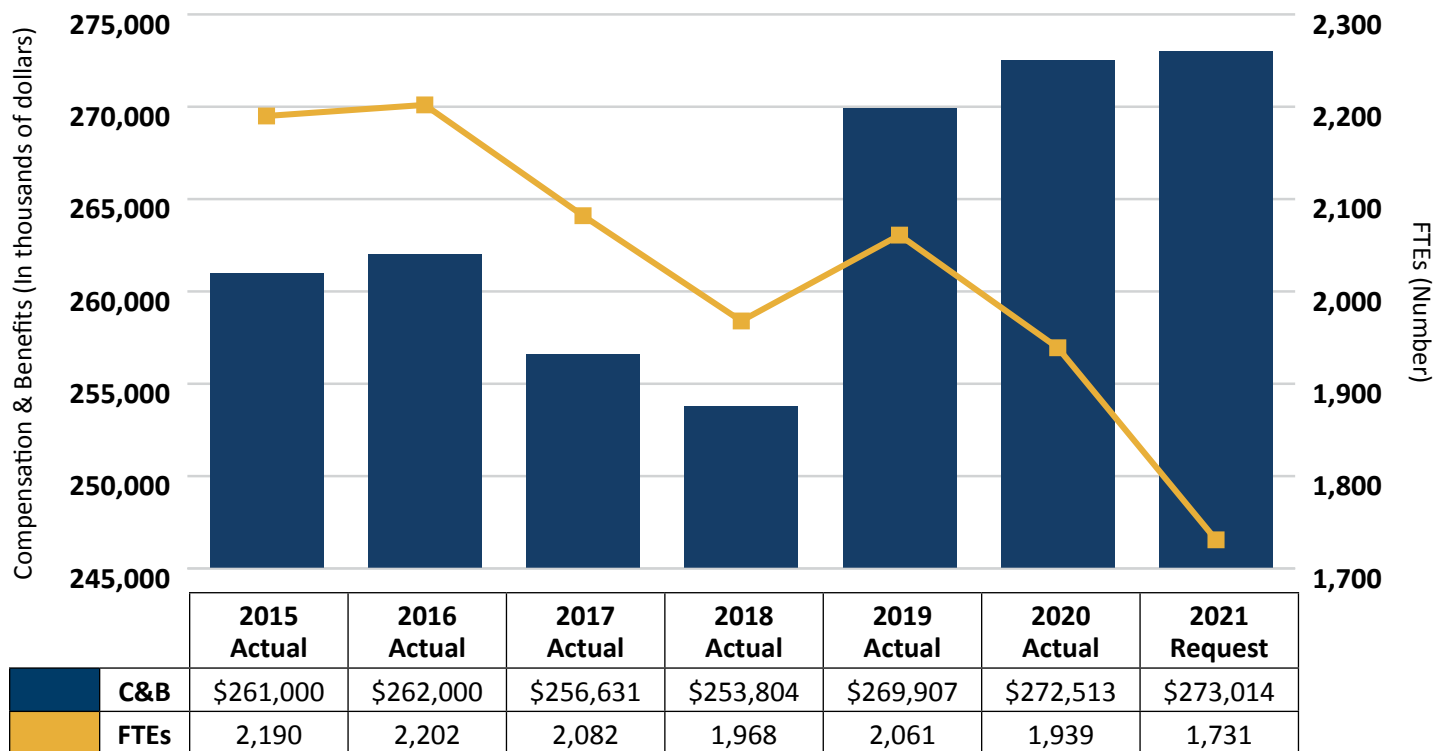
The pie chart below illustrates EEOC's fiscal year 2020 use of resources by major object class. The chart shows costs actually incurred by EEOC. It does not include costs incurred by others on behalf of EEOC. The chart shows that Pay and Benefits, State & Local Programs, Rent to GSA and Other Contractual Services consumed 97 percent of EEOC's resources, and other expenses (e.g., communication, utilities and miscellaneous charges, travel & transportation, supplies & materials, etc.) consumed 3 percent of EEOC's resources for fiscal year 2020.

FY 2020 by Major Object Class (in millions)



The dual axis chart below depicts EEOC's compensation and benefits versus full-time equivalents (FTE) over the past six years. EEOC ended fiscal year 2020 with 1,939 FTEs, a net decrease of 122, or 6 percent, below fiscal year 2019.

Compensation & Benefits (C&B) and FTEs for FY 2015 through FY 2021



Limitations of the Financial Statements

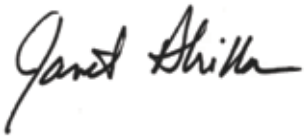
The principal financial statements are prepared to report the financial position and results of operations of the reporting entity, pursuant to the requirements of 31 U.S.C. § 3515(b). The statements are prepared from the books and records of the entity in accordance with Federal GAAP and the formats prescribed by OMB. Reports used to monitor and control budgetary resources are prepared from the same books and records. The financial statements should be read with the realization that they are for a component of the U.S. Government.

MANAGEMENT ASSURANCES

The EEOC's internal controls and financial management systems were sound during fiscal year 2020. There were three financial non-conformances that were not fully corrected during the fiscal year, but the agency implemented corrective action plans to resolve these uncorrected financial non-conformances. These financial non-conformances were identified in audit reports prepared by the Office of Inspector General (OIG): EEOC's Commercial Charge Card Program Audit (OIG Report No. 2018-007-AOIG), May 31, 2019; EEOC's FY 2019 Financial Statement Audit, through Harper, Rains, Knight & Company (HRK), Notice of Findings and Recommendations (UD0-201901) Undelivered Orders Audit Report, November 19, 2019; and FY 2019 Digital Accountability and Transparency Act Finding (OIG Report No. 2019-003-AOIG), November 8, 2019.

Based on the actions taken, and considering the agency's controls environment as a whole, the agency concludes that during fiscal year 2020, its financial and internal controls systems were in compliance with the Federal Managers' Financial Integrity Act (FMFIA). The controls systems were effective; agency resources were used consistent with the agency's mission; the resources were used in compliance with applicable laws and regulations; and there was minimal potential for waste, fraud, and mismanagement of resources.

The EEOC's management is also responsible for establishing and maintaining effective internal control over financial reporting, which includes safeguarding of assets and compliance with applicable laws and regulations. The EEOC conducted its assessment of the effectiveness of the agency's internal control over financial reporting in accordance with OMB Circular A-123, *Management's Responsibility for Enterprise Risk Management and Internal Control*. Based on the results of this evaluation, the EEOC can provide reasonable assurance that internal control over financial reporting as of September 30, 2020 was operating effectively and no material weaknesses were found in the design or operation of the agency's internal controls over financial reporting.



Janet Dhillon
Chair
November 9, 2020

LEGAL COMPLIANCE

EEOC maintained controls for and compliance with the Anti-Deficiency Act, the Debt Collection Act of 1996, as amended, the Prompt Payment Act, Federal Information Security Modernization Act of 2014, Pay and Allowance System for Civilian Employees, the Government Charge Card Abuse Prevention Act of 2012, Federal Civil Penalties Inflation Adjustment Act of 1990, as amended, the Digital Accountability and Transparency Act of 2014 (DATA Act), and the Fraud Reduction and Data Analytics Act of 2015.



FINANCIAL SECTION

LETTER FROM THE INSPECTOR GENERAL TRANSMITTING AUDIT



U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION
Washington, D.C. 20507

Office of Inspector General

November 12, 2020

MEMORANDUM

TO: Janet Dhillon
Chair

FROM: Milton A. Mayo, Jr.
Inspector General

A handwritten signature in dark ink, appearing to read "Milton Mayo", with a stylized flourish at the end.

SUBJECT: Audit of the U.S. Equal Employment Opportunity Commission's Fiscal Year 2020 Financial Statements (OIG Report No. 2020-001-AOIG)

The Office of Inspector General (OIG) contracted with the independent certified public accounting firm of Harper, Rains, Knight & Company, P.A. (HRK) to audit the financial statements of the U.S. Equal Employment Opportunity Commission (EEOC) for fiscal years ended September 30, 2020 and 2019, and to report on EEOC's internal controls over financial reporting, and compliance with laws, regulations, contracts, grant agreements, and other matters. The contract required that HRK conduct the audit in accordance with U.S. generally accepted government auditing standards (GAGAS) contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, and Office of Management and Budget (OMB) audit guidance, and U.S. Government Accountability Office/Council of the Inspectors General on Integrity and Efficiency *Financial Audit Manual*.

In its audit of EEOC, HRK reported:

- EEOC's financial statements present fairly, in all material respects, EEOC's financial position as of September 30, 2020 and 2019, and its net cost of operations, changes in net position, and budgetary resources for the fiscal years then ended, in accordance with accounting principles generally accepted in the United States of America;
- they did not identify any deficiencies in internal control over financial reporting that they consider to be material weaknesses. However, material weaknesses may exist that have not been identified; and
- their tests for compliance with selected provisions of applicable laws, regulations, contracts, and grant agreements disclosed no instances of noncompliance for fiscal year 2020 that would be reportable under GAGAS or OMB Bulletin 19-03, *Audit Requirements for Federal Financial Statements*.

HRK is responsible for the attached auditor's report dated November 12, 2020, and the conclusions expressed in the report. We do not express opinions on EEOC's financial statements or internal control over financial reporting, or conclusions on compliance and other matters. EEOC management was given the opportunity to review the draft report and to provide comments.



OMB issued Circular Number A-50, *Audit Follow-up*, to ensure that corrective action on audit findings and recommendations proceed as rapidly as possible. EEOC Order 192.002, *Audit Follow-Up Program*, implements Circular Number A-50 and requires that for resolved recommendations, a corrective action work plan should be submitted within 30 days of the final audit report date describing specific tasks and completion dates necessary to implement audit recommendations. Circular Number A-50 requires prompt resolution and corrective action on audit recommendations. Resolutions should be made within six months of final report issuance.

Attachment

cc:

Brett Brenner
Bryan Burnett
Martin Ebel
Carlton Hadden
Chris Haffer
Andrew Maunz
Malcolm Medley
Mona Papillon
Kevin Richardson
Haley Wojdowski



INDEPENDENT AUDITORS' REPORT



Independent Auditors' Report

Inspector General
U.S. Equal Employment Opportunity Commission

Report on the Financial Statements

We have audited the accompanying financial statements of the U.S. Equal Employment Opportunity Commission (EEOC). EEOC's financial statements comprise the balance sheets as of September 30, 2020 and 2019, and the related statements of net cost and changes in net position, and combined statements of budgetary resources, for the fiscal years then ended; and the related notes to the financial statements.

Management's Responsibility

EEOC's management is responsible for (1) the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; (2) preparing, measuring, and presenting the Required Supplementary Information (RSI) in accordance with accounting principles generally accepted in the United States of America; (3) preparing and presenting other information included in documents containing the audited financial statements and auditors' report, and ensuring the consistency of that information with the audited financial statements and the RSI; and (4) maintaining effective internal control over financial reporting, including the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and Office of Management and Budget (OMB) Bulletin 19-03, *Audit Requirements for Federal Financial Statements*. Those standards and OMB require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement. We are also responsible for applying certain limited procedures to RSI and other information included with the financial statements.

An audit of financial statements involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the auditors' assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditors consider internal

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Auditors' Responsibility (continued)

control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit of financial statements also involves evaluating the appropriateness of the accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. Our audits also included performing such other procedures as we considered necessary in the circumstances.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion on the Financial Statements

In our opinion, EEOC's financial statements present fairly, in all material respects, EEOC's financial position as of September 30, 2020 and 2019, and its net cost of operations, changes in net position, and budgetary resources for the fiscal years then ended, in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Required Supplementary Information

Accounting principles generally accepted in the United States of America issued by the Federal Accounting Standards Advisory Board (FASAB) require that the information in the Management's Discussion and Analysis be presented to supplement the financial statements. Such information, although not a part of the financial statements, is required by FASAB who considers this information to be an essential part of financial reporting for placing the financial statements in appropriate operational, economic, or historical context. We have applied certain limited procedures to the RSI in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the RSI and comparing the information for consistency with management's responses to the auditors' inquiries, the financial statements, and other knowledge we obtained during the audit of the financial statements, in order to report omissions or material departures from FASAB guidelines, if any, identified by these limited procedures. We did not audit and we do not express an opinion or provide any assurance on the RSI because the limited procedures we applied do not provide sufficient evidence to express an opinion or provide any assurance.

Other Information

Our audit was conducted for the purpose of forming an opinion on EEOC's financial statements. The information in the Message from the Chair and Other Information section contains a wide range of information, some of which is not directly related to the financial statements. This information is presented for purposes of additional analysis and is not a required part of the financial statements or the RSI. We read the other information included with the financial statements in order to identify material inconsistencies, if any, with the audited financial statements.

Other Information (continued)

The Message from the Chair and Other Information section has not been subjected to the auditing procedures applied in the audit of the financial statements, and accordingly, we do not express an opinion or provide any assurance on it.

Other Reporting Required by Government Auditing Standards

Internal Control over Financial Reporting

In planning and performing our audit of EEOC's financial statements as of and for the year ended September 30, 2020, in accordance with U.S. generally accepted government auditing standards and OMB Bulletin 19-03, *Audit Requirements for Federal Financial Statements*, we considered the entity's internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control over financial reporting. Accordingly, we do not express an opinion on the entity's internal control over financial reporting. We did not consider all internal controls relevant to operating objectives as broadly established by the Federal Managers' Financial Integrity Act of 1982, such as those controls relevant to preparing performance information and ensuring efficient operations. We are required to report all deficiencies that are considered to be significant deficiencies or material weaknesses.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over financial reporting was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control over financial reporting that might be material weaknesses or significant deficiencies, and therefore, material weaknesses or significant deficiencies may exist that were not identified. Given these limitations, during our audit, we did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether EEOC's financial statements are free from material misstatement, we performed tests of its compliance with selected provisions of applicable laws, regulations, contracts, and grant agreements, noncompliance with which would have a direct and material effect on the financial statements. We performed our tests of compliance in accordance with U.S. generally accepted government auditing standards and OMB Bulletin 19-03, *Audit Requirements for Federal Financial Statements*. We caution that noncompliance may occur and not be detected by these tests.

Compliance and Other Matters (continued)

Management is responsible for complying with laws, regulations, contracts, and grant agreements applicable to the entity.

Our responsibility is to test compliance with selected provisions of applicable laws, regulations, contracts, and grant agreements applicable to the entity that have a direct effect on the determination of material amounts and disclosures in the entity's financial statements and perform certain other limited procedures. Accordingly, we did not test compliance with all laws, regulations, contracts, and grant agreements applicable to EEOC.

Our tests for compliance with selected provisions of applicable laws, regulations, contracts, and grant agreements disclosed no instances of noncompliance for fiscal year 2020 that would be reportable under U.S. generally accepted government auditing standards or OMB Bulletin 19-03, *Audit Requirements for Federal Financial Statements*. However, the objective of our tests was not to provide an opinion on compliance with laws, regulations, contracts, and grant agreements applicable to EEOC. Accordingly, we do not express such an opinion.

Purpose of the Other Reporting Required by Government Auditing Standards

The purpose of the communication described in the Other Reporting Required by *Government Auditing Standards* section is solely to describe the scope of our testing of internal control and compliance and the result of that testing, and not to provide an opinion on the effectiveness of EEOC's internal control or compliance. These reports are an integral part of an audit performed in accordance with U.S. generally accepted government auditing standards in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Harper, Raines, Knight & Company, P.A.
November 12, 2020

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION CONSOLIDATED BALANCE SHEETS

CONSOLIDATED BALANCE SHEETS

As of September 30, 2020 and 2019

(in dollars)

	2020	2019
ASSETS:		
<i>Intragovernmental:</i>		
Fund Balance With Treasury (Note 2)	\$ 91,449,595	\$ 91,606,794
Advances and Prepayments	-	11,686
Total Intragovernmental	91,449,595	91,618,480
<i>Public:</i>		
Accounts Receivable, Net (Note 3)	71,266	104,650
General Property, Plant, and Equipment, Net (Note 4)	1,898,372	-
Advances and Prepayments	9,832	-
TOTAL ASSETS	\$ 93,429,065	\$ 91,723,130
LIABILITIES:		
<i>Intragovernmental</i>		
Accounts Payable (Note 6)	\$ 724,837	\$ 684,595
Employer Payroll Taxes (Note 6)	3,039,863	2,394,169
Workers' Compensation liability (Note 6)	1,810,941	1,803,552
Other Liability (Note 6)	2,000,000	-
Total Intragovernmental	7,575,641	4,882,316
<i>Public:</i>		
Accounts Payable (Note 6)	23,880,456	23,994,238
Future workers' compensation liability (Note 6)	9,101,847	9,726,562
Accrued Payroll (Note 6)	10,583,857	9,007,786
Employer Payroll Taxes (Note 6)	422,713	345,376
Accrued annual Leave (Note 6)	22,740,618	19,753,681
Amounts collected for restitution (Note 6)	56,563	56,597
TOTAL LIABILITIES	74,361,695	67,766,556



CONSOLIDATED BALANCE SHEETS, Continued

	2020	2019
NET POSITION:		
<i>Funds from Dedicated Collections:</i>		
Total Net Position — Funds from Dedicated Collections	4,159,967	4,648,071
<i>All Other Funds:</i>		
Unexpended Appropriations — Other Funds	46,591,170	50,487,648
Cumulative Results of Operations — Other Funds	(31,683,767)	(31,179,145)
Total Net Position All Other Funds	14,907,403	19,308,503
TOTAL NET POSITION	19,067,370	23,956,574
TOTAL LIABILITIES AND NET POSITION	\$ 93,429,065	\$ 91,723,130

The accompanying notes are an integral part of these statements.



EQUAL EMPLOYMENT OPPORTUNITY COMMISSION CONSOLIDATED STATEMENTS OF NET COSTS

CONSOLIDATED STATEMENTS OF NET COST

For the Years Ended September 30, 2020 and 2019

(in dollars)

	2020	2019
COMBATTING EMPLOYMENT DISCRIMINATION THROUGH STRATEGIC LAW ENFORCEMENT		
Private Sector:		
Enforcement	\$ 189,387,418	\$ 184,699,987
Mediation	26,187,839	25,270,823
Litigation	73,629,578	76,555,729
Intake information	5,693,009	5,574,446
State and Local	35,364,836	33,679,145
Total Program Costs— Private Sector	330,262,680	325,780,130
Revenue	-	-
Net Cost — Private sector	330,262,680	325,780,130
Federal Sector:		
Hearings	38,712,458	36,048,086
Appeals	20,874,365	19,324,747
Mediation	379,534	743,260
Oversight	11,386,017	10,405,633
Total Program Cost — Federal Sector	71,352,374	66,521,726
Revenue	-	-
Net Cost — Federal Sector	71,352,374	66,521,726
Total Private, Federal Sector		
Program Costs	401,615,054	392,301,856
Revenue	-	-
Net Cost, Private, Federal Sector	401,615,054	392,301,856
PREVENTING EMPLOYMENT DISCRIMINATION THROUGH EDUCATION AND OUTREACH		
Outreach		
Fee Based	3,643,31	5,042,408
Non-Fee Based	8,349,746	7,804,225
Total Program Cost — Outreach	11,993,060	12,846,633
Revenue	(3,155,210)	(5,646,687)
Net Cost Outreach	8,837,850	7,199,946



CONSOLIDATED STATEMENTS OF NET COST, Continued

	2020	2019
Total, All Programs		
Program Cost	413,608,114	405,148,489
Revenue (Note 8)	(3,155,210)	(5,646,687)
Net Cost of Operations	\$ 410,452,904	\$ 399,501,802

The accompanying notes are an integral part of these statements.



EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

CONSOLIDATED STATEMENT OF CHANGES IN NET POSITION

CONSOLIDATED STATEMENTS OF CHANGES IN NET POSITION

For the Years Ended September 30, 2020 and 2019

(in dollars)

	2020		
	Consolidated Funds from Dedicated Collections	Consolidated All Other Funds	Consolidated Total
Unexpended Appropriations:			
Beginning Balances	\$ -	\$ 50,487,648	\$ 50,487,648
Beginning Balances, as Adjusted	-	50,487,648	50,487,648
Budgetary Financing Sources:			
Appropriations Received (Note 9)	-	389,500,000	389,500,000
Appropriations Used	-	(390,272,295)	(390,272,295)
Other Adjustments		(3,124,183)	(3,124,183)
Total Budgetary Financing Resources	-	(3,896,478)	(3,896,478)
Total Unexpended Appropriations	-	46,591,170	46,591,170
Cumulative Results of Operations:			
Beginning Balances	4,648,071	(31,179,145)	(26,531,074)
Beginning Balances, as Adjusted	4,648,071	(31,179,145)	(26,531,074)
Budgetary Financing Sources:			
Appropriations Used	-	390,272,295	390,272,295
Imputed Financing (Note 12)	-	19,187,883	19,187,883
Total Financing Sources	-	409,460,178	409,460,178
Net Cost of Operations	(488,104)	(409,964,800)	(410,452,904)
Net Change	(488,104)	(504,622)	(992,726)
Cumulative Results of Operations	4,159,967	(31,683,767)	(27,523,800)
Net Position	\$ 4,159,967	\$ 14,907,403	\$ 19,067,370



CONSOLIDATED STATEMENTS OF CHANGES IN NET POSITION

For the Years Ended September 30, 2020 and 2019

(in dollars)

	2019		
	Consolidated Funds from Dedicated Collections	Consolidated All Other Funds	Consolidated Total
Unexpended Appropriations:			
Beginning Balances	\$ -	\$ 52,212,997	\$ 52,212,997
Beginning Balances, as Adjusted	-	52,212,997	52,212,997
Budgetary Financing Sources:			
Appropriations Received	-	379,500,000	379,500,000
Appropriations Used	-	(377,846,974)	(377,846,974)
Other Adjustments		(3,378,375)	(3,378,375)
Total Budgetary Financing Resources	-	(1,725,349)	(1,725,349)
Total Unexpended Appropriations	\$ -	\$ 50,487,648	\$ 50,487,648
Cumulative Results of Operations:			
Beginning Balances	\$ 4,043,792	\$ (29,200,127)	\$ (25,156,335)
Beginning Balances, as Adjusted	4,043,792	(29,200,127)	(25,156,335)
Budgetary Financing Sources:			
Appropriations Used	-	377,846,974	\$ 377,846,974
Budgetary Financing Sources:			
Imputed Financing (Note 12)	-	20,280,089	20,280,089
Total Financing Sources	-	398,127,063	398,127,063
Net Cost of Operations	604,279	(400,106,081)	(399,501,802)
Net Change	604,279	(1,979,018)	(1,374,739)
Cumulative Results of Operations	\$ 4,648,071	\$ (31,179,145)	\$ (26,531,074)
Net Position	\$ 4,648,071	\$ 19,308,503	\$ 23,956,574

The accompanying notes are an integral part of these statements.



EQUAL EMPLOYMENT OPPORTUNITY COMMISSION COMBINED STATEMENTS OF BUDGETARY RESOURCES

COMBINED STATEMENTS OF BUDGETARY RESOURCES

For the Years Ended September 30, 2020 and 2019

(in dollars)

	2020	2019
Budgetary resources		
Unobligated balance from prior year budget authority, net (discretionary and mandatory)	\$ 11,407,404	\$ 8,537,680
Appropriations (discretionary and mandatory)	391,500,000	379,500,000
Spending authority from offsetting collections (discretionary and mandatory)	3,155,210	5,464,811
Total budgetary resources	<u>\$ 406,062,614</u>	<u>\$ 393,502,491</u>
Status of budgetary resources		
New obligations and upward adjustments (total)	\$ 398,101,696	\$ 385,563,949
Unobligated balance, end of year		
Apportioned, unexpired accounts	4,492,878	3,819,522
Unapportioned, unexpired accounts	562	-
Unexpired unobligated balance, end of year (Note 2)	<u>4,493,440</u>	<u>3,819,522</u>
Expired unobligated balance, end of year	<u>3,467,478</u>	<u>4,119,020</u>
Unobligated balance, end of year (total)	<u>7,960,918</u>	<u>7,938,542</u>
Total budgetary resources	<u>\$ 406,062,614</u>	<u>\$ 393,502,491</u>
Budget Authority and Outlays, Net:		
Outlays, net (total) (discretionary and mandatory)	<u>388,532,982</u>	<u>373,281,575</u>
Agency outlays, net (discretionary and mandatory)	<u>\$ 388,532,982</u>	<u>\$ 373,281,575</u>

The accompanying notes are an integral part of these statements



NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS

For the Years Ended September 30, 2020 and 2019

(In Dollars)

(1) Summary of Significant Accounting Policies

(a) *Reporting Entity*

The Equal Employment Opportunity Commission (EEOC; Commission) was created by Title VII of the Civil Rights Act of 1964 (78 Stat. 253:42 U.S.C. 2000e, et seq.) as amended by the Equal Employment Opportunity Act of 1972 (Public Law 92261), and became operational on July 2, 1965. Title VII requires that the Commission be composed of five members, not more than three of whom shall be of the same political party. The members are appointed by the President of the United States of America, by and with the consent of the Senate, for a term of 5 years. The President designates one member to serve as Chair and one member to serve as Vice Chair. The General Counsel is also appointed by the President, by and with the advice and consent of the Senate for a term of 4 years.

In addition, based on the EEOC Education Technical Assistance and Training Revolving Fund Act of 1992 (P.L. 102-411), the EEOC is authorized to charge and receive fees to offset the costs of education, technical assistance, and training.

The Commission is concerned with discrimination by public and private employers with 15 or more employees (excluding elected or appointed officials of state and local governments), public and private employment agencies, labor organizations with 15 or more members, or agencies which refer persons for employment or which represent employees of employers covered by the Act, and joint labor-management apprenticeship programs of covered employers and labor organizations. The Commission carries out its mission through investigation, conciliation, litigation, coordination, regulation in the federal sector, and through education, policy research, and provision of technical assistance.

(b) *Basis of Presentation*

These financial statements have been prepared to report the consolidated financial position, net cost of operations, changes in net position, and budgetary resources of the EEOC, consistent with the Chief Financial Officers' Act of 1990 (CFO Act) and the Government Management Reform Act of 1994. These financial statements have been prepared from the books and records of the EEOC in accordance with generally accepted accounting principles (GAAP) and the form and content requirements of the Office of Management and Budget (OMB) Circular No. A-136, and the EEOC's accounting policies, which are summarized in this note. All intra-agency transactions and balances have been eliminated, except in the Statement of Budgetary Resources, which is presented on a combined basis, as required by OMB Circular No. A-136. These consolidated financial statements present proprietary information while other financial reports also prepared by the EEOC pursuant to OMB directives are used to monitor and control the EEOC's use of federal budgetary resources.



(c) Basis of Accounting

The Commission's integrated Oracle Federal Financials (OFF) uses Oracle, which has funds control, management accounting, and a financial reporting system designed specifically for federal agencies.

Financial transactions are recorded in the financial system, using both an accrual and a budgetary basis of accounting. Under the accrual method, revenues are recognized when earned and expenses are recognized when a liability occurs without regard to the receipt or payment of cash. Budgetary accounting facilitates compliance with legal requirements and mandated controls over the use of federal funds. It generally differs from the accrual basis of accounting in that obligations are recognized when new orders are placed, contracts are awarded, or services are received that will require payments during the same or future periods.

(d) Revenues, User Fees and Financing Sources

The EEOC receives the majority of the funding needed to support its programs through congressional appropriations. Financing sources are received in annual and no-year appropriations that may be used, within statutory limits, for operating and capital expenditures. Transfer of funds from the General Services Administration (GSA) Technology Modernization Funds (TMF), authorized by the Modernization Government Technology Act are recognized as other financial resources. Appropriations used are recognized as an accrual-based financing source when expenses are incurred or assets are purchased.

The EEOC also has a permanent, indefinite appropriation. These additional funds are obtained through fees charged to offset costs for education, training, and technical assistance provided through the revolving fund. The fund is used to pay the cost (including administrative and personnel expenses) of providing education, technical assistance, and training by the Commission. Revenue is recognized as earned when the services have been rendered.

An imputed financing source is recognized to offset costs incurred by the EEOC and funded by another federal source, in the period in which the cost was incurred. The types of costs offset by imputed financing are: (1) employees' pension benefits; (2) health insurance, life insurance, and other post-retirement benefits for employees; and (3) losses in litigation proceedings.

(e) Assets and Liabilities

Assets and liabilities presented on the EEOC's balance sheets include both entity and non-entity balances. Entity assets are assets that the EEOC has authority to use in its operations. Non-entity assets are held and managed by the EEOC but are not available for use in operations. The EEOC's non-entity assets represent receivables that, when collected, will be transferred to the U.S. Treasury.

Intra-governmental assets and liabilities arise from transactions between the Commission and other federal entities. Intragovernmental other liability recognizes the repayment of amounts transferred of funds from the General Services Administration (GSA) Technology Modernization Funds (TMF). All other assets and liabilities result from activity with non-federal entities.

Liabilities covered by budgetary or other resources are those liabilities of the EEOC for which Congress has appropriated funds or funding is otherwise available to pay amounts due. Liabilities not covered by budgetary or other resources represent amounts owed in excess of available congressionally appropriated funds or other amounts. The liquidation of liabilities not covered by budgetary or other resources is dependent on future congressional appropriations or other funding.

(f) Fund Balance with the U.S. Treasury

Fund Balances with the U.S. Treasury are fund balances remaining as of the fiscal year-end from which the EEOC is authorized to make expenditures and pay liabilities resulting from operational activity, except as restricted by law. The balance consists primarily of appropriated undelivered orders, accounts payables, unavailable balances, and deposit funds that will be disbursed to third parties. The EEOC records and tracks appropriated funds in its general funds. Also included in Fund Balance with the U.S. Treasury are fees collected for services which are recorded and accounted for in the EEOC's revolving fund.

(g) Accounts Receivable

Accounts receivable consists of amounts owed to the EEOC by other federal agencies and from the public.

Intra-governmental accounts receivable represents amounts due from other federal agencies. Amounts due from federal agencies are considered fully collectible.

Accounts receivable from non-federal agencies are stated net of an allowance for estimated uncollectible amounts. All public receivables, collectible in their entirety, become due upon the receipt of a due process notice. Although the allowance is determined by the age of the receivable for financial statement reporting, the actual allowance is determined by considering the debtor's current ability to pay, their payment record and willingness to pay, and an analysis of aged receivable activity. The estimated allowance for accounts receivable is computed as follows: Accounts receivable between 365 days and 720 days old are computed at 50% and those older than 720 days are calculated at 100%.

(h) Property, Plant and Equipment

Property, plant and equipment consist of equipment, leasehold improvements, and capitalized software. There are no restrictions on the use or convertibility of property, plant and equipment.

For property, plant and equipment, the EEOC capitalizes equipment (including capital leases), with a useful life of more than 2 years and an acquisition cost of \$100,000 or more. Leasehold improvements and capitalized software are capitalized when the useful life is 2 years or more and the acquisition cost is at least \$200,000.

Expenditures for normal repairs and maintenance for capitalized equipment and capitalized leases are charged to expense as incurred unless the expenditure is equal to or greater than \$100,000 and the improvement increases the asset's useful life by more than 2 years. For leasehold improvements and capitalized software, the amount must be greater than \$200,000 and the improvements increase the asset life by more than 2 years.

Depreciation or amortization of equipment is computed using the straight-line method over the assets' useful life ranging from 5 to 15 years. Copiers are depreciated using a 5-year life. Computer hardware is depreciated over 10 to 12 years. Capitalized software is amortized over a useful life of 2 years. Amortization of capitalized software begins on the date it is put in service, is purchased, or when the module or component has been successfully tested if developed internally. Leasehold improvements are amortized over the remaining life of the lease.

The EEOC leases the majority of its office space from the General Services Administration. The lease costs approximate commercial lease rates for similar properties.

(i) *Advances and Prepaid Expenses*

Amounts advanced to EEOC employees for travel are recorded as an advance until the travel is completed and the employee accounts for travel expenses.

Expenses paid in advance of receiving services are recorded as a prepaid expense until the services are received.

(j) *Accrued Annual, Sick and Other Leave and Compensatory Time*

Annual leave, compensatory time and other leave time, along with related payroll costs, are accrued when earned, reduced when taken, and adjusted for changes in compensation rates. Sick leave is not accrued when earned, but rather expensed when taken.

(k) *Retirement Benefits*

EEOC employees participate in the Civil Service Retirement System (CSRS) or the Federal Employees' Retirement System (FERS). On January 1, 1987, FERS went into effect pursuant to Public Law 99-335. Most employees hired after December 31, 1983 are automatically covered by FERS and Social Security. Employees hired prior to January 1, 1984 could elect to either join FERS and Social Security or remain in CSRS.

For employees under FERS, the EEOC contributes an amount equal to 1% of the employee's basic pay to the tax deferred thrift savings plan and matches employee contributions up to an additional 5% of pay. FERS and CSRS employees can contribute \$19,500 of their gross earnings to the plan, for the calendar year 2020 and \$19,000 in calendar year 2019. However, CSRS employees receive no matching agency contribution. There is also an additional \$6,500 that can be contributed as a "catch-up" contribution for those 50 years of age or older, for calendar year 2020 and \$6,000 for calendar year 2019.

The EEOC recognizes the full cost of providing future pension and Other Retirement Benefits (ORB) for current employees as required by SFFAS No. 5, *Accounting for Liabilities of the Federal Government*. Full costs include pension and ORB contributions paid out of EEOC appropriations and costs financed by the U.S. Office of Personnel Management (OPM). The amount financed by OPM is computed based on OPM guidance and recognized as an imputed financing source and benefit program expense. Reporting amounts such as plan assets, accumulated plan benefits, or unfunded liabilities, if any, is the responsibility of OPM.

Liabilities for future pension payments and other future payments for retired employees who participate in the Federal Employees Health Benefits Program (FEHB) and the Federal Employees Group Life Insurance Program (FGLI) are reported by OPM rather than the EEOC.

(l) *Workers' Compensation*

A liability is recorded for estimated future payments to be made for workers' compensation pursuant to the Federal Employees' Compensation Act (FECA). The FECA program is administered by the U.S. Department of Labor (DOL), which initially pays valid claims and subsequently seeks reimbursement from federal agencies employing the claimants. Reimbursements to the DOL on payments made occur

approximately 2 years subsequent to the actual disbursement. Budgetary resources for this intra-governmental liability are made available to the EEOC as part of its annual appropriation from Congress in the year that reimbursement to the DOL takes place. A liability is recorded for actual un-reimbursed costs paid by DOL to recipients under FECA.

Additionally, an estimate of the expected future liability for death, disability, medical, and miscellaneous costs for approved compensation cases is recorded, as well as a component for claims that have been incurred but have not yet been reported. The EEOC computes this estimate using a DOL-provided model for non-CFO Act agencies that uses actual benefit payments for the EEOC from the past 9 to 12 quarters to project these future payments. The estimated liability is not covered by budgetary resources and will require future funding. This estimate is recorded as a noncurrent liability.

(m) *Contingent Liabilities*

Contingencies are recorded when losses are probable and the cost is measurable. When an estimate of contingent losses includes a range of possible costs, the most likely cost is reported, but where no cost is more likely than any other, the lowest possible cost in the range is reported.

(n) *Amounts Collected for Restitution*

The courts directed an individual to pay amounts to the EEOC as restitution to several claimants named in a court case. These monies will be paid to claimants as directed by the courts.

(o) *Cost Allocations to Programs*

Costs associated with the EEOC's various programs consist of direct costs consumed by the program, including personnel costs, and a reasonable allocation of indirect costs. The indirect cost allocations are based on actual payroll amounts devoted to each program from information provided by EEOC employees.

(p) *Unexpended Appropriations*

Unexpended appropriations include the unobligated balances and undelivered orders of the EEOC's appropriated spending authority as of the fiscal year-end that has not lapsed or been rescinded or withdrawn.

(q) *Income Taxes*

As an agency of the federal government, the EEOC is exempt from all income taxes imposed by any governing body, whether it is a federal, state, commonwealth, local, or foreign government.

(r) *Use of Estimates*

Management has made certain estimates and assumptions in reporting assets and liabilities and in the footnote disclosures. Actual results could differ from these estimates. Significant estimates underlying the accompanying financial statements include the allowance for doubtful accounts receivable, contingent liabilities, and future workers' compensation costs.

(2) Fund Balance with Treasury

The Department of the Treasury (Treasury) performs cash management activities for all federal agencies. The net activity represents Fund Balance with Treasury. The Fund Balance with Treasury represents the right of the EEOC to draw down funds from Treasury for expenses and liabilities.

The status of the fund balance is classified as unobligated available, unobligated unavailable, or obligated. Unobligated funds, depending on budget authority, are generally available for new obligations in the current year of operations. Unavailable unobligated balances are not available to fund new obligations because they are expired, they must be re-apportioned, or their use has been permanently or temporarily restricted. The obligated, but not yet disbursed, balance represents amounts designated for payment of goods and services ordered but not yet received, or goods and services received, but for which payment has not yet been made.

Annual appropriation balances returned to Treasury along with balances classified as miscellaneous receipts are not included in EEOC's fund balance presented on its balance sheet. For the period ended September 30, 2020 and September 30, 2019, funds in the cancelling appropriation of \$3,124,182 and \$3,378,375 have been returned to Treasury. As of September 30, 2020, and September 30, 2019, miscellaneous receipts of \$65,468 and \$142,667 were returned to Treasury (NOTE: The amounts for the closed accounts are only returned to Treasury at the end of the fiscal year as of September 30, 2020).

(NOTE: Total Fund with Treasury will not equal Total Status of Fund Balance with Treasury until the 4th Qtr. This is due to anticipated reimbursement posted to budgetary accounts but not the cash.)

The Status of Fund Balance with Treasury as of September 30, 2020 and September 30, 2019 consists of the following:

	FY 2020	FY 2019
Status of Funds		
Unobligated balance:		
Available	\$ 4,493,440	\$ 3,819,522
Unavailable	*4,105,478	*4,757,020
Obligated balance not yet disbursed	82,794,114	82,973,655
Non-budgetary Fund Balance with Treasury	56,563	56,597
Totals	\$ 91,449,595	\$ 91,606,794

*Note: The status of funds unavailable include the Revolving Fund sequestration of \$638,000 for FY2020 and FY2019.

(3) Accounts Receivable, Net

Intra governmental accounts receivable due from federal agencies arise from the sale of services to other federal agencies. This sale of services generally reduces the duplication of effort within the federal government resulting in a lower cost of federal programs and services.

Accounts receivable due to the EEOC from the public arise from payroll debts and revolving fund education, training, and technical assistance provided to public and private entities or to state and local agencies. An analysis of accounts receivable is performed to determine collectability and an appropriate allowance for uncollectible receivables is recorded. Accounts receivable as of September 30, 2020 and September 30, 2019 are as follows:

	FY 2020	FY 2019
Intragovernmental:		
Accounts receivable (see detail below)	\$ -	\$ -
Totals	\$ -	\$ -
With the public:		
Accounts receivable	\$ 204,277	\$ 238,561
Allowance for uncollectible receivables	(133,011)	(133,911)
Totals	\$ 71,266	\$ 104,650

(4) Property, Plant and Equipment, Net

Property, plant and equipment consist of that property which is used in operations and consumed over time. The following tables summarize cost and accumulated depreciation of property, plant and equipment.

As of September 30, 2020	Cost	Accumulated Depreciation	Net Book Value
Equipment	\$ 120,284	\$ (120,284)	\$ -
Capital leases	72,340	(72,340)	-
Internal use software	2,036,508	(2,036,508)	-
Leasehold improvements	11,240,209	(11,240,209)	-
Internal use software in development	1,898,372	-	1,898,372
Totals	\$ 15,367,713	\$ (13,469,341)	\$ 1,898,372

As of September 30, 2019	Cost	Accumulated Depreciation	Net Book Value
Equipment	\$ 126,703	\$ (126,703)	\$ -
Capital leases	72,340	(72,340)	-
Internal use software	2,036,508	(2,036,508)	-
Leasehold improvements	11,240,209	(11,240,209)	-
Totals	\$ 13,475,760	\$ (13,475,760)	\$ -

Depreciation expense for the periods ended September 30, 2020 and September 30, 2019 is:

FY 2020	FY 2019
\$ -	\$ 275,898

(5) Non-Entity Assets

The EEOC has \$0 of net receivables to collect on behalf of the U.S. Treasury as of September 30, 2020, and \$0 of net receivables to collect on behalf of the U.S. Treasury as of September 30, 2019.

(6) Liabilities Not Covered by Budgetary Resources

Liabilities not covered by budgetary resources represent amounts owed in excess of available congressionally appropriated funds or other amounts.

Liabilities not covered by budgetary resources as of September 30, 2020 and September 30, 2019 are shown in the following table:

	FY 2020	FY 2019
<i>Intragovernmental:</i>		
Workers' compensation liability	\$ 1,810,941	\$ 1,803,552
Total Intragovernmental	1,810,941	1,803,552
Accrued annual leave	22,740,618	19,753,681
Future workers' compensation liability	9,101,847	9,726,562
Total liabilities not covered by budgetary resources	33,653,406	31,283,795
Total liabilities covered by budgetary resources	40,651,726	36,426,164
Total liabilities not requiring budgetary resources	56,563	56,597
Total liabilities	\$ 74,361,695	\$ 67,766,556

Liabilities Analysis

Current and non-current liabilities as of September 30, 2020 are shown in the following table:

	Current	Non-Current	Totals
<i>Intragovernmental:</i>			
Accounts payable	\$ 724,837	\$ -	\$ 724,837
Employer payroll taxes	3,039,863	-	3,039,863
Other	2,000,000	-	2,000,000
<i>Total Intragovernmental</i>	<i>5,764,700</i>	<i>-</i>	<i>5,764,700</i>
Accounts payable	23,880,456	-	23,880,456
Accrued payroll	10,583,857	-	10,583,857
Employer payroll taxes	422,713	-	422,713

	Current	Non-Current	Totals
Liabilities covered by budgetary resources	\$ 40,651,726	-	\$ 40,651,726
<i>Intragovernmental:</i>			
Workers' compensation liability	1,810,941	-	1,810,941
<i>Total Intragovernmental</i>	1,810,941	-	1,810,941
Accrued annual leave	22,740,618	-	22,740,618
Future workers' compensation liability	-	9,101,847	9,101,847
Liabilities not covered by budgetary resources	24,551,559	9,101,847	33,653,406
Amounts collected for restitution	56,563	-	56,563
Liabilities not requiring budgetary resources	56,563	-	56,563
Total liabilities	\$ 65,259,848	\$ 9,101,847	\$ 74,361,695

Current and non-current liabilities as of September 30, 2019 are shown in the following table:

	Current	Non-Current	Totals
<i>Intragovernmental:</i>			
Accounts payable	\$ 684,595	\$ -	\$ 684,595
Employer payroll taxes	2,394,169	-	2,394,169
<i>Total Intragovernmental</i>	3,078,764	-	3,078,764
Accounts payable	23,994,238	-	23,994,238
Accrued payroll	9,007,786	-	9,007,786
Employer payroll taxes	345,376	-	345,376
Liabilities covered by budgetary resources	\$ 36,426,164	-	\$ 36,426,164
<i>Intragovernmental:</i>			
Workers' compensation liability	1,803,552	-	1,803,552
<i>Total Intragovernmental</i>	1,803,552	-	1,803,552
Accrued annual leave	19,753,681	-	19,753,681
Future workers' compensation liability	-	9,726,562	9,726,562
Liabilities not covered by budgetary resources	21,557,233	9,726,562	31,283,795
Amounts collected for restitution	56,597	-	56,597
Liabilities not requiring budgetary resources	56,597	-	56,597
Total liabilities	\$ 58,039,994	\$ 9,726,562	\$ 67,766,556

(7) Leases

Operating leases

The EEOC has several cancelable operating leases with the General Services Administration (GSA) for office space which do not have a stated expiration. The GSA charges rent that is intended to approximate commercial rental rates. Rental expenses for operating leases are all Federal, as of September 30, 2020 and 2019 are \$31,423,271 and \$25,476,577, respectively. The EEOC does not have any noncancelable operating leases with terms longer than one year.

(8) Earned Revenue

The EEOC charges fees to offset costs for education, training, and technical assistance. These services are provided to other federal agencies, the public, and State and local agencies, as requested. In the chart below, the fees from services do not include intra-agency transactions. The Commission also has a small amount of reimbursable revenue from contracts with other federal agencies to provide on-site personnel. Revenue earned by the Commission as of September 30, 2020 and September 30, 2019 is as follows:

	FY 2020	FY 2019
Reimbursable revenue	\$ -	\$ -
Fees from services	3,155,210	5,646,687
Total Revenue	\$ 3,155,210	\$ 5,646,687

(9) Appropriations Received

Warrants received by the Commission as of September 30, 2020 and September 30, 2019 are:

	FY 2020	FY 2019
Warrants/Continuing Resolution received	\$ 389,500,000	\$ 379,500,000

The EEOC received no warrant reductions for FYs 2020 and 2019.

(10) New Obligations and Upward Adjustments

Direct and Reimbursable new obligations, by apportionment category, incurred as of September 30, 2020 and September 30, 2019 are:

	FY 2020	FY 2019
Obligations		
Direct A	\$ 362,076,658	\$ 351,504,176
Direct B	32,248,730	29,501,884
Subtotal Direct Obligations	394,325,388	381,006,060
Reimbursable — Direct A	3,776,308	4,557,889
Total New Obligations and Upward Adjustments	\$ 398,101,696	\$ 385,563,949

(11) Funds from Dedicated Collections (Permanent Indefinite Appropriations)

The Commission has permanent, indefinite appropriations from fees earned from services provided to the public and to other federal agencies. These fees are charged to offset costs for education, training, and technical assistance provided through the revolving fund. This fund is a fund from dedicated collections and is accounted for separately from the other funds of the Commission. The fund is used to pay the cost (including administrative and personnel expenses) of providing education, technical assistance, and training by the Commission. Revenue is recognized as earned when the services have been rendered by the EEOC.

	<u>FY 2020</u>	<u>FY 2019</u>
ASSETS		
Fund balance with Treasury	\$ 4,215,200	\$ 5,176,231
Accounts receivable (net of allowance)	-	-
Advances and prepaid expenses	2,279	2,279
TOTAL ASSETS	<u>\$ 4,217,479</u>	<u>\$ 5,178,510</u>
LIABILITIES		
Accounts payable	57,512	530,439
Deferred revenue	-	-
TOTAL LIABILITIES	<u>\$ 57,512</u>	<u>\$ 530,439</u>
NET POSITION		
Cumulative results of operations	4,159,967	4,648,071
TOTAL LIABILITIES AND NET POSITION	<u>\$ 4,217,479</u>	<u>\$ 5,178,510</u>
Statements of Net Cost		
Program Costs	3,643,314	5,042,408
Revenue	(3,155,210)	(5,646,687)
Net Cost (Revenue)	<u>\$ 488,104</u>	<u>\$ (604,279)</u>

(12) Imputed Financing

OPM pays pension and other future retirement benefits on behalf of federal agencies for federal employees. OPM provides rates for recording the estimated cost of pension and other future retirement benefits paid by OPM on behalf of federal agencies. The costs of these benefits are reflected as imputed financing in the consolidated financial statements. Expenses of the EEOC paid or to be paid by other federal agencies at September 30, 2020 and September 30, 2019 consisted of:

	FY 2020	FY 2019
Judgment Fund	\$ 3,353,677	\$ 35,628
Office of Personnel Management:		
Pension expenses	2,525,796	7,584,338
Federal employees health benefits (FEHB)	13,272,748	12,624,516
Federal employees group life insurance (FEGLI)	35,663	35,607
Total Imputed Financing	\$ 19,187,884	\$ 20,280,089

(13) Undelivered Orders at the End of the Period

The undelivered orders at the end of the period consists of the following:

	FY 2020	FY 2019
Unpaid:		
Federal	\$ 15,593,811	\$ 15,457,149
Non-Federal	28,548,577	31,090,341
Paid:		
Federal	1,228,767	1,228,767
Non-Federal	(1,218,935)	(1,217,081)
Totals	\$ 44,152,220	\$ 46,559,176

(14) Explanation of Differences between the Statement of Budgetary Resources and the Budget of the United States Government

Information from the President's Budget and the Combined Statement of Budgetary Resources for the period ended September 30, 2019 is shown in the following tables. A reconciliation is not presented for the period ended September 30, 2020, because the President's Budget for this period has not been issued by Congress.

The differences between the President's 2019 budget and the Combined Statement of Budgetary Resources for 2019 are shown below:

Dollars in millions		Budgetary Resources	Obligations	Outlays
FY 2019	Budgetary Resources	Obligations Incurred	Distributed Offsetting receipts	Net Outlays
Combined Statement of Budgetary Resources	\$ 394	\$ 386	-	\$ 373
Revolving Fund	\$ (5)	\$ (4)	-	\$ 1
Collections and Obligations				
Carry-forwards and Recoveries	\$ (9)	\$ (2)	-	-
Rounding Differences	-	\$ (1)	-	-
Budget of U.S. Government	\$ 380	\$ 379	-	\$ 374



(15) Reconciliation of Net Cost to Net Outlays

The new reconciliation, referred to as the Budget and Accrual Reconciliation (BAR), requires a reconciliation of the net outlays on a budgetary basis and the net cost of operations during the period.

	FY 2020			FY 2019		
	Intra-governmental	With the public	Total FY 2020	Intra-governmental	With the public	Total FY 2019
NET COST	\$ 127,751,813	\$ 282,701,091	\$ 410,452,091	\$ 120,111,870	\$ 279,389,932	\$ 399,501,802
Components of Net Cost That Are Not Part of Net Outlays						
Property, plant, and equipment depreciation	-	-	-	-	(275,898)	(275,898)
Other	-	1,898,372	1,898,372	-	-	-
Increase/(decrease) in assets:						
Accounts receivable	-	(33,384)	(33,384)	-	12,797	12,797
Loans receivable	-	-	-	-	-	-
Other assets	-	(1,888)	(1,888)	-	2,388	2,388
Increase/(decrease) in liabilities:						
Accounts payable	(40,242)	113,782	73,540	(513,883)	(2,405,027)	(2,918,910)
Salaries and benefits	(645,693)	(1,653,409)	(2,299,102)	(287,121)	(939,354)	(1,226,475)
Other liabilities (Unfunded leave, Unfunded FECA, Actuarial FECA)	-	(2,369,577)	(2,369,577)	72,278	(1,606,318)	(1,534,040)
Other financing sources:						
Federal employee retirement benefit costs paid by OPM and imputed to the agency	(19,187,883)	-	(19,187,883)	(20,280,089)	-	(20,280,089)
	\$ 107,877,995	\$ 280,654,987	\$ 388,532,055	\$ 99,103,055	\$ 274,178,520	\$ 373,281,575

The background of the slide features a dark blue gradient. Overlaid on this gradient is a faint, semi-transparent image of two classical columns. The columns are fluted and have papyrus capitals. They are positioned on a stone base that resembles a set of steps. The text 'OTHER INFORMATION' is centered horizontally between the two columns.

OTHER INFORMATION

INSPECTOR GENERAL'S STATEMENT ON MANAGEMENT CHALLENGES



Office of the Inspector General

U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

Washington, D.C. 20507

BACKGROUND

In accordance with the Reports Consolidation Act of 2000, the Office of Inspector General (OIG) is reporting what it has determined are the most serious management and performance challenges facing the U.S. Equal Employment Opportunity Commission (EEOC). This annual statement provides our views on these challenges facing EEOC for inclusion in the EEOC's FY 2020 Annual Financial Report (AFR).

MANAGEMENT CHALLENGES

EEOC faces new obstacles as it continues with its mission to "prevent and remedy unlawful employment discrimination and advance equal opportunity for all in the workplace." This year, the OIG presents four challenges: (1) Coronavirus 2019 (COVID-19); (2) Mission-Critical Data System Modernization; (3) Digital Records Management; and (4) Strategic Performance Management. We determined that the areas of Mission-Critical Data System Modernization and Strategic Performance Management, cited in the OIG's 2019 Management Challenges statement, remain key challenges.

During FY 2020, under the stewardship of the Office of Enterprise Data and Analytics (OEDA), the Agency has made significant strides in the development of a robust data analytics program.¹ As of September 2020, OEDA has addressed all of the recommendations from the OIG's report on the Evaluation of the EEOC's Data Analytics Activities.² As it has evolved, OEDA has hired fulltime data scientists, established an Agency-wide data warehouse, and enhanced its analytical capabilities. According to OEDA, the Agency's senior leadership has been highly supportive of the program and has provided the necessary resources to enhance and further the mission of EEOC. Under the Agency's senior leadership, EEOC continues to build an effective data analytics culture throughout EEOC.

COVID-19

The emergence of COVID-19 has created unprecedented challenges for federal agencies nationwide. EEOC is rising to these challenges and was able to transition its workforce to fulltime telework quickly, while continuing to manage its workload, and provide services to the public despite the pandemic. EEOC employees were kept informed through the establishment of the COVID-19 SharePoint Site and regular email updates. All internal training was conducted virtually,

¹ Data analytics is a process of inspecting, cleaning, transforming, and modeling data to discover useful information to support the decision-making process.

² OIG Report Number 2017-002-EOIG.



to include the EEOC EXCEL Conference and mediation services for charging parties were provided via telephone and video and expanded to Microsoft Teams when appropriate.

The costs associated with moving to full time telework included the purchase of information technology services to support the increased amount of data transmitted over internet connections and purchased iPads. EEOC deployed Microsoft Teams agency wide. MS Teams is a chat-based collaboration platform which includes document sharing, online meetings, and many more useful features for business communications. These costs were covered using funds previously allocated for offsite training and travel, which were canceled due to COVID-19. Senior management hopes to eventually achieve cost savings from the purchase of Microsoft Teams and Windows Virtual Desktops, which will eliminate the need for desk phones and purchasing laptops for temporary staff.

Going forward, EEOC is faced with challenges in reopening its headquarters facility and its nationwide service locations. Upon reopening, the Agency must be able to respond quickly to the needs of employees and the public. Employees need personal protective equipment and additional cleaning services for the offices to ensure the safety of employees and the public who enter the building. Each EEOC office drafted its own plan for employees to return to the office. While the reopening plans are living documents that can change depending on the status of the pandemic, there is still a level of uncertainty in reopening these facilities. This uncertainty is a challenge because it's difficult to anticipate how long the pandemic will last; what, if any, issues resuming onsite operations will bring; how the pandemic will affect the Agency's workload as it relates to workplace complaints; and how the Agency's budget will be affected down the road.

Mission-Critical Data System Modernization

As mentioned in the OIG's previous year's management challenges, the Agency is constrained in its efforts to measure strategic performance, operational performance, and expansion of EEOC's public portals. This constraint is due in part to EEOC's outdated mission critical system, the Integrated Mission System (IMS). IMS serves as the system of record for private and public sector charges filed with the EEOC and state and local Fair Employment Practices Agencies (FEPAs); federal sector complaints, hearings and appeals; and litigation.

During FY 2020, the General Services Administration managed Technology Modernization Fund (TMF) awarded EEOC with four million dollars of reimbursable funding, over a two-year period, to assist the Agency's efforts in modernizing IMS.³ EEOC received its first installment of two million dollars on January 2020, and according to the Office of Information Technology (OIT) senior management, EEOC is approximately halfway through the first phase of this program. However, modernization efforts have been delayed due to the COVID-19 outbreak.

Currently, OIT is working to obtain the second two-million-dollar installment from the TMF. Agency leadership stated in the EEOC's FY 2021 Congressional Budget Justification that it expects work regarding the modernization of the legacy technology and data structure associated with IMS

³ The TMF is an innovative funding vehicle that gives agencies additional ways to deliver services to the American public more quickly, better secure sensitive systems and data, and use taxpayer dollars more efficiently.

to be performed during calendar years 2020 and 2021. Payback of the four million dollars is to begin in FY 2021 and, should EEOC earn the second two-million-dollar disbursement, conclude in FY 2026.

OIG believes that it is imperative for the Agency to continue its efforts on this critical system modernization, to include obtaining the additional funding of two million dollars from the TMF. Agency leadership must continue to provide OIT with the necessary resources to continue this effort of removing the barriers of old technology, thus transforming the EEOC to support fully digital services. This transformation will provide EEOC staff and partners with a modern system that will better enable the agency to carry out its critical mission.

Digital Records Management

The President's Management Agenda "established 14 Cross-Agency Priority Goals and recognized that powerful transformation would occur at the intersection of multiple goals, citing the move to an electronic—or "paperless"—government as a primary example that touches multiple goals."⁴ According to the Office and Management Budget, federal government agencies are required to switch to an all-digital records format by the end of 2022. At that time, the National Archives and Records Administration (NARA), which stores data from across federal agencies, will no longer accept paper files.

Over the past several years EEOC has begun the process of its digital transformation⁵ by developing the following: Online Charge Status System, Online Inquiry and Scheduling System, and a Private Sector Digital Charge Processing System, via its Public Portal.⁶ These systems were designed to improve mission delivery, customer service, and accountable stewardship on behalf of the American public.

However, EEOC is behind in its efforts to transition to electronic records and develop internal guidance for records management. According to Agency officials, many records remain in a paper-based format, and internal guidance for records management are outdated or are being developed. EEOC has lacked the necessary human capital and resources to develop and implement a digital records management strategy. The lack of digital records not only hinders EEOC's management of activities such as contract administration, its broader impact includes such essential functions as the management of its Freedom of Information Act (FOIA) program. For example, as of August 2020, in light of the impact of COVID-19 and the challenges associated with accessing paper-based media by staff working remotely EEOC had a significant backlog of FOIA requests.

EEOC's senior leadership has recognized the shortcomings associated with the Agency's digital

⁴ Ferriero, D. and Vought, R. (2019, June 28). *Transition to Electronic Record (M-19-21)*[Memorandum]. Office of Management and Budget and National Archives and Records Administration.

⁵ Digital transformation is the integration of digital technology into all areas of a business, fundamentally changing how you operate and deliver value to customers. It's also a cultural change that requires organizations to continually challenge the status quo, experiment, and get comfortable with failure.

⁶ EEOC's Public Portal enables individuals to submit online inquiries and online requests for intake interviews with EEOC, and to submit and receive documents and messages related to their EEOC charge of discrimination.

transformation efforts, specifically electronic records management, and have taken steps to correct the problem, such as identifying a new office of primary responsibility with a dedicated records management staff to manage and implement the Agency's records management program. Other activities initiated to improve records management, include re-establishing EEOC's relationship with NARA, updating the EEOC's records control schedule for each program office, working with OIT to incorporate records management requirements into IMS, and updating internal records management policies.⁷ Efforts will also include a more collaborative approach to better understand the obligations and policy needs of various internal stakeholders.

According to NARA, effective records management programs in federal agencies ensure the preservation of and access to permanently valuable records of the federal government. Thus, it is imperative that Agency leadership continue to provide support to its records management program to ensure that EEOC's overall digital transformation and strategy is successful and completed within a timely fashion.

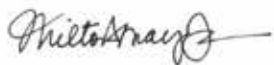
Strategic Performance Management

For the past two years, we have recommended that EEOC develop a baseline to measure and study EEOC's impact in reducing employment discrimination. In 2019, OEDA began to address this challenge by reviewing the OIG's 2013 report entitled "Evaluation of EEOC's Performance Measures." The report proposed five key outcome measures as indicators of reducing national employment discrimination levels.

OEDA reviewed each of these proposed measures for their feasibility and determined it was more prudent to have performance measures that did not require the collection of new data. Through this process, OEDA developed a new performance measure and is ready to move forward with collecting and packaging the data in a way that the Agency believes would show whether it is successful at reducing employment discrimination.

If adopted, this new performance measure can be incorporated into EEOC's new strategic plan scheduled to commence in FY 2023. Once implemented, the new performance measure may provide the Agency with the ability to monitor its performance and leadership can use this information to make decisions about existing and potential new programs that would protect American workers from discrimination and/or aid potential charging parties to file claims if needed. This important work must continue to fruition.

Respectfully, submitted:



Milton A. Mayo Jr.
Inspector General

⁷ EEOC's relationship with NARA languished over a three-year period. EEOC neglected to submit routine reports, such as the Senior Agency Official for Records Management's Annual Report and the Email Management Report, to NARA from 2015-2018.

MANAGEMENT RESPONSE TO THE INSPECTOR GENERAL'S STATEMENT



U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION
Washington, D.C. 20507

Office of the Chair

October 27, 2020

MEMORANDUM

TO: Milton A. Mayo Jr.
Inspector General

FROM: Janet Dhillon
Chair

SUBJECT: OIG's Management Challenges Report

Thank you for the opportunity to respond to the Office of Inspector General's October 15, 2020 report. This response is in accordance with the Reports Consolidation Act of 2000. I look forward to continued positive interactions between our offices and any recommendations your office provides in support of the agency's mission. Overall, I concur with the recommendations in your letter. I offer the following comments on two matters.

Mission-Critical Data System Modernization

I concur that "agency leadership must continue to provide OIT with necessary resources" to modernize EEOC's data systems. While EEOC still faces challenges in modernizing our technology, the agency has made significant progress on multiple strategic efforts, including modernizing the agency's technology infrastructure, delivering digital services, and migrating to cloud services. Through the Technology Modernization fund, we have been able to supplement agency resources targeted at technology. During fiscal year 2020, the Commission received its first disbursement from the General Services Administration and we are committed to this project and its changes to our core technology systems.

The agency's modernization effort is not only focused on providing the resources to upgrade our systems, but also investing in the talent to enable successful OIT design and implementation. To this end, in fiscal year 2020 the agency hired several new key staff, including:

- Chief Technology Officer – the Agency's first CTO occupies a critical strategic and tactical role whose responsibilities had been largely tasked to the Chief Information Officer (CIO).
- Special Assistant to the CIO – the individual who filled this position joined OIT from the Office of General Counsel and immediately assisted with the significant increase in requests for video conferencing assistance and OIT's eDiscovery case

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- load.
- Quality Assurance/Release Management Lead – this position provided the Enterprise Applications Innovation Division (EAID) a vital second line of management and adds a renewed focus on quality and testing to the development process.

In addition, OIT has three authorizations to hire in progress for a Lead Developer, Cloud Engineer, and an AV Support Specialist, along with an internal promotion opportunity for a GS-9.

To ensure continued advancement, in fiscal year 2021 management across the agency will focus on implementing and supporting OIT's technological initiatives. Fiscal year 2021 will be the "Year of TMF" and all components within the agency will be expected to be involved in and champion its implementation.

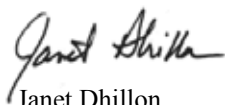
Digital Records Management

The FOIA program has been entirely digital for several years and is now implementing a new and improved software system. However, not all of the agency's records are digital. This causes delays in responding to FOIA requests, as staff must sometimes physically locate and scan paper records. In fiscal year 2020, this challenge was exacerbated by COVID-19 and the agency's telework status. The agency is taking steps to reduce its FOIA inventory, and have instituted inventory reduction goals in appropriate performance plans to drive accountability.

In addition, a detailed analysis of the FOIA backlog is underway. The purpose of the assessment is to identify unused capacity in offices with minimal backlog. New FOIA requests from offices where a backlog exists and the files are electronic will be reassigned to an office with excess capacity, preempting further bottlenecks. In the offices with a backlog, focus will be on the oldest requests, thereby working both ends of the problem simultaneously.

Additionally, assessment of FOIA personnel staffing in EEOC field offices is underway. Management will also focus attention on the FOIA backlog in its monthly district director calls and will message that FOIA – a statutory construct – remains a mission-essential task.

Thank you again for your insight and providing me the opportunity to respond to your report.



Janet Dhillon
Chair

SUMMARY OF FINANCIAL STATEMENT AUDIT AND MANAGEMENT ASSURANCES

Summary of Financial Statement Audit

Audit Opinion	Unmodified				
Restatement	No				
Material Weakness	Beginning Balance	New	Resolved	Consolidated	Ending Balance
Lack of sufficient control over financial management	0	0	0	0	0

Summary of Management Assurances

Effectiveness of Internal Control over Financial Reporting (FMFIA § 2)						
Statement of Assurance	Unmodified					
Material Weakness	Beginning Balance	New	Resolved	Consolidated	Reassessed	Ending Balance
Lack of sufficient control over financial Reporting	0	0	0	0	0	0

Effectiveness of Internal Control over Operations (FMFIA § 2)						
Statement of Assurance	Unmodified					
Material Weakness	Beginning Balance	New	Resolved	Consolidated	Reassessed	Ending Balance
Lack of sufficient control over Operations	0	0	0	0	0	0

Conformance with Federal Financial Management System Requirements (FMFIA § 4)						
Statement of Assurance	Federal Systems conform, except for instances of non-conformance					
Non-Conformances	Beginning Balance	New	Resolved	Consolidated	Reassessed	Ending Balance
Lack of sufficient control over Conformances	0	0	0	0	0	0



Compliance with Section 803(a) of the Federal Financial Management Improvement Act (FFMIA)		
	Agency	Auditor
1. Federal Financial Management System Requirements	N/A	N/A
2. Applicable Federal Accounting Standards	N/A	N/A
3. USSGL at Transaction Level	N/A	N/A

PAYMENT INTEGRITY

Payment Integrity means ensuring payments made to people on behalf of the government are managed correctly to minimize the likelihood of errors.

The Improper Payments Information Act (IPIA) of 2002, as amended by the Improper Payments Elimination and Recovery Act (IPERA) of 2010 the Improper Payments Elimination and Recovery Improvement Act of 2012 (IPERIA), requires agencies to review all programs and activities and identify those which may be susceptible to significant erroneous payments. For all programs and activities in 2020 which the risk of improper payments is significant, agencies are to estimate the annual amount of improper payments in the susceptible programs and activities. Office of Management and Budget (OMB) requires agencies to report the results of their improper payment activities. The IPERIA also requires conducting payment recapture audits.

Circular No. A-136 and Appendix C of Circular No. A-123 requires detailed information related to EEOC's Improper Payments Elimination Program, which is provided below. Prior to the passing of IPERIA, which further amended IPIA, agencies were not required to review intra-governmental transactions or payments to employees. IPERIA now requires agencies to review payments to employees as well as Government charge card transactions. Intra-governmental transactions remain the lone exception to IPERIA requirements. Therefore, management identified commercial payments, employee payments, and Government charge cards as potential areas to test pending results of an IPAI risk assessment.

In fiscal year 2020, the EEOC reviewed the programs and activities it administers to identify those which may be susceptible to significant erroneous payments. The risk assessment included 1) consideration of certain risk factors that are likely to contribute to a susceptibility to significant improper payments, and 2) transaction testing on a sample basis of payments made during fiscal year 2020. The risk assessment was performed for the following programs:

Vendor payments (includes a separate review of travel payments).

Office of Management and Budget (OMB) Memorandum M-18-20 prescribes guidance for agencies to use in implementing IPERA. OMB guidance defines "significant improper payments," for fiscal year 2020 reporting, as those in any particular program or activity that exceed both 1.5 percent of program outlays and \$10 million of all program or activity payments made during the fiscal year (\$100 million regardless of the improper payment percentage of total

program outlay). In addition, the OMB guidance addresses implementing payment recapture audits, for programs and activities that expend \$1 million or more annually, provided it is cost-effective to do so. In accordance with the OMB guidance, the EEOC reviewed its programs and activities and determined that none of the agency's programs or activities were susceptible to making significant improper payments and that the implementation of a payment recapture audit would not be cost-effective.

The EEOC is cross-serviced by the Department of Interior, Interior Business Center (DOI/IBC) for accounting system support and accounts payable processing. As a result, the implementation of the Do Not Pay (DNP) initiative is a joint responsibility between the EEOC and IBC. Prior to making a new contract award, the EEOC checks the System for Award Management (SAM) and the Excluded Parties List System (EPLS) for a match. If there is not a match, the EEOC submits a new vendor request to IBC. The IBC Vendor Maintenance Team verifies EEOC's entire new employee and Non-Federal Vendor requests against the Department of Treasury's Do Not Pay (DNP) database using the DNP portal on-line search capability. If the IBC Vendor Maintenance Team finds a positive match, they advise the EEOC. The EEOC reviews the match, determines if the payment is proper, and reports the result.

Based on the results of transaction testing applied to a sample of payments, consideration of risk factors, and reliance on the internal controls in place over the payment process, the EEOC determined that none of its programs and activities are susceptible to significant improper payments at or above the threshold levels set by OMB.

In FY 2020, EEOC's testing of its payments resulted in improper payment of \$0.

Since the level of risk of improper payment is determined to be low and baseline estimates have been established, the EEOC is only required to conduct a formal risk assessment every three years unless the program experiences a significant change. The EEOC will conduct a follow up review in fiscal year 2021 of its programs and activities to determine whether the programs have experienced any unexpected changes. If so, the EEOC will re-assess the programs' risk susceptibility and make a statistically valid estimate of improper payments for any programs determined to be susceptible to significant erroneous payments.

RECAPTURE OF IMPROPER PAYMENTS

The EEOC does not administer grant, benefit, or loan programs. Implementation of recapture auditing, if determined to be cost-effective, would apply to vendor payments. Because the definition of payment in the new IPERIA legislation means any payment or transfer of Federal funds to any non-Federal person or entity, the EEOC is not required to review, and has not reviewed, intra-governmental transactions.

The EEOC has determined that implementing a payment recapture audit program for vendor payments is not cost-effective. That is, the benefits or recaptured amounts associated with implementing and overseeing the program do not exceed the costs, including staff time and resources, or payments to a contractor for implementation, of a payment recapture audit program. In making this determination, the EEOC considered its low improper payment rate based on testing conducted in FY 2020. The EEOC also considered whether sophisticated software and other cost-efficient matching techniques could be used to identify significant overpayments at a low cost per overpayment, or if labor intensive manual reviews of paper documentation would be required. In addition, the EEOC considered the availability of tools to efficiently perform the payment recapture audit and minimize payment recapture audit costs, and determined such tools to not be cost effective.

The EEOC will continue to monitor its improper payments across all programs and activities it administers and assess whether implementing payment recapture audits for each program is cost-effective. If through future risk assessments the agency determines a program is susceptible to significant improper payments and implementing a payment recapture program may be cost-beneficial, the EEOC will implement a pilot payment recapture audit to measure the likelihood of cost-effective payment recapture audits on a larger scale.

Even though the EEOC has determined that implementing a payment recapture audit program for its programs is not cost-effective, the agency strives to recover any overpayments identified through other sources, such as payments identified through statistical samples conducted under the IPERIA. The amounts identified and recovered, by program, are shown below.

Overpayments Recaptured (in dollars) as of September 30, 2020				
Source	Amount Identified FY 2020	Amount Recovered FY 2020	Amount Identified FY 2019	Amount Recovered FY 2019
Travel Payments	\$0	\$0	\$0	\$0

FRAUD REDUCTION REPORT

The agency made efforts to comply with the Fraud Reduction and Data Analytics Act of 2015 in fiscal year 2020.

In fiscal year 2020, EEOC reviewed internal controls to ensure the integrity of its programs, operations, business, and financial systems. This effort increased focus on risk management. The agency conducted a risk assessment to identify risks and fraud vulnerabilities. The agency followed a risk-based approach in assessing agency risks and developed controls to mitigate those risks. The assessment includes the identification of risk, determining the likelihood and impact of the risk, developing risk mitigation strategies, and communicating the risk information to related offices. Through adequate risk management, the agency concentrated its efforts towards key points of failure to reduce or eliminate the potential for disruptive events. The agency also assessed the agency's internal controls environment to ensure reasonable assurance that the objectives of the agency will be achieved.

This risk management process provides a logical and systematic method for establishing the context for risks, as well as identifying, analyzing, evaluating, responding to, monitoring, and communicating them in a way that will allow EEOC to make decisions and respond to risks and opportunities as they arise. This approach promotes comparability and a shared understanding of information and analysis in the decision process and facilitates a better risk management structure and risk-informed decision making.

EEOC continues its proactive approach to addressing fraud risk. Fraud risk was addressed in the development of the Annual Assurance Statement. The internal control review addressed the five Components and seventeen Principles of Internal Control. Program reviews are conducted annually.

The financial and administrative controls are listed below.

Functional Area	Supervisory Review	Risk Assessment
Travel	Day to day controls established and maintained by management to ensure travel system integrity and compliance with Federal Travel Regulations.	Non- compliance with the Federal Regulations
Contracts and Simplified Acquisition (Purchase Card Program)	Purchase orders and competitive contracts authorized by Headquarters Contracting Officer. Contracting Officer approves procurement authorization for purchase card holders.	Employees assigned as approving officials are not authorized
Disbursements, Receivable, General Ledger, Payables and Debt Collections, Payroll Processing	Financial reports are consistently reviewed and analyzed.	Amount recorded in the general ledger are not accurate and valid.
Records, Space, Property, Vehicle, Printing and Mail Management	Requests are required to be reviewed and authorized.	Requests not properly authorized

Financial and administrative controls were implemented to ensure alignment to meet these goals. EEOC strategies to develop an Enterprise Risk Management (ERM) capability provides a structured, disciplined, and consistent approach to risk management that facilitates risk-informed decision making throughout the organization. ERM provides EEOC with a means to align strategy, processes, people, technology, and knowledge for the purpose of evaluating and managing uncertainties in executing our unique mission. A consistent approach to risk management across the organization is essential for EEOC leaders to identify and prioritize strategic risks and to prioritize competing requirements in a very restricted funding environment. ERM enables EEOC to more effectively manage enterprise level risks, and it enables agency leaders to consider the trade-offs between risks, associated costs, and value creation across the organization.

This ERM handbook explains the ERM process and provides actionable steps necessary for a mature and successful ERM program, and provides a path to achieve mature and sustainable ERM activities and processes over time as the EEOC is able to integrate its successive stages. By consistent use of ERM across the organization, EEOC will be positioned to identify and assess risks within the current environment through a systematic process which evaluates the impact of risk on EEOC's ability to more actively achieve its mission and objectives within the limited resources available.

CIVIL MONETARY PENALTY ADJUSTMENT FOR INFLATION

On March 18, 2020, the Commission, in accordance with the Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015, published a final rule in the *Federal Register* to adjust for inflation the civil monetary penalty for violation of the requirement that every employer, employment agency, labor organization, and joint-labor management committee controlling an apprenticeship or other training program post notices describing the pertinent nondiscrimination provisions of Title VII of the Civil Rights Act, the ADA, and GINA.

Statutory Authority	Penalty	Year Enacted	Latest Year of Adjustment	Current Penalty Level	Sub-Agency/ Bureau/ /Unit	Locations for Penalty Update Details
Sections 711(a) & (b) of Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. §§ 2000e-10(a) & (b); 29 C.F.R. §§ 1601.30(a) & (b)	Willful Violation	1964	2020	\$569	N/A	85 Federal Register 15374 (March 18, 2020)





APPENDICES

APPENDIX A: ORGANIZATION AND JURISDICTION

The U.S. Equal Employment Opportunity Commission is a bipartisan Commission comprised of five presidentially-appointed members, including the Chair and four Commissioners. The Chair is responsible for the administration and implementation of policy and the financial management and organizational development of the Commission. The Commissioners participate equally in the development and approval of Commission policies, issue charges of discrimination where appropriate, and authorize the filing of certain lawsuits. In addition to the Commissioners, the President appoints a General Counsel to support the Commission and provide direction, coordination, and supervision to the EEOC's litigation program. A brief description of major program areas is provided on the following pages.

When the Commission first opened its doors in 1965, it was charged with enforcing the employment provisions in Title VII of the landmark Civil Rights Act of 1964. The EEOC's jurisdiction over employment discrimination issues now includes the following areas:

- **Title VII of the Civil Rights Act of 1964**, which prohibits employment discrimination on the basis of race, color, religion, sex, and national origin.
- **Pregnancy Discrimination Act**, which amended Title VII to clarify that discrimination on the basis of pregnancy, childbirth, or related medical conditions constitutes sex discrimination and requires employers to treat pregnancy and pregnancy-related medical conditions as any other medical disability with respect to terms and conditions of employment, including health benefits.
- **Equal Pay Act of 1963 (included in the Fair Labor Standards Act)**, which prohibits sex discrimination in the payment of wages to men and women performing substantially equal work in the same establishment.
- **Age Discrimination in Employment Act of 1967**, which protects workers 40 and older from discrimination in hiring, discharge, pay, promotions, fringe benefits, and other aspects of employment. ADEA also prohibits the termination of pension contributions and accruals on account of age and governs early retirement incentive plans and other aspects of benefits planning and integration for older workers.
- **Title I and Title V of the Americans with Disabilities Act of 1990, as amended by the Americans with Disabilities Act Amendments Act of 2008**, which prohibits employment discrimination by private sector respondents and state and local governments against qualified individuals on the basis of disability.
- **Section 501 of the Rehabilitation Act of 1973**, which prohibits employment discrimination on the basis of disability in the federal government.
- **Title II of the Genetic Information Nondiscrimination Act**, which prohibits employment discrimination on the basis of an applicant's or employee's genetic information (including family medical history), generally prohibits acquisition of genetic information from applicants and employees, and requires covered entities to keep such information confidential.
- **Lilly Ledbetter Fair Pay Act of 2009**, which overturned adverse Supreme Court precedent and restored the EEOC's long-held position on the timeliness of pay discrimination claims.



The **Office of Field Programs**, the **Office of General Counsel**, and **53 field offices**, ensure that EEOC effectively enforces the statutory, regulatory, policy, and program responsibilities of the Commission through a variety of resolution methods tailored to each charge. Staff is responsible for achieving a wide range of objectives, which focus on the quality, timeliness, and appropriateness of individual, multiple victim, and systemic charges and for securing relief for victims of discrimination in accordance with Commission policies. The responsibility for conducting hearings of federal sector complaints also is performed in field offices under the oversight of the Office of Field Programs. Staff also counsel individuals about their rights under the laws enforced by the EEOC and conduct outreach and technical assistance programs. The **Office of General Counsel** conducts litigation in federal district courts and in the federal courts of appeals.

Additionally, through the **Office of Field Program's State, Local, and Tribal Program**, the EEOC maintains work sharing agreements and a contract services program with 92 state and local **Fair Employment Practices Agencies (FEPAs)** for the purpose of coordinating the investigation of charges dual-filed under state and local laws and federal law, as appropriate. The EEOC partners with more than 60 **Tribal Employment Rights Offices (TEROs)** to promote equal employment opportunity on or near Indian reservations.

The **Office of Legal Counsel** develops policy guidance, provides technical assistance to employers and employees, and coordinates with other agencies and stakeholders regarding the statutes and regulations enforced by the Commission. The Office of Legal Counsel also fulfills in-house counsel functions by conducting or coordinating defensive litigation on behalf of the Commission and advising agency officials on administrative issues such as contracts, disclosures, ethics, fiscal law, and recordkeeping matters. OLC also provides in-house counsel services related to the Freedom of Information Act and Records Management.

Through its **Office of Federal Operations**, the EEOC provides leadership and guidance to federal agencies on all aspects of the federal government's equal employment opportunity program. This office ensures federal agency and department compliance with EEOC regulations, provides technical assistance to federal agencies concerning EEO complaint adjudication, monitors and evaluates federal agencies' affirmative employment programs, develops and distributes federal sector educational materials and conducts training for stakeholders, provides guidance and assistance to EEOC administrative judges who conduct hearings on EEO complaints, and adjudicates appeals from administrative decisions made by federal agencies on EEO complaints.

The EEOC receives a congressional appropriation to fund the necessary expenses of enforcing civil rights legislation, as well as prevention, outreach, and coordination of activities within the private and public sectors. In addition, the EEOC maintains a **Training Institute** for technical assistance programs. These programs provide fee-based education and training relating to the laws administered by the Commission.

APPENDIX B: BIOGRAPHIES OF THE CHAIR, VICE CHAIR, COMMISSIONERS AND GENERAL COUNSEL



Janet Dhillon, Chair

Janet Dhillon was sworn in as Chair of the U.S. Equal Employment Opportunity Commission on May 15, 2019. She is the 16th Chair of the EEOC. Dhillon was first nominated by President Donald J. Trump on June 29, 2017 and confirmed on May 8, 2019 for a term ending on July 1, 2022.

For more information about Chair Dhillon, please see: www.eeoc.gov/eeoc/dhillon.cfm.



Keith E. Sonderling, Vice Chair

Vice Chair Keith E. Sonderling was nominated by President Trump on July 17, 2019, and was confirmed on September 22, 2020, for a term expiring July 1, 2024. Sonderling was also designated by President Trump to serve as Vice Chair of the Commission.

For more information about Vice Chair Sonderling, please see:
<https://www.eeoc.gov/keith-e-sonderling-vice-chair>



Victoria A. Lipnic, Former Commissioner/Former Acting Chair

Victoria A. Lipnic was first named to the Commission by President Obama in 2010, when she was confirmed by the U.S. Senate for a five-year term. In 2015 she was re-nominated and confirmed by the U.S. Senate for a second five-year term. On January 25, 2017, she was named Acting Chair of the Commission by President Donald J. Trump, a position she held for nearly two and a half years until the confirmation and swearing in of Chair Dhillon. Commissioner Lipnic's term ended on October 9, 2020.



Charlotte A. Burrows, Commissioner

Charlotte A. Burrows was initially nominated to serve as a Commissioner of the U.S. Equal Employment Opportunity Commission (EEOC) in 2014 and then re-nominated in 2019. By unanimous vote, the U.S. Senate confirmed her to a second term ending July 1, 2023.

For more information about Commissioner Burrows, please see:
www.eeoc.gov/eeoc/burrows.cfm.



Jocelyn Samuels, Commissioner

Jocelyn Samuels was nominated by President Trump on March 16, 2020, and was confirmed on September 23, 2020, to serve as Commissioner, for a term expiring July 1, 2021.

For more information about Commissioner Samuels, please see:
<https://www.eeoc.gov/jocelyn-samuels-commissioner>.



Andrea R. Lucas, Commissioner

Andrea R. Lucas was nominated by President Trump on March 16, 2020 and was confirmed on September 22, 2020 to serve as Commissioner, for a term expiring July 1, 2025.

For more information about Commissioner Lucas, please see:

<https://www.eeoc.gov/andrea-r-lucas-commissioner>.



Sharon Fast Gustafson, General Counsel

Sharon Fast Gustafson was nominated to serve as the General Counsel of the U.S. Equal Employment Opportunity Commission (EEOC) on March 20, 2018. She was confirmed by the U.S. Senate on August 1, 2019 for a term ending August 8, 2023.

For more information about General Counsel Gustafson, please see:

www.eeoc.gov/eeoc/gustafson.cfm.

APPENDIX C: EEOC GLOSSARY OF TERMS

ADA Americans with Disabilities Act of 1990

ADEA Age Discrimination in Employment Act of 1967

ADR Alternative Dispute Resolution

AJ Administrative Judge

CFO Chief Financial Officer

CHCO Chief Human Capital Officer

DMS Document Management System

EEO Equal Employment Opportunity

EEOC Equal Employment Opportunity Commission

EPA Equal Pay Act of 1963

EXCEL Examining Conflicts in Employment Laws

FEPA Fair Employment Practice Agency

FMFIA Federal Managers Financial Integrity Act

FOIA Freedom of Information Act

GINA Genetic Information Nondiscrimination Act of 2008

GSA General Services Administration

IIG Intake Information Group

OFO Office of Federal Operations

OFP Office of Field Programs

OGC Office of General Counsel

OIG Office of Inspector General

OMB U.S. Office of Management and Budget

OPM U.S. Office of Personnel Management

PCHP Priority Charge Handling Procedures

TAPS Technical Assistance Program Seminar

TERO Tribal Employment Rights Offices

UAM Universal Agreement to Mediate



APPENDIX D: INTERNET LINKS

EEOC: <https://www.eeoc.gov/>

ADA 30th Anniversary: <https://www.eeoc.gov/ada30-americans-disabilities-act-1990-2020>

EEOC FY 2020 Performance Budget:

<https://www.eeoc.gov/fiscal-year-2020-congressional-budget-justification-us-equal-employment-opportunity-commission>

EEOC Statistics: <https://www.eeoc.gov/statistics>

EEOC Strategic Plan: https://www.eeoc.gov/eeoc/plan/strategic_plan_18-22.cfm

Meetings of the Commission: <https://www.eeoc.gov/eeoc/meetings/index.cfm>

Newsroom: <https://www.eeoc.gov/eeoc/newsroom/index.cfm>

Past EEOC Performance Budgets: <https://www.eeoc.gov/eeoc-budget-archives>

Past EEOC Performance and Accountability Reports:

<https://www.eeoc.gov/eeoc/plan/archives/annualreports/index.cfm>

Report of the Select Task Force for the Study of Harassment:

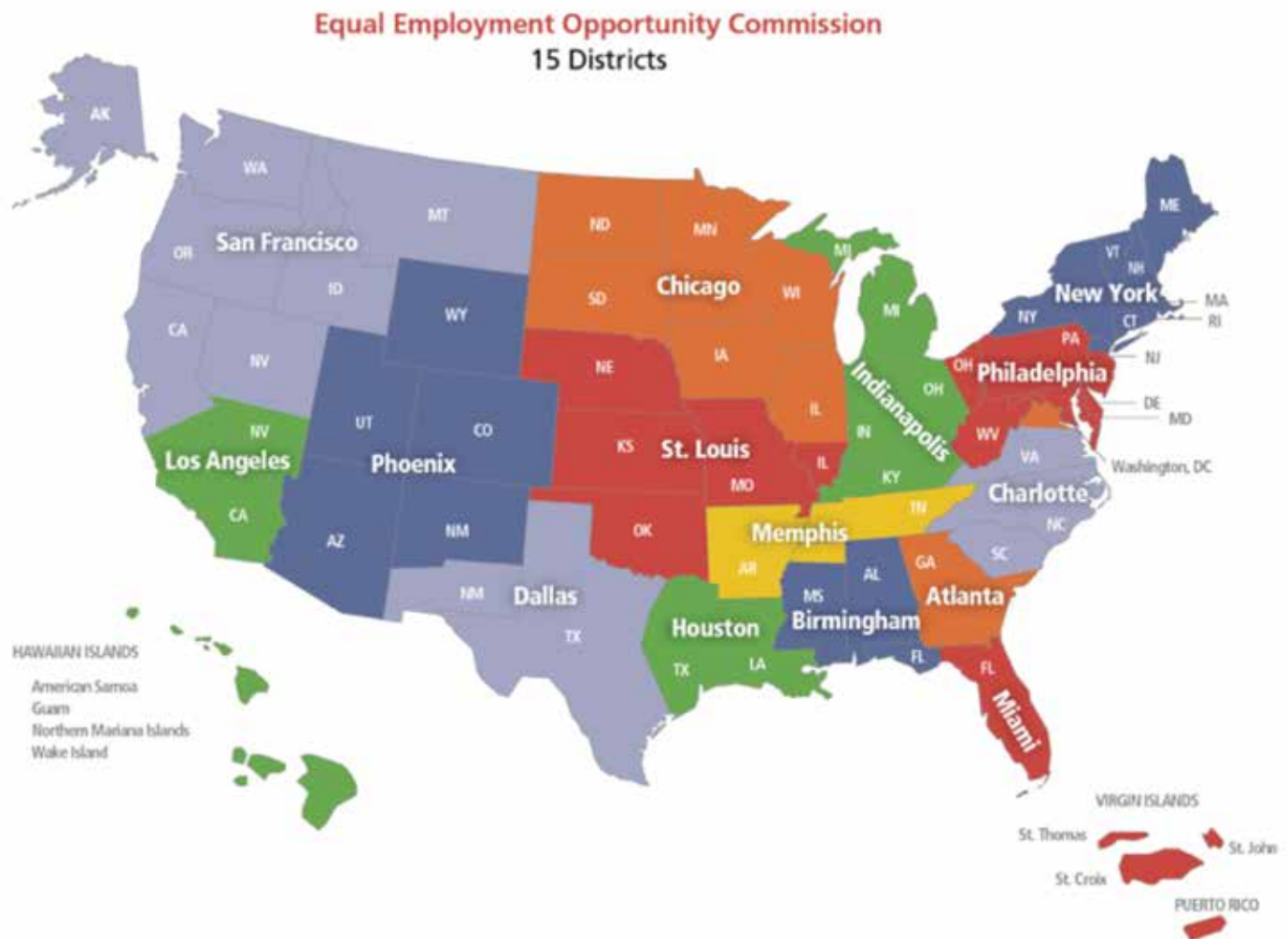
https://www.eeoc.gov/eeoc/task_force/harassment/report.cfm

Small Business Resource Center: <https://www.eeoc.gov/employers/smallbusiness/index.cfm>

Strategic Enforcement Plan for FY 2017-2021: <https://www.eeoc.gov/eeoc/plan/sep-2017.cfm>

Youth@Work: <https://www.eeoc.gov/youthwork>

APPENDIX E: EEOC FIELD OFFICES



For a full list of EEOC offices and a zip-code based office locator, please see: <https://www.eeoc.gov/field/index.cfm>

ACKNOWLEDGMENTS

The EEOC's fiscal year 2020 Agency Financial Report is a collaborative endeavor on the part of many EEOC employees and contractors. The Commission would like to acknowledge and thank them for their hard work and commitment in successfully preparing this report and in supporting the audit of the financial statements.

We Welcome Your Comments

Thank you for your interest in the EEOC's fiscal year 2020 Agency Financial Report. We welcome your comments on how we can make this report more informative for our readers. Please send your comments to:

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