

United States Department of Agriculture

Food, Conservation, and Energy Act of 2008 Section 14010 Report of Civil Rights Complaints, Resolutions, and Actions for Fiscal Year 2016

Office of the Secretary
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Executive Summary

Annual Reporting Requirements

Section 14010 (1) of the Food, Conservation, and Energy Act of 2008 (2008 Farm Bill), mandates the U.S. Department of Agriculture (USDA) prepare an annual report on each of its agency's civil rights complaints, resolutions and actions. In accordance with that section, this report provides the:

- number of civil rights complaints filed that relate to USDA, including whether a complaint is a program complaint or an employment complaint;
- length of time USDA took to process each civil rights complaint;
- number of proceedings brought against USDA, including the number of complaints described in Section 14010 (1) that were resolved with a finding of discrimination; and
- number and type of personnel actions taken by USDA following resolution of civil rights complaints.

The 2008 Farm Bill requires USDA to submit a copy of this report to the House Committee on Agriculture, Senate Committee on Agriculture, Nutrition and Forestry and make the report available to the public on USDA's website.

The USDA agencies included in the report are: Agricultural Marketing Service (AMS); Agricultural Research Service (ARS); Animal and Plant Health Inspection Service (APHIS); Economic Research Service (ERS); Farm Service Agency (FSA); Food and Nutrition Service (FNS); Food Safety and Inspection Service (FSIS); Foreign Agricultural Service (FAS); Forest Service (FS); Grain Inspection, Packers and Stockyards Administration (GIPSA); National Agricultural Statistical Service (NASS); National Appeals Division (NAD); National Institute of Food and Agriculture (NIFA), Natural Resources Conservation Service (NRCS); Office of the Chief Financial Officer (OCFO); Office of Inspector General (OIG); Rural Development (RD); Risk Management Agency (RMA); Departmental Management (DM); and Office of the Assistant Secretary for Civil Rights (OASCR).

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¹ Complaints initiated or filed against the USDA DM and Staff Offices were processed by the Conflict Complaints Division (CCD).

USDA Accomplishments

In June 2016, Secretary Thomas Vilsack revised USDA's Civil Rights Policy Statement to reemphasize that civil rights was one of his top priorities. Vilsack stressed that USDA would have zero tolerance for any form of discrimination or reprisal. In addition, he indicated that both employees and managers were accountable for doing their part to ensure all USDA applicants, customers, constituents and stakeholders are provided equal access to the opportunities, programs and services available through USDA "The People's Department."

As of this Fiscal Year (FY) 2016 Farm Bill Report, OASCR accomplished the Secretary's directive for employment and program complaints by achieving the following:

- Monitored Final Agency Decisions (FAD) to ensure compliance of the respective Order of Relief terms. OASCR worked with each Agency to recommend training(s) and corrective action(s) based on the findings of each compliance review.
- Reduced program complaints, processing times and improved customer service. This effort led to a reduction in the processing time for complaints and allowed USDA agencies and customers to receive FADs in a timely manner. Additionally, OASCR produced 51 FADs, 36 closures, 17 FNS Appeals, 1 Disability Appeal and 3 Findings of Discrimination.
- Timely processed all Equal Credit Opportunity Act complaints in compliance with the statute of limitations.
- Referred 137 complaints for conciliatory services through the Program Alternative Dispute Resolution Initiative. Of the 137 complaints, 18 complaints were resolved via withdrawal or settlement agreements, thus, avoiding the need for investigations or Agency Position Statements.
- Conducted a civil rights review of all USDA agencies' policies, rules, regulations, advisory
 committees and reorganizations submitted for Departmental clearance. This involved working
 diligently with USDA agencies, DM and staff offices to ensure that their submissions do not
 adversely impact USDA employees and programs. Throughout the year, OASCR made
 recommendations that resulted in agencies modifying their decisions to mitigate and/or
 eliminate potential adverse impacts.
- Revised Departmental Regulation (DR) 4120-001, "Annual Departmental Civil Rights Training." This regulation establishes the training policy for USDA civil rights and equal employment opportunity programs. It also establishes oversight and accountability responsibilities for Federal employees and agencies delivering federally assisted and federally conducted programs for USDA. Annual training plans must comply with the requirements of this DR, but nothing in the DR precludes agencies, staff offices, NAD, or OIG from conducting additional and supplemental civil rights training throughout the year.

- Revised DR 4330-003, "Nondiscrimination in USDA-Conducted Programs and Activities."
 The regulation establishes policy and provides guidance to the agencies and employees of the United States Department of Agriculture (the Department or USDA) in order to ensure compliance with and enforcement of the Department's prohibitions against discrimination in its conducted programs and activities.
- Revised DR 4300-007, "Processing Equal Employment Opportunity Complaints of Discrimination." The regulation establishes rules and guidelines for processing administrative complaints of employment discrimination at USDA, in accordance with 29 CFR Part 1614. The proposed changes ensure the regulation is consistent with current Federal authorities, directives, regulations and Executive Orders governing the EEO complaint process. Changes to the proposed regulation such as, adding "gender identity" as a protected basis, adding certain definitions, emphasizing USDA's commitment to the utilization of Alternative Dispute Resolution (ADR) during the informal and formal complaint process and clarifying the procedures for processing conflict of interest complaints.
- Assumed the processing of all USDA Federal sector EEO investigations, which were
 previously the responsibility of each individual USDA agency. As a result, the cost of
 investigation has decrease significantly and produced a total savings in FY 2016 of
 \$682,472.26.
- Maintained the confidentiality, integrity, and availability of the Civil Rights Enterprise System, which is a database repository for ADR issues and employment discrimination complaints. By constantly working with stakeholders and emphasizing the need for prompt and accurate data entries, OASCR has prevented faulty reports and data integrity issues. Additionally, by monitoring and limiting access to sensitive and Personally Identifiable Information to authorized personnel only, the potential for abuse and misuse, as well as, future complaints are minimized.
- Maintained a full service Customer Service Unit (CSU) for employment discrimination complaint and inquiries. The CSU serves as the liaison between OASCR and its internal and external customers who regularly call to inquire about access to USDA programs such as, Women, Infant, and Children, the National School Lunch Program, and housing. CSU handled over 14,000 phone calls in 2016.
- Provided employees with training on conflict management techniques and coping strategies to
 utilize during conflict encounters. During FY 2016, OASCR offered training workshops via
 live audience and webinar. The training provided employees with the tools needed to resolve
 conflicts themselves, which ultimately improved the employees' morale, working relationships
 and communication amongst co-workers and management. These trainings resulted in
 managers requesting additional training sessions.
- Conducted comprehensive evaluation and assessment of the agencies' Senior Executives,
 Agency Heads and Staff Office Directors on their civil rights performance and activities. The
 process addressed and outlined the goals and objectives critical to achieving a model civil
 rights organization and was consistent with the Equal Employment Opportunity Commission's
 Management Directive 715, DR 4300-06, *Civil Rights Policy for Department of Agriculture*,
 DR 4300-010, *Civil Rights Accountability Policy and Procedures*, and other relevant EEO

statutes, regulations, policies and procedures. In FY 2016, OASCR provided leadership and face-to-face meeting sessions to 24 USDA agencies. This effort resulted in Agencies timely submitting accurate and complete reports in compliance with the above mentioned regulations.

- Partnered with several agencies and provided field-based training on conflict management, team building and leadership training for USDA personnel in Maine, Colorado, Louisiana, New Mexico and Missouri. OASCR broadened its training capability to meet the needs of workplace concerns, utilizing cost effective tools such as conflict management and ADR. Overall, in FY 2016, USDA provided training to 3,698 employees and personnel.
- Conducted 24 events to increase employee engagement and knowledge of civil rights history, laws and policy and, awareness of current civil rights and related events. Through the cultural transformation initiative, USDA has co-sponsored 13 heritage month and special emphasis observances, the Inter-Agency Holocaust Remembrance Program, work-life balance forum, two documentary film screenings, weekly civil rights challenge games for OASCR's employees, team building activities designed to strengthen employees engagement and inspirational messages from the Assistant Secretary for Civil Rights to OASCR employees recognizing civil rights observances and Federal holidays. The aforementioned activities resulted in improved internal communications, diversity and inclusiveness.
- Conducted 26 training sessions that reached 2,321 employees at 12 USDA agencies and staff
 offices in 7 states and the District of Columbia. The training sessions addressed a number of
 topics including: conflict resolution; conflict and cultural differences; workplace bullying;
 team building and communications; communication styles; stereotypes; and Lesbian, Gay,
 Bisexual and Transgender (LGBT) Pride history. Additionally, OASCR launched two online
 training courses on AgLearn focused on LGBT nondiscrimination in the Federal workplace and
 anti-harassment. Over 40,000 USDA employees completed the online training in FY 2016.
- Established a contract from the Language Doctors, LLC for language interpretation, translation and certification services for the OASCR. As a result of this, all of OASCR's vital documents were translated into the top languages frequently encountered from our Limited English Proficiency (LEP) customers. In addition, policy statements (such as the Civil Rights Policy Statement and ADR Statement) were posted on OASCR's webpage for the public in languages other than English.
- Provided oversight and leadership for USDA agencies with assisted programs to develop its
 Implementation Strategy, an instructional tool for recipients to provide meaningful access to
 their programs. In FY 2016, a total of seven USDA agencies reported that recipients have
 developed their LEP plans and translated vital documents into the top "5" languages of their
 customer.

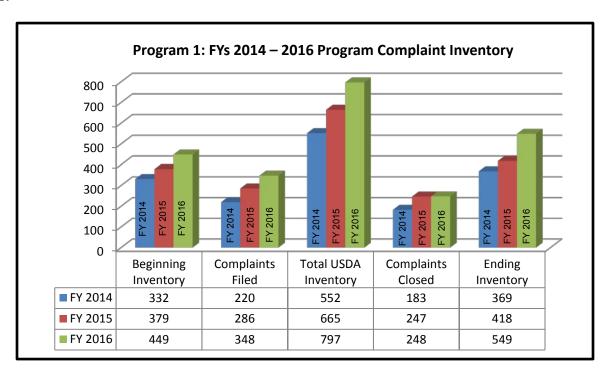
Summary of the Report

USDA Program Comparison Data for FYs 2014-2016

Program discrimination complaints are filed by participants of USDA's federally funded programs and activities. FSA's Farm Loan and RD's Single Family Housing Loan programs are examples of programs conducted by USDA and administered through local USDA offices.

USDA also receives complaints filed against recipients of USDA Federal financial assistance, primarily State and local agencies and multi-family housing authorities. Examples of these assisted programs are FNS' Supplemental Nutrition Assistance Program and RD's Multi-Family Housing Program.

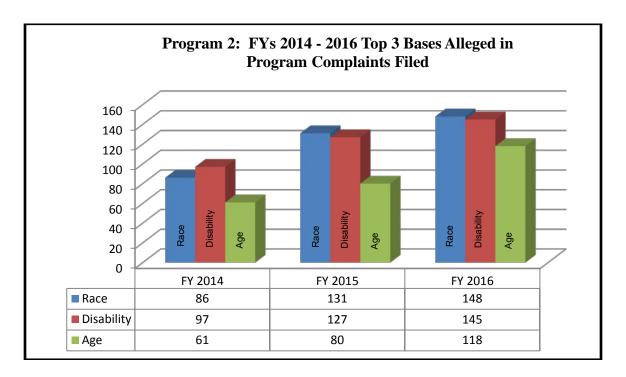
Between FYs 2014 and 2016, the program complaint inventory increased by 44 percent. Consequently, the number of program complaints closed increased 36 percent during this same period. The chart (Program 1) below depicts trends of the program complaint inventory between FYs 2014 and 2016.



Disability and race changed positions as the first and second most frequently alleged bases in program complaints filed against USDA during FYs 2014-2016 with age being the third. This information was reported to OASCR's Compliance division for inclusion in their FY 2017 compliance review assessment. The chart (Program 2) below depicts trends of the top three bases alleged in program complaints between FYs 2014 and 2016.²

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² Complainants may allege multiple bases in a single complaint.



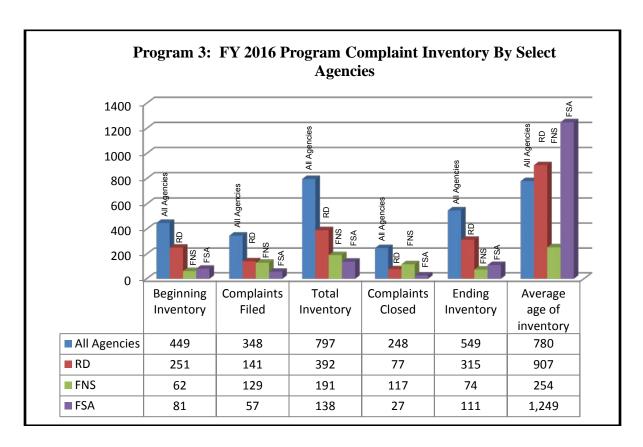
USDA Program Data for FY 2016

At the beginning of FY 2016, USDA had 449 open program complaints in its inventory (See Table 1-1). 3 During the fiscal year, USDA received an additional 348 complaints (See Table 1-1). USDA closed a total of 248 program complaints during FY 2016 and ended FY 2016 with an inventory of 549 open program complaints. This represents a 31 percent increase from the FY 2015 ending inventory (See Program 1). 4

The Program complaint inventory of FSA, RD and FNS accounted for approximately 90 percent (721 complaints) of USDA's total program complaint inventory in FY 2016. Of the 348 program complaints filed with USDA, the respective top three agencies had the following totals: RD (141) complaints; FNS (129) complaints; and FSA (57) complaints. The chart (Program 3) below depicts this data for FY 2016.

³ The Program Complaints Management System (PCMS) data reconciliation efforts in FY 2016 inherent to database quality control yielded an increase of 31 cases between FY 2015 ending balance and FY 2016 beginning balance (418 vs. 449) (See Table 1-2).

⁴ This increase is due to an increase of complaints filed (286 vs. 348) and beginning inventory (379 vs. 449) from FYs 2015 and 2016.



By the end of FY 2016, the average age of the program complaints inventory was 780 days (See Table 1-1). This was a decrease of approximately seven percent from the 837 day average age of the inventory in FY 2015. For complaints closed during FY 2016, the average age of the inventory was calculated based on time between the formal filing date (regardless of the fiscal year) and the date of closure. For complaints that remained in open status at the end of FY 2016, the average age of the inventory was calculated based on the time between the formal filing date (regardless of the fiscal year) and the end of FY 2016 (September 30, 2016).⁵

There were four program discrimination cases with a finding of discrimination during FY 2016 (See Table 1-3). In addition, 35 program discrimination complaints were resolved by settlement agreements.

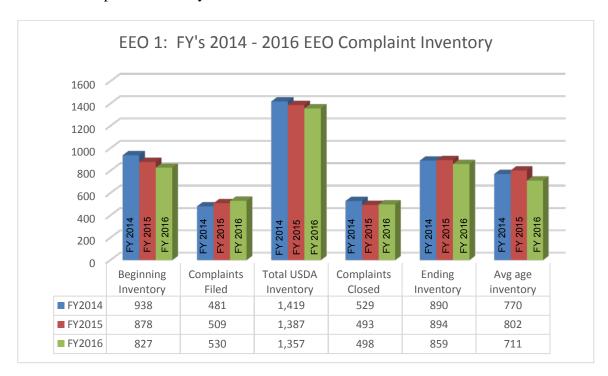
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⁵ For Complaints closed during 2016 the average age of inventory was calculated based on the time between the formal filing date and the date of closure. For complaints that remained in open status at the end of 2016 the average age was calculated based on the time between the formal filing date and the end of 2016.

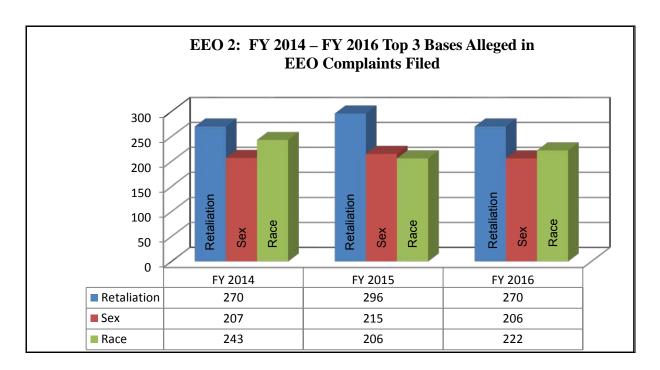
USDA Employment Comparison Data for FYs 2014-2016

The total EEO case inventory decreased by four percent between FYs 2014 and 2016; however, complaint closures decreased by six percent during this time period. The average age inventory decreased by eight percent between FYs 2014 and 2016. The chart (EEO 1) below depicts trends of the EEO complaint inventory between FYs 2014and 2016.⁶



For FYs 2014-2016, retaliation was the most frequently alleged basis in formal EEO complaints filed at USDA. Between FYs 2014 and 2016 sex and race switched positions as the second and third most frequently alleged bases. This information will be used by OASCR's Training division in assessing potential civil rights training for FY 2017. The chart (EEO 2) below depicts trends of the top three bases alleged in EEO complaints between FYs 2014 and 2016.

⁶ The ending inventory for FY 2015 (894) is different from the beginning inventory for FY 2016 (827) due to database reconciliation efforts in FY 2016.

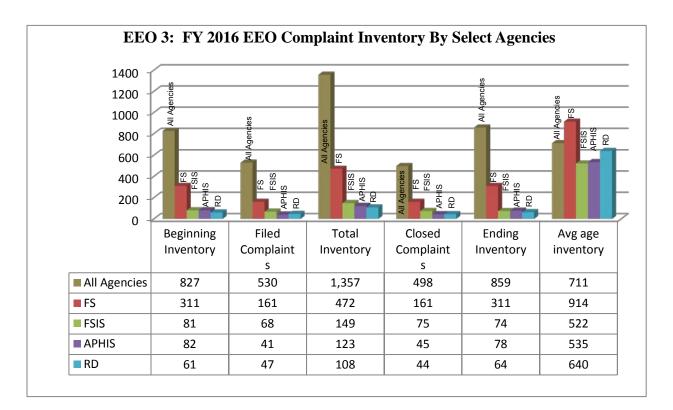


USDA EEO Data for FY 2016

During FY 2016, USDA had a total of 1,357 complaints in the EEO complaint inventory. At the beginning of FY 2016, USDA had an open inventory of 827 EEO complaints (See Table 2-1). During the fiscal year, USDA received an additional 530 EEO complaints (See Table 2-1). USDA closed a total of 498 EEO complaints during FY 2016, including eight complaints with a finding of discrimination (See Tables 2-2 and 2-3). At the end of the fiscal year, USDA had an inventory of 859 open EEO complaints (See Table 2-2).

The EEO complaint inventory of FS, FSIS, RD, and APHIS accounted for approximately 63 percent (852) of the total USDA complaint inventory discussed above. Out of the 530 employment complaints filed with USDA, the respective agencies had the following totals: FS - 161 complaints; FSIS - 68 complaints; RD - 47 complaints; and APHIS - 41 complaints. The chart (EEO 3) below depicts this data.

⁷ The total complaint inventory in FY 2015 was 1,387. In FY 2016, there were more complaints filed and closed compared to FY 2015. In FY 2016, 530 complaints were filed as opposed to 509 in FY 2015; this represents approximately a 4 percent increase. In FY 2016, 498 complaints were closed as opposed to 493 in FY 2015; this represents approximately a 1 percent increase.



By the end of FY 2016, the average age inventory for an EEO case was 711 days (See Table 2-1). This represents a decrease of approximately 11 percent from the 802 days in FY 2015. However, the average age inventory includes 525 complaints that were at the EEOC for a hearing and 14 complaints held in abeyance due to being subsumed by a class complaint. These complaints are beyond the control of USDA and removal of these complaints reduces the average age inventory to 606 days. This represents a decrease of approximately five percent from FY 2015 (641 day average age inventory calculated after excluding those cases). For complaints closed during FY 2016, the average age inventory was calculated based on the time between the formal filing date (regardless of the fiscal year) and the date of closure.

Of the complaints that remained in open status by the end of FY 2016, the average age inventory was calculated based on the time between the formal filing date (regardless of the fiscal year) and the end of FY 2016 (September 30, 2016).

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⁸ The FY 2016 complaint inventory includes 13 remand complaints 7 of which are also in hearing status. A remand is an EEO complaint that is returned to the agency, by the EEOC, for further action based on an appeal decision. Time in the process for these complaints was calculated based on the time between the remand date (regardless of the fiscal year) and the date of the remand closure. For remanded complaints that remained on open status by the end of FY 2016, time in the process was calculated based on the time between the remand date (regardless of the fiscal year) and the end of FY 2016 (September 30, 2016).

The total number of personnel actions taken by USDA agencies following resolution of EEO complaints was 446. The types of personnel actions taken included monetary and non-monetary (See Table 2-4). The number of EEO cases with a finding of discrimination increased from five to eight between FYs 2015 and 2016. There were seven disciplinary actions taken as a result of the findings of discrimination (See Table 2-5).

A summary of EEO complaint data for each USDA agency is provided in Part II of this report. The attachments provide information regarding the processing of each complaint.

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⁹ This includes findings of discrimination, as well as, complaints voluntarily resolved by settlement agreement.

¹⁰ One of the eight findings is currently pending a disciplinary action determination.

FY 2016 Complaint Data By USDA Agency

Part I: Program Discrimination Complaint Data by USDA Agency

This section provides summary data for program complaints in FY 2016 for each USDA agency. References are made to the exhibits section of this report regarding detailed program complaint data for each USDA agency.

		T	able 1-1				
	Program Complaints Inventory During FY 2016						
Agency	Beginning Complaint Inventory	Complaints Filed	Total Complaint Inventory During FY 2016	Complaint Average Time (Days) In The Process	Exhibit 1 Page(s)		
AMS	9	0	9	560	1		
APHIS	0	2	2	0	1		
DM	0	1	1	1	1		
FAS	0	1	1	0	1		
FNS	62*	129	191	254	1-5		
FS	13	4	17	489	5-6		
FSA	81*	57	138	1,249	6-9		
FSIS	1	1	2	1,216	9		
GIPSA	1	0	1	512	9		
NIFA	2	2	4	568	9		
NRCS	29	8	37	712	9-10		
RD	251*	141	392	907	10-19		
RMA	0	2	2	125	19-20		
Total USDA	449	348	797	780	1-20		

^{*}This number is different from the FY 2015 Farm Bill Report's ending inventory due to PCMS reconciliation efforts conducted during FY 2016.

Table 1-2 Number of Program Complaints Closed in FY 2016 **Total Number of Ending Complaint** Total Exhibit 1 Agency Complaint **Complaints Closed** Inventory Page(s) Inventory During FY 2016 AMS 9 0 9 1 APHIS 2 2 0 1 0 DM 1 1 1 FAS 1 1 0 1 FNS 74 191 117 1-5 FS 17 12 5 5-6 FSA 138 27 111 6-9 FSIS 2 9 1 1 GIPSA 9 1 0 1 NIFA 4 3 9 1 NRCS 9 37 28 9-10 77 10-19 RD 392 315 2 RMA 2 0 19-20 Total USDA 797 248 549 1-20

Table 1-3					
Number of Program Complaints Resolved With Finding of Discrimination					
Agency	Findings of Discrimination				
APHIS	1				
FSA	1				
RD	2				
Total USDA	4				

Part II: EEO Complaint Data by USDA Agency

This section provides summary data for EEO complaints in FY 2016 for each USDA agency. References are made to the exhibits section of this report regarding detailed EEO complaint data for each USDA agency.

			Table 2-1			
EEO Complaints Inventory During FY 2016						
Agency	Beginning Complaint Inventory	Complaints Filed	Total Complaint Inventory During FY 2016	Complaint Average Time (Days) In The Process	Exhibit 2 Page(s)	
AMS	16	10	26	660	1-2	
APHIS	82*	41	123	535	2-7	
ARS	16	19	35	638	7-8	
CCD	58*	24	82	662	8-12	
ERS	4	1	5	662	12	
FAS	16*	8	24	1,403	12-13	
FNS	14*	23	37	385	13-15	
FS	311*	161	472	914	15-35	
FSA	50*	27	77	774	35-39	
FSIS	81*	68	149	522	39-45	
GIPSA	17*	9	26	713	45-46	
NAD	0	0	0	0	N/A	
NASS	2	2	4	260	46-47	
NIFA	2	3	5	369	47	
NRCS	48*	22	70	753	47-50	
OCFO	28*	55	83	323	50-53	
OCIO	0	0	0	0	N/A	
OIG	13*	3	16	978	53-54	
RD	61*	47	108	640	54-59	
RMA	7*	7	14	387	59	
USDA	1	0	1	2,477	59	
Total USDA	827*	530	1,357	711		

^{*}This number is different from the FY 2015 Farm Bill Report ending inventory due to iComplaints reconciliation efforts conducted in FY 2016.

		Table 2-2				
Number of EEO Complaints Closed in FY 2016						
Agency	Total Complaint Inventory	Total Number of Complaints Closed	Ending Complaint Inventory	Exhibit 2 Page(s)		
AMS	26	8	18	1-2		
APHIS	123	45	78	2-7		
ARS	35	12	23	7-8		
CCD	82	23	59	8-12		
ERS	5	1	4	12		
FAS	24	7	17	12-13		
FNS	37	11	26	13-15		
FS	472	161	311	15-35		
FSA	77	28	49	35-39		
FSIS	149	75	74	39-45		
GIPSA	26	10	16	45-46		
NAD	0	0	0	N/A		
NASS	4	2	2	46-47		
NIFA	5	3	2	47		
NRCS	70	27	43	47-50		
OCFO	83	31	52	50-53		
OCIO	0	0	0	N/A		
OIG	16	4	12	53-54		
RD	108	44	64	54-59		
RMA	14	6	8	59		
USDA	1	0	1	59		
Total USDA	1,357	498	859			

	Table 2-3				
Number of EEO Complaints Resolved With Finding of Discrimination					
Agency	Findings of Discrimination				
AMS	0				
APHIS	0				
ARS	0				
CCD	2				
ERS	0				
FAS	0				
FNS	1				
FS	0				
FSA	0				
FSIS	0				
GIPSA	0				
NAD	0				
NASS	0				
NIFA	0				
NRCS	0				
OCFO	2				
OCIO	0				
OIG	0				
RD	3				
RMA	0				
USDA	0				
Total USDA	8				

Table	e 2-4				
Number of Personnel Actions Following Resolution of EEO Complaints					
Agency	Number of Personnel Actions				
AMS	2				
APHIS	24				
ARS	11				
CCD	16				
ERS	2				
FAS	9				
FNS	15				
FS	137				
FSA	12				
FSIS	86				
GIPSA	1				
NAD	0				
NASS	4				
NIFA	5				
NRCS	41				
OCFO	27				
OCIO	0				
OIG	10				
RD	34				
RMA	10				
USDA	0				
Total USDA	446				

As noted in the referenced exhibits section, a total of 446 personnel actions were reported. However, the number of complaints resolved with personnel actions was 188 cases.

Detailed information regarding the number and types of personnel actions taken following the resolution of each complaint are provided in Exhibit 2-1.

Table 2-5 below contains the number of disciplinary actions taken against employees who were found to have committed prohibited acts of discrimination, retaliation, harassment or prohibited personnel practices:

		Tab	ole 2-5			
Disciplinary Actions in EEO Complaint Findings of Discrimination						
Disciplinary Action	Discrimination Type					
	Retaliation	Harassment	Prohibited Personnel Practice	Discrimination	Total	
Removal	0	3	0	0	3	
15 Days or More Suspension	0	0	0	0	0	
14 Days or Less Suspension	0	1	0	0	1	
Reduction- in-Grade	0	0	0	0	0	
Reduction- in-Pay	0	0	0	0	0	
Letter of Reprimand	0	3	0	0	3	
Total	0	7	0	0	7	

EXHIBITS

Exhibit 1: FY 2016 USDA Program Complaint Inventory

Exhibit 2: FY 2016 USDA EEO Complaint Inventory

Exhibit 2-1: Number and Type of Personnel Actions Taken Following Resolution of EEO

Complaints

The exhibits listed above to this report are not available on our website. We are in the process of putting the exhibits in a format that will be accessible to all. You may obtain a copy of the exhibits by contacting the Office of the Assistant Secretary for Civil Rights, Information Research Service, at (202) 401-0005 or (800) 795-3272 (toll free) or by sending an email request to CR INFO@ascr.usda.gov.

Detailed information regarding the number and types of personnel actions taken following the resolution of each complaint are provided in Exhibit 2-1.