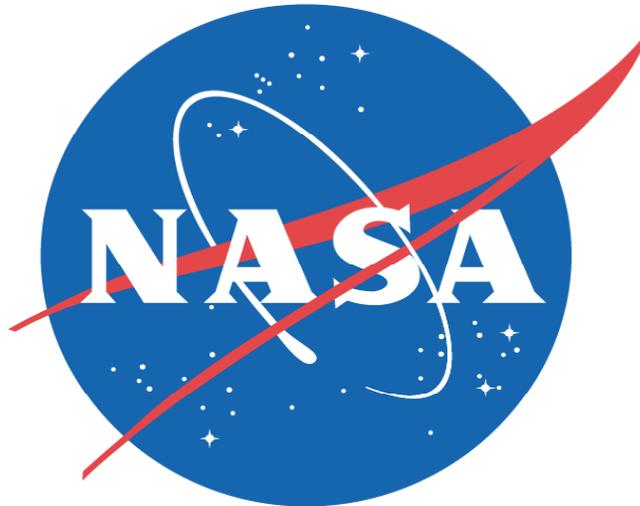


Responsible Office: NASA Office of Equal Opportunity Programs  
Subject: Affirmative Employment Program (AEP) Planning and Approval



Office of Equal Opportunity Programs  
Affirmative Employment and Diversity Policy Division

Office Work Instruction

## Affirmative Employment Program (AEP) Planning and Approval

Approved by: \_\_\_\_\_

George E. Reese  
Associate Administrator  
Office of Equal Opportunity Programs



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## **1. Purpose**

The purpose of this procedure is to establish and define steps to be followed for the preparation, approval, and submission to EEOC of the Multi-year AEP's for Minorities and Women (M/W), and Individuals With Disabilities (IWD).

## **2. Scope and Applicability**

- 2.1 This OWI covers the steps followed by Code EI staff, and Code E senior management in the preparation, approval, and submission to EEOC of the multi-year AEP's for the employment of minorities and women, and individuals with disabilities.
- 2.2 This OWI applies to OEOP at NASA Headquarters.

## **3. Definitions**

- 3.1 AA – Associate Administrator
- 3.2 AEP - Affirmative Employment Plan
- 3.3 AR - Accomplishment Report
- 3.4 Code CIC – Headquarters Correspondence Management Office, Office of Headquarters Operations. This office reviews all documents that require the Administrator's signature. The review is performed for format, style, and substance.
- 3.5 Code E - Office of Equal Opportunity Programs
- 3.6 Code EC – Discrimination Complaints Division, Office of Equal Opportunity Programs
- 3.7 Code EI - Affirmative Employment and Diversity Policy Division, Office of Equal Opportunity Programs
- 3.8 Code EU – Minority University Research and Education Division, Office of Equal Opportunity Programs
- 3.9 Code F - Office of Human Resources and Education
- 3.10 Code G - Office of The General Counsel
- 3.11 Code M - Office of Space Flight

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- 3.12 Code R - Office of Aero-Space Technology
- 3.13 Code S - Office of Space Science
- 3.14 Code Y - Office of Earth Science
- 3.15 Code Z - Office of Policy and Plans
- 3.16 DAA – Deputy Associate Administrator
- 3.17 DD – Division Director
- 3.18 EES – Equal Employment Specialist. This is the professional staff member responsible for the preparation of the respective AEP.
- 3.19 EEOC – U.S. Equal Employment Opportunity Commission. This is the Federal agency that has oversight responsibilities for equal employment opportunity and affirmative employment in the Federal Government.
- 3.20 MD – Management Directive
- 3.21 MD’s 713 and 714 – MD’s issued by EEOC. These documents present the substance and format requirements for the preparation of the multi-year AEP and accomplishment reports.
- 3.22 NHQ Form 117 – Action Document Summary (ADS). This document is required by the Office of the Administrator and contains a brief description of the document for which signature by the Administrator is sought, as well as signature blocks for requested concurrence(s).
- 3.23 OEOP - Office of Equal Opportunity Programs (Code E)
- 3.24 S - Secretary

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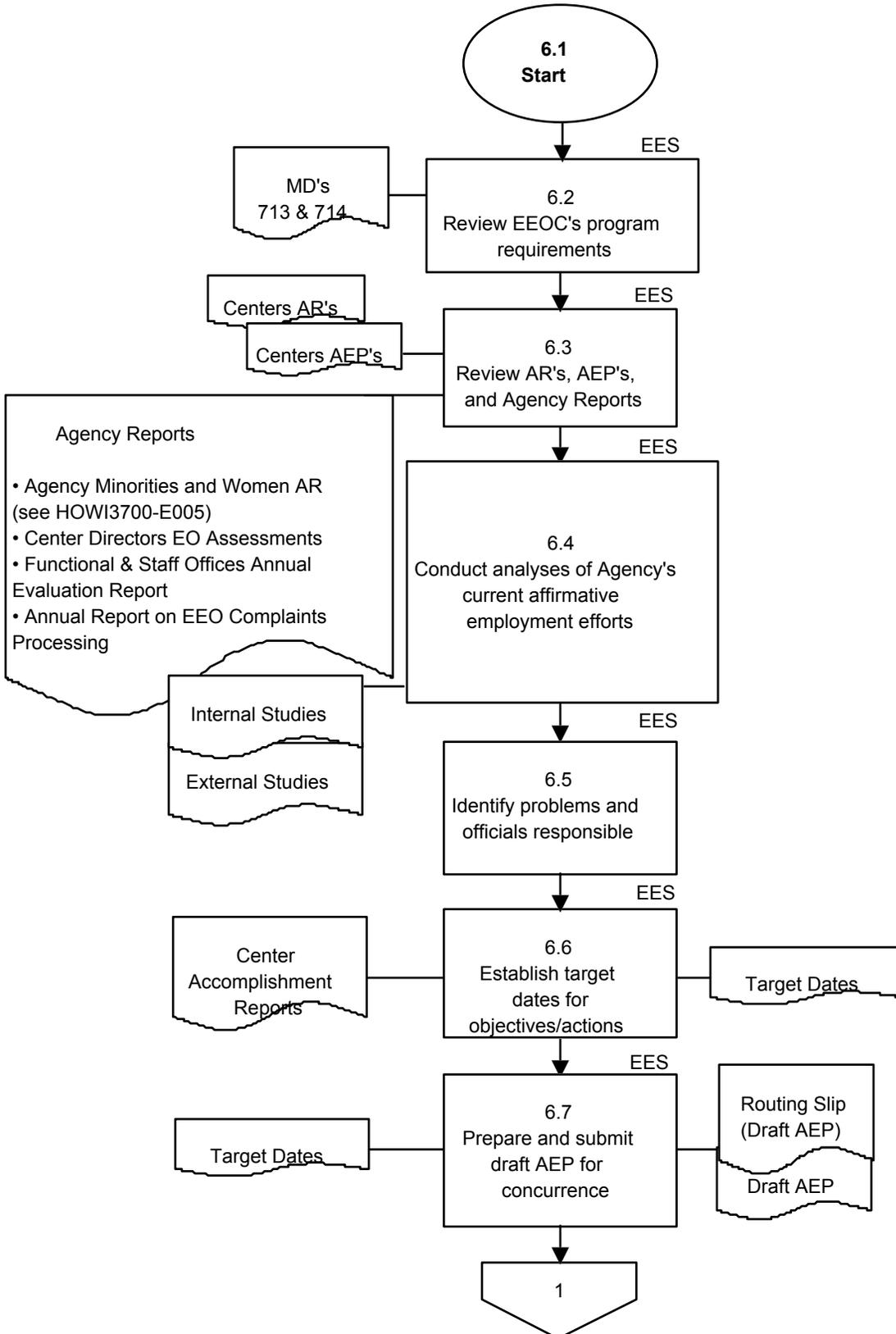
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**4. References (Available in hardcopy only)**

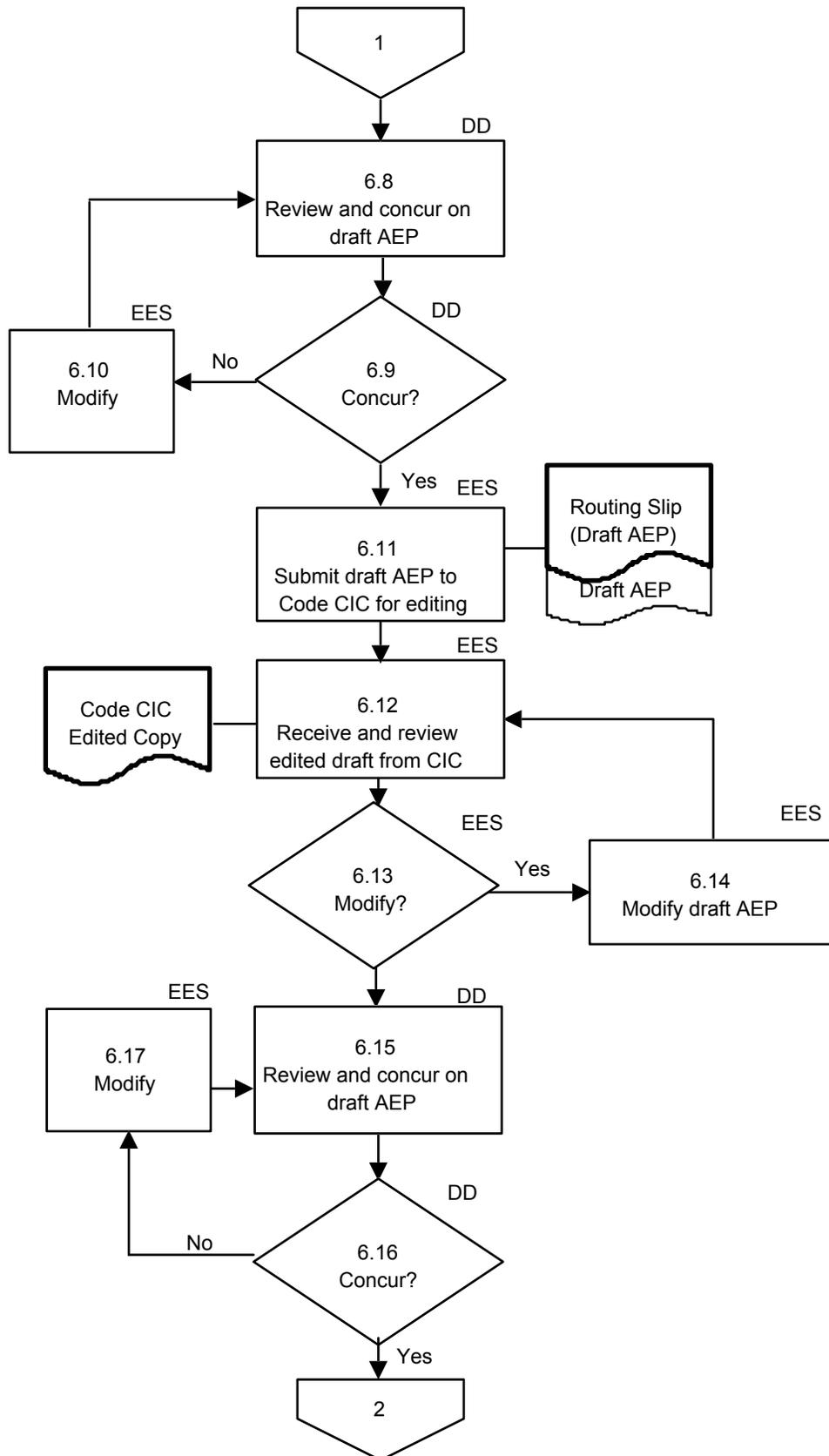
- 4.1 EEOC MD 713. MD 713 contains the requirements and specifications for the preparation and submission to EEOC of the AEP for Individuals With Disabilities.
- 4.2 EEOC MD 714. MD 714 contains the requirements and specifications for the preparation and submission to EEOC of a Multi-year AEP for Minorities and Women.

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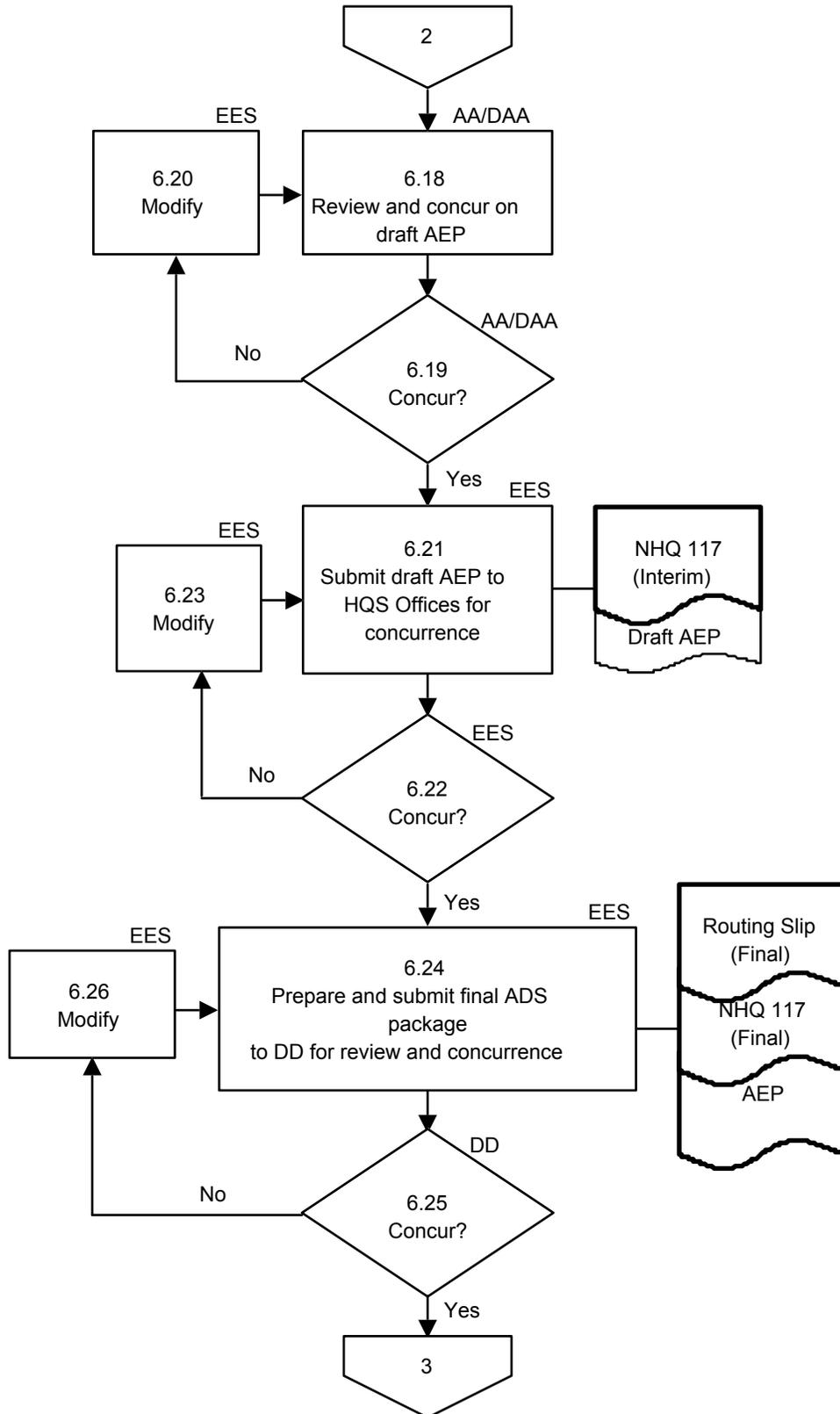
## 5. Flowchart



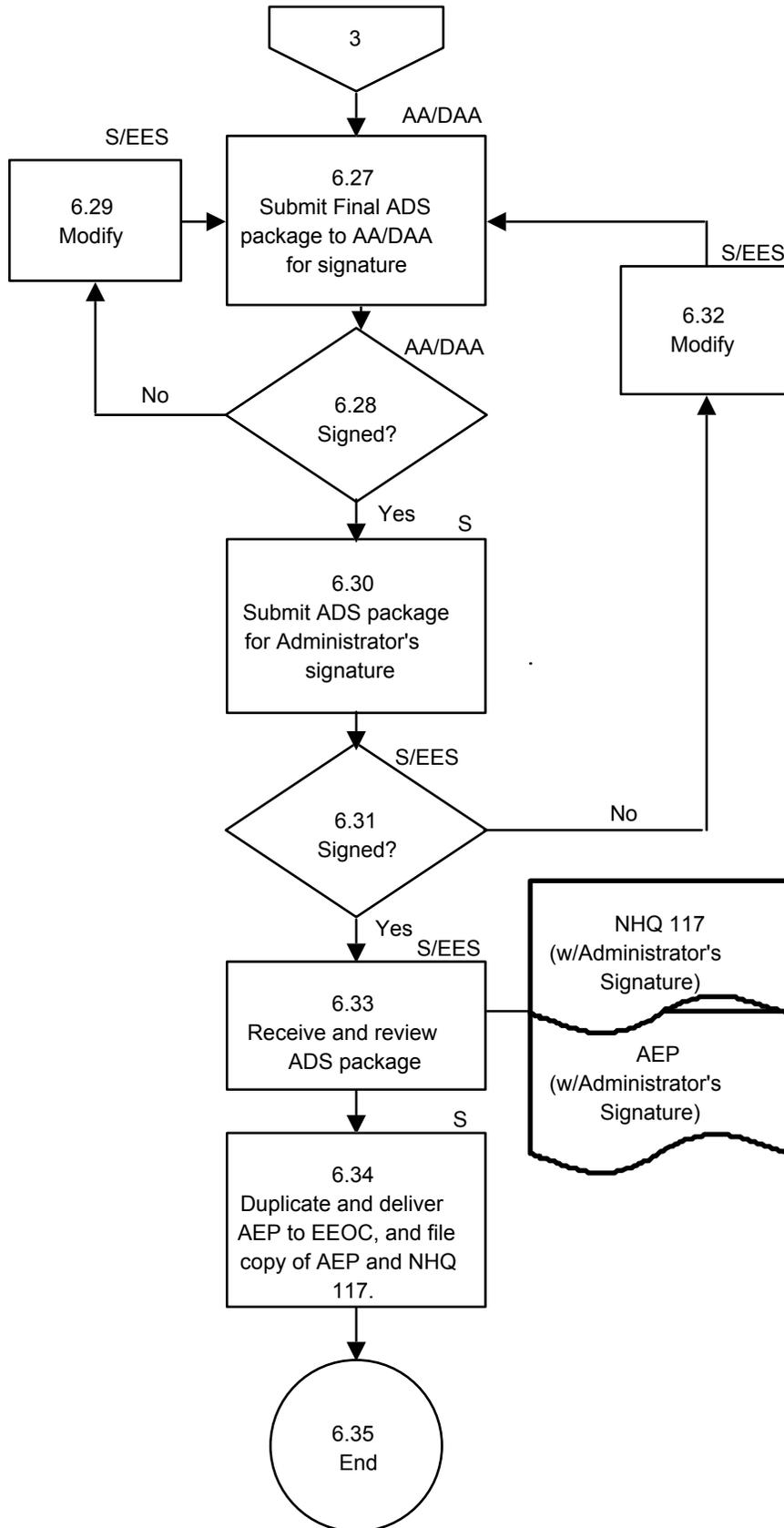
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## 6. Procedure

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.1	Code E	Start
6.2	EES	A review is conducted of all the requirements specified in EEOC MD's 713 and 714 in order to ensure that the planning and preparation process for the multi-year AEP is in compliance with the latest guidance: (1) The life of NASA's current multi-year AEP for Minorities and Women is five years and (2) The Individuals With Disabilities AEP is updated annually as part of the Accomplishment Report.
6.3	EES	A review is conducted of previous years' AR's and the previous generation AEP to determine commitments made, objectives accomplished, and areas that remain unresolved. A thorough review is also conducted of Agency reports prepared by Code E. These reports include the Agency AR for Minorities and Women (see HQOWI3700-E005), the Annual Center Directors EO Assessment Reports, Annual EEO Complaint Processing Report, and the Functional & Staff Office Assessment Report. The review covers the reports for the previous 4 years.
6.4	EES	A review of internal and external studies regarding Agency affirmative employment efforts is conducted. These internal studies are prepared by Code EI and include, at a minimum, statistical profiles of participation rates, by race, sex, national origin, and disability, of personnel in middle and senior-level training programs, promotion opportunities, loss rates, and new hires. The external studies include, but are not limited to, Office of Personnel studies addressing the glass ceiling and other issues affecting women and minorities.
6.5	EES	As the result of the analyses conducted in 6.3 and 6.4, outstanding issues and/or barriers to equal opportunity are identified. Officials responsible for implementing specific actions to increase the participation of covered

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- groups in specific personnel programs are identified. Once these management representatives are identified, types of actions and target dates are considered in order to eliminate the deficiencies identified in implementing the specific actions.
- 6.6 EES After consideration of specific objectives, actions, target dates are established by reviewing the annual reports prepared by the Centers to: (1) describe affirmative employment accomplishments for the past year and (2) address near- and long-term goals and objectives.
- 6.7 EES The draft AEP is prepared incorporating the target dates identified in 6.6 and submitted to the DD for concurrence.
- 6.8 DD The draft AEP is received and reviewed.
- 6.9 DD If DD concurs, initial the routing slip, and proceed to 6.11. If the DD does not concur, go to 6.10. The decision to concur is based on the DD's professional experience, knowledge of the programs, and draft AEP's responsiveness to the issues the AEP is to address and the EEOC MD's 713 and 714 requirements listed in Step 6.2.
- 6.10 EES If DD does not concur, requested modifications are prepared. Proceed to 6.8.
- 6.11 EES Submit draft AEP to Code CIC for editing. This review covers format and style. Retain Routing Slip as an interim quality record.
- 6.12 EES The edited draft AEP is received from Code CIC and is reviewed for changes Code CIC made in its editorial review. Retain Code CIC edited copy of AEP as an interim quality record.
- 6.13 EES Determine whether to make modifications to the draft AEP. If modifications are made, go to Step 6.14. If no modifications are made, go to Step 6.15.
- 6.14 EES Modifications to the draft AEP are made based on Code CIC input in the edited draft AEP.

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- 6.15 DD The draft AEP is received and reviewed by the DD for concurrence. The decision to concur is based on the DD's professional experience, knowledge of the programs, and draft AEP's responsiveness to the issues the AEP is to address.
- 6.16 DD If concurrence is obtained, initial the routing slip, and proceed to 6.19. If concurrence is not given, go to 6.17.
- 6.17 DD If concurrence from DD is not obtained, modifications are made based on DD input. Proceed to 6.16.
- 6.18 AA/DAA The draft AEP, with DD concurrence, is received and reviewed by AA/DAA for concurrence. The decision to concur is based on the AA/DAA's professional experience, knowledge of the programs, and draft AEP's responsiveness to the issues the AEP is to address.
- 6.19 AA/DAA If concurrence from AA/DAA is obtained, sign the NHQ Form 117, and proceed to 6.21. If concurrence is not given, go to 6.20.
- 6.20 EES If concurrence from AA/DAA is not obtained, modifications are made based on AA/DAA input. Proceed to 6.19.
- 6.21 EES The draft AEP with NHQ Form 117, is submitted to the AA/DAA of Codes F, G, M, R, S, Y, and Z for review and concurrence. A copy of NHQ 117 signed by Code E's AA is retained as an interim quality record.
- 6.22 EES If concurrence is obtained from all the Codes, proceed to 6.24. If concurrence is not obtained, go to 6.23.
- 6.23 EES If concurrence from all Codes is not obtained, prepare modifications and/or resolve differences. Documents with comments are maintained in a separate folder. Changes are made, based on the EES' professional judgment and experience. Comment sources are then recontacted to discuss revisions. The AEP is not finalized until the nonconcurrences are resolved. Once modifications have been made and differences resolved, proceed to 6.21.

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- 6.24 EES After concurrence from all the Codes is received, an ADS package is prepared and submitted to the DD for concurrence. The ADS package contains the AEP, an NHQ Form 117 with concurrences obtained as the result of 6.22, and the draft AEP edits from Code CIC received at 6.12. The decision to concur is based on the DD's professional experience, knowledge of the programs, and AEP's responsiveness to the issues the AEP is to address.
- 6.25 DD If concurrence is obtained, initial routing slip for the final AEP, and proceed to 6.27. If concurrence is not obtained, go to 6.26.
- 6.26 EES If concurrence is not obtained from DD, prepare modifications and proceed to 6.24.
- 6.27 AA/DAA The ADS package, with DD concurrence, is submitted to AA/DAA for signature. The decision to concur is based on the AA/DAA's professional experience, knowledge of the programs, and AEP's responsiveness to the issues the AEP is to address.
- 6.28 AA/DAA If the ADS package is signed, proceed to 6.30. If the ADS package is not signed, go to 6.29.
- 6.29 S/EES If the ADS package is not signed, prepare modifications. Proceed to 6.27.
- 6.30 S The ADS package is submitted to the Administrator for signature.
- 6.31 S/EES The ADS package is received from Administrator and reviewed. If the AEP is signed, proceed to 6.33. If the AEP is not signed, proceed to 6.32.
- 6.32 S/EES If the Administrator does not sign the AEP, prepare modifications and/or resolve issues. Review comments regarding reason for nonconcurrence, make modifications, and highlight the modifications so the Administrator can review where changes have been made. Submit modified documents with corrected copy for the Administrator to review the changes. Proceed to 6.27.

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- 6.33 S/EES The signed AEP and NHQ 117 are received and reviewed in order to prepare for duplication and distribution. A copy of the signed AEP and NHQ 117 are retained as quality records.
- 6.34 S Duplicate signed AEP, deliver one copy to EEOC, and distribute copies of the signed AEP to appropriate offices.
- 6.35 Code E End

## 7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1C)	Retention/Disposition
Routing Slip (Draft AEP)	EI	Code EI	Hard Copy	Schedule 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Code CIC Edited Copy	EI	Code EI	Hard Copy	Schedule 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
NHQ 117 (Interim)	EI	Code EI	Hardcopy	Schedule 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Routing Slip (Final)	EI	Code EI	Hardcopy	Schedule 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.

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NHQ 117 (Final)	EI	Code EI	Hardcopy	Schedule 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
AEP	EI	Code EI	Hardcopy	Schedule 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
NHQ 117 (w/ Administra tor's signature))	EI	Code EI	Hardcopy	Schedule 3, Item 50, Schedule A1	Destroy after 5 years from date of plan.
AEP (w/ Administra tor's Signature)	EI	Code EI	Hardcopy	Schedule 3, Item 50, Section A1	Destroy five years from date of plan.