



**Iowa Department of Transportation
Affirmative Action Program
Overview**

Fiscal Year 2017

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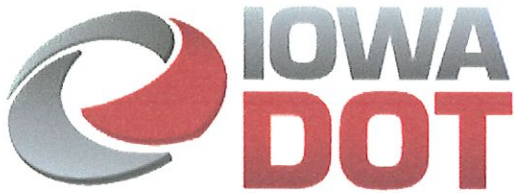
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SECTION 1

EQUAL EMPLOYMENT OPPORTUNITY



EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT

Equal Employment Opportunity (EEO) Policy Statement

The EEO policy is based on the principle that equality and human dignity are the right of every individual.

State of Iowa Policy Statement

It is the policy of the executive branch of state government in the State of Iowa to “Provide equal employment opportunity within state government to all persons.” (Iowa Code Chapter 19B.) The intent of this policy is to ensure that individuals are not denied equal access to state employment opportunities because of their race, creed, color, religion, sex, national origin, age, physical or mental disability, sexual orientation, or gender identity, consistent with applicable state and federal policies and regulations. It is also the policy of the executive branch of state government in the State of Iowa to apply affirmative action measures to correct the underutilization of females, minorities, and persons with disabilities in the state employment system whenever remedial measures are appropriate.

Equal employment opportunity will be provided to all employees and applicants without regard to color, race, religion, creed, national origin, gender, gender identity, marital status, physical or mental disability or age (except when such may be a bona fide occupational qualification). Every effort will be made to ensure that reasonable accommodations are provided to persons with disabilities and that the rights of veterans of recognized military conflicts, including Vietnam, and all disabled veterans are protected.

The Iowa Department of Transportation (Iowa DOT) affirms its commitment to treat all applicants for employment and employees equally without regard to race, religion, creed, color, sex, marital status, national origin, gender identity, sexual orientation, physical or mental disability or age (except when such may be a bona fide occupational qualification) or veterans or any other basis prohibited by local, state or federal law. Every effort will be made to ensure that reasonable accommodations are provided to persons with disabilities and that the rights of veterans of recognized military conflicts, including Vietnam, and all disabled veterans are protected.

The Iowa DOT is an Equal Employment Opportunity employer. It is prohibited for Iowa DOT or any of its employees to discriminate against an applicant for employment or another employee on the basis of race, religion, creed, color, sex, marital status, national origin,

gender identity, sexual orientation, physical or mental disability or age or any other basis prohibited by local, state or federal law or to be excluded from participation in, or denied the benefits of, or be subject to discrimination under any project, program, or activity funded in whole or in part through federal financial assistance.

The Iowa DOT supports the concept of an active affirmative action (AA) program consistent with Federal laws, court decisions, executive orders, and regulations, including goals and timetables, in order to overcome the effects of past discrimination on minorities and women.

The Iowa DOT is committed to building and maintaining a diverse workforce where everyone, regardless of race, creed, color, religion, national origin, sex, age, physical or mental disability, sexual orientation or gender identity, can:

- feel valued as individuals.
- work together in an environment where they are treated with dignity and respect.
- have the opportunity to contribute and exchange ideas.
- be a part of building a cohesive, enjoyable and successful transportation agency.

The responsibility for the direction and implementation of the Iowa DOT's AA/EEO Program is assigned to Mark Lowe, Director of the Iowa DOT. The Iowa DOT has assigned Elvie Laudencia, DOT Affirmative Action Officer/Equal Employment Officer, the primary duty of administering the State's Equal Employment Opportunity Program as established pursuant to these assurances.

All Iowa DOT managers and supervisors share in the responsibility of ensuring compliance is achieved through understanding, communicating, and active involvement in the support of this policy. Managers and supervisors will assume responsibility for reviewing, revising, and recommending changes in the employment qualifications, standards, policies and procedures to ensure compliance with the laws listed below.

Performance evaluations of managers and supervisors shall include evaluating the success of the AA/EEO program in the same manner as performance on other goals. Successful achievement of EEO goals will provide benefits to the Iowa DOT through fuller utilization and development of previously underutilized human resources.

Violations of the employment policies and procedures of the Iowa Department of Transportation will be investigated in accordance with the DOT Investigations policy 230.09. Employees who cannot resolve problems with their supervisors and managers are urged to contact the Office of Employee Services.

Applicants and employees have the right to file complaints alleging discrimination internally with the Affirmative Action Officer in the Office of Employee Services as well as externally with the Iowa Civil Rights Commission, a local Human Rights Commission, and /or the U.S. Equal Employment Opportunity Commission (EEOC) and the U.S. Department of Transportation, and other federal or state compliance agencies.

This policy extends to all areas of employment including recruitment, selection and placement, compensation, promotion, transfer, discipline, demotion, lay-off, termination, training, daily working conditions, benefits and all other terms and conditions of employment.

This policy and the Affirmative Action Plan (AAP) will be publicized externally and internally to minority groups, women's organizations, community action groups, appropriate State agencies and professional organizations. The Iowa DOT intends to publicize its AAP on the Civil Rights webpage on its internet site as well as on its intranet. The Iowa DOT will notify minority groups, women's organizations, community action groups, and professional organizations that are on its current list of referrals of the availability and accessibility of the plan on the Civil Rights webpage on DOT website. The completed and approved FY 2017 AAP will be published on the Civil Rights webpage on the Iowa DOT's website and will be able to be accessed internally and externally. The AAP will be part of the EEO/AA policy overview presentation at New Employee Orientation sessions scheduled throughout the year. Currently, the State of Iowa's Executive Branch Annual Affirmative Action Report is available on the Internet and can be accessed by everyone at this link: <https://das.iowa.gov/human-resources/diversity-aa-eeo>, then click on the Affirmative Action Report and Plan.



Mark Lowe
Director, Iowa Department of Transportation

4/5/2018
Date

References: Applicable statutes and regulations relating to civil rights, equal employment opportunity and affirmative action include, but are not limited to, the following:

- Equal Pay Act of 1963
- Title VI of the Civil Rights Act of 1964, as amended
- Title VII of the Civil Rights Act of 1964, as amended
- Iowa Civil Rights Act of 1965
- Age Discrimination in Employment Act of 1967, as amended
- Federal Aid Highway Act of 1968 and UMT Act of 1964
- Section 504 of the Rehabilitation Act of 1973
- Americans with Disabilities Act (ADA) of 1990 (as amended by ADA Amendments Act of 2008)
- Iowa Code Chapter 19B (Equal Opportunity and Affirmative Action); State of Iowa Executive Orders 15, 34, 18 and 4;
- State of Iowa Equal Opportunity, Affirmative Action and Anti-discrimination Policy (April 2015) {Section 2.40 of the Managers and Supervisors Manual}; Iowa Department of Administrative Services' rules 11 IAC Chapter 68
- Iowa Department of Administrative Services' rules 11 IAC Chapters 54-59 and Managers and Supervisors Manual, Chapters 2 and 4



**STATEMENT OF COMMITMENT
ON EQUAL EMPLOYMENT OPPORTUNITY**

As the Director of the Iowa Department of Transportation (Iowa DOT), I am personally committed to the principles and spirit of Equal Employment Opportunity (EEO) for all employees and employment applicants. The Iowa DOT's internal employment practices are an integral part of the agency's total commitment and support of its EEO Program.

The Iowa DOT executed a Certificate of Assurances with regard to the EEO Program and is therefore legally obligated to insure equal employment opportunities for all persons regardless of race, color, religion, sex, national origin, age, or disability as a fundamental agency policy.

For effective administration and implementation of the EEO Program, there shall be involvement, commitment and support of executives, managers, supervisors and employees. Responsibility for positive implementation of the Affirmative Action Plan shall be expected of and shared by all management, supervisory personnel and employees. You have been further advised that you shall be held accountable for your actions or inactions in this area and will be evaluated in carrying out the measurable goals and responsibilities of this program.

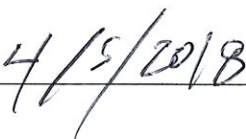
The major responsibility shall be recognition and removal of any barriers toward equal employment opportunity, identification of problem areas, and of persons unfairly excluded or held back and action enabling them to compete for jobs on an equal basis.

This type of commitment not only benefits those who have been denied equal employment opportunity, but will also greatly benefit the organization by attaining maximum utilization of the great reservoir of untapped human resources and skills, especially among Minorities and Females.

Therefore, each of you shall implement equal employment opportunity in all employment practices, including but not limited to recruitment, hiring, transfers, promotions, training, compensation, benefits, recognition, lay-offs and other termination within your area of authority.



Mark Lowe
Director, Iowa Department of Transportation



Date

**STATE ASSURANCE WITH REGARD TO
EQUAL EMPLOYMENT OPPORTUNITY
AS REQUIRED BY
THE FEDERAL-AID HIGHWAY
ACT OF 1968**

Pursuant to the requirements of Section 22(a) of the Federal-Aid Highway Act of 1968, the State of **IOWA**, desiring to avail itself of the benefits of Title 23, United States Code, Chapter 1, and as a condition to obtaining the approval of the Secretary of Transportation of any programs for projects as provided for in Title 23, United States Code, Section 105(a), hereby gives its assurance that employment in connection with all proposed projects approved on or after August 23, 1968, will be provided without regard to race, color, creed or national origin.

More specifically, and without limiting the above general assurance, the Iowa DOT hereby gives the following specific assurances:

1. The Iowa DOT will establish an Equal Employment Opportunity Program, in furtherance of the above general assurance, which shall include a system to ascertain whether contractors and subcontractors are complying with their equal employment opportunity contract obligations and the degree to which such compliance is producing substantial progress on the various project sites in terms of minority group employment. The Iowa DOT will furnish such information and reports regarding contractor and subcontractor compliance as may be requested by the Federal Highway Administration.
2. The Iowa DOT program shall include effective procedures to assure that discrimination in employment on the grounds of race, color, creed or national origin will not be permitted on any projects and, if discrimination exists at the time this assurance is made, it will be corrected promptly.
3. The Iowa DOT has assigned Elvie Laudencia, Equal Employment Opportunity Coordinator, the primary duty of administering the State's Equal Employment Opportunity Program as established pursuant to these assurances.
4. The Iowa DOT will, on its own initiative, take affirmative action, including the imposition of contract sanctions and the initiation of appropriate legal proceedings under any applicable State or Federal law, to achieve equal employment opportunity on Federal-aid highway projects and will actively cooperate with the Federal Highway Administration in all investigations and enforcement actions undertaken by the Federal Highway Administration.
5. The Iowa DOT will establish and maintain an effective liaison with public and private agencies and organizations which are, or should be, involved in equal employment opportunity programs. Such agencies and organizations include, but are not limited to, labor unions, contractor associations, minority group organizations, the U.S. and State Employment Services, and the U.S. and State Department of Labor.

6. The Iowa DOT hereby agrees that it will seek the cooperation of unions, contractors, appropriate state agencies and other related organizations in the establishment of skilled training programs, and will assure that all persons will have an opportunity to participate in such programs without regard to race, creed, color or national origin.

7. The Iowa DOT hereby agrees that its own employment policies and practices with regard to Iowa DOT employees and any part of compensation that is reimbursed from Federal funds, will be without regard to race, color, creed or national origin.

8. The Iowa DOT shall include in the advertised specifications notification of the specific equal employment opportunity responsibilities of the successful bidder as those responsibilities are currently defined and required by the Federal Highway Administration. No requirement or obligation shall be imposed as a condition precedent to the award of a contract for a project unless such requirement or obligation is otherwise lawful and is specifically set forth in the advertised specifications. Procedures for the prequalification of Federal-aid contractors and subcontractors to determine their capability to comply with their equal employment opportunity contract obligations will be issued as a supplement to this interim assurance for implementation by December 1, 1968.

9. The Iowa DOT will obtain and furnish to the Federal Highway Administration such information and reports as may be requested to enable the Federal Highway Administration to determine compliance by the Iowa DOT with this assurance.



Mark Lowe
Director, Iowa Department of Transportation



Date

ACCOMPLISHMENTS

The Iowa Department of Transportation (DOT) continues to strive to achieve, build and maintain a diverse workforce that enhances our ability to deliver on both our mission and our vision, through the provision of affirmative action and equal employment opportunity program services. To achieve that goal, the DOT makes a continuous effort through outreach and recruitment measures to broaden applicant pools from which selection decisions are made and systematic efforts to assure that selections are made regardless of race, religion, national origin, color, sex, age or other prohibited factors.

I. Hiring Practices

- The DOT continued to implement Policy 210.02 Recruitment, Selection, and Hiring Process (refer to Addendum A-1 - copy of PPM 210.02). The policy includes the following processes:
 - A. Preparing to fill a vacancy
 - Review of Position Description Questionnaire (PDQ);
 - Completion of P-5 and Hiring Decision Justification (HDJ) are on the same new online system. The P5/HDJ system streamlines the hiring process. The upgrade allows managers to view vacancy reports at any time, creates the hiring justification letter and reduces back-and-forth steps, allows managers to attach required documentation, and sends notices for advertising, physical capacity profile test, and drug screening to employees in the Office of Employee Services (OES) for tracking.
 - B. Screening and Interviewing Applicants
 - The Affirmative Action Officer (AAO) approves pre-interview screening criteria, applicant scores, and proposed list of interview questions prior to interviewing; and
 - Nepotism prohibition expanded to include all supervisors and lead workers in the chain of command.
 - C. HDJ and Reference Checks

The policy defines the hiring documentation required to be submitted for approval prior to an offer being made. The selecting authority submits a written narrative addressing:

- essential functions of the position,
- screening criteria utilized,
- a comparison of applicants interviewed to the essential functions and screening criteria based on the answers provided during the interview, and
- justification for the recommended hire to the AAO in OES.

The Selecting Authority also submits the following documents:

- NeoGov certificate list,
 - pre-interview screening criteria and scores, if applicable,
 - interview questions,
 - interview scores/matrix or spreadsheet,
 - PDQ/essential functions, and
 - reference check(s).
- The DOT continued to improve its hiring process through:
 1. Goals
 - Reduce the number of variables in order to increase consistency in hiring.
 - Broaden the applicant pool.
 - Improve diversity.
 2. Hiring Process Strategies
 - The development and utilization of a consistent competency or Knowledge, Skills and Ability (KSA) based selection tool.
 - The use of a Department screening team(s) to develop and oversee any necessary screening stages prior to a final interview and a hiring team.
 - OES filled six Human Resource Professional (HRP) 1 positions (Staffing Coordinators) in the spring of 2017. These positions serve as a program manager and agency liaison for work force planning and selection/hiring. This includes managing all aspects of selection including hiring of employees for Iowa DOT. This includes coordinating all aspects of hiring; workforce planning, Position Description Questionnaire (PDQ), job posting, selective certifications, hiring justification, recruitment, selection process, and hiring decision justifications, for an assigned DOT area(s).
 - OES filled a Public Service Manager 1 to supervise the Talent Acquisition and Retention team, manage and provide supervision of the centralized hiring process, onboarding/mentoring/succession plan, and recruitment, among other responsibilities.
 - OES also filled an HRP 1 position which served as Program Manager and agency liaison for work force planning, including targeted diversity among other duties.
 - Targeted diversity recruitment incorporated developing and maintaining proactive relationships with community organizations, attending various recruitment activities throughout the state to aid in recruiting efforts, as needed, and developing, monitoring and reporting progress on the department Recruitment Plan. Spending time and effort on recruiting yielded a good match between employees' knowledge, skills and abilities and the organization.
 3. Recruitment

Through OES, the DOT provided recruitment services with standard, enhanced or targeted diversity recruitment efforts:

- Current standard advertising/recruitment methods included posting the vacancy on 19 online job boards which include Hispanic and Military Vet sites.
- Positions were posted on all social media platforms such as DOT's Facebook page, twitter page, LinkedIn, and current agreement with BirdDogHR, an online recruitment tool to post opportunities on their website.
- Radio advertisements were produced on both local Iowa stations as well as Pandora.
- Iowa DOT career webpage includes positions for all applicants, current permanent state employees, and student internships/coops with over 4,000 subscribers. The careers website had 138,675 pageviews, 72,286 users for FY17. A total of 65,500 visitors came to the site via a search engine search. Top keywords: Iowa DOT jobs, Iowa DOT job openings and Iowa DOT careers and 72,429 users accessed our career webpage via their mobile device.
- Internships/Co-ops - 6th year of implementation. Iowa DOT aimed to fill 70 new student intern/coop positions in one of 38 locations/offices statewide. There were 132 total students hired for FY 2017 from a variety of academic disciplines.
- The online application process for seasonal employment via BirdDog HR was used for Winter Maintenance and Traffic Count Program hiring resulting in receiving thousands of applications from across the state. We also conducted statewide radio and newspaper campaigns to promote the seasonal employment opportunities.
- Continued networking with consultants and industry leaders to develop new outreach opportunities to diversify the workforce.

II. Recruitment

Job Postings and Advertisement/Promotion:

- The DOT continued to utilize All-Applicant lists as our primary method on specific positions by posting through the State of Iowa's employment website (DAS – Neo-Gov) as well as posting vacant positions at Iowa Workforce Development and on our own DOT career webpage. The DOT continued to utilize BirdDog to post opportunities on 19 online job boards simultaneously as well as send a target email to our career alert page subscribers. At the discretion of the hiring manager, vacancies were advertised using paid resources which consisted mostly of radio campaigns on local stations which fit the demographic for the position.
- Transportation engineering and planning positions are routinely sent to the American Association of State Highway and Transportation Officials website.
- Additionally, positions are routinely sent via email to the:
 - Commission on the Status of Asian and Pacific Islanders
 - Iowa Division of Latino Affairs
 - Iowa Division of Deaf Services

- Iowa Division of Persons with Disabilities
- Iowa Division on the Status of African Americans
- Iowa Division on the Status of Women
- Iowa Vocational Rehabilitation Service
- Women and Minorities in Construction Program Grant Coordinator
- National Guard Job Connection
- Latinos Unidos of Iowa
- Iowa College Recruiting Network (ICRN) member schools
- Student organizations at state universities for minorities and women
- City Human Rights/Civil Rights/Human Relations Commission contacts for:
Ames, Bettendorf, Burlington, Cedar Rapids, Clinton, Council Bluffs,
Davenport, Decorah, Des Moines, Dubuque, Fort Dodge, Indianola, Iowa
City, Marshalltown, Mason City, Muscatine, Ottumwa, Sioux City,
Urbandale, Waterloo, and West Des Moines Iowa College Recruiting
Network.

Proactive Minority Community Involvement:

- The DOT also continued to develop and maintain a community presence by participation in minority community events. Examples of events with emphasis on diversity outreach that the DOT participated in during FY 2016 are:
 - Iowa Latino Conference and Iowa Latino Conference Planning Committee
 - Iowa State Conference On Race and Ethnicity (ISCORE)
 - I'll Make Me a World in Iowa
 - Central Iowa SHRM 2016 Iowa Career Expo
 - Greater Des Moines Partnership's Quarterly Multicultural Receptions
 - Iowa Juneteenth celebration festival in Des Moines
 - CelebrAsian
 - Latinos Unidos Job Resource Fair
 - Latino Heritage Festival
 - Hawkeye Community College: Diversity in STEM Conference; building pipelines to access and inclusion
 - University of Iowa College of Engineering Diversity Networking Reception
 - Presentation by DOT staff to Iowa State University APEX for Engineers (helps incoming multicultural students adjust to university life)
- Additionally, the DOT participated in the following outreach events (not all inclusive):
 - Iowa State University Fall Engineering and Business Career Fairs
 - University of Iowa Fall Engineering and Business Career Fairs
 - Iowa State University Spring Engineering Fair
 - Iowa State University Jump-Start Internship and Networking Fair (Greenlee School of Journalism)
 - Iowa State University Engineering Scholar Day
 - Iowa State University College of Design Career Fair
 - University of Iowa Spring Engineering Fair
 - University of Wisconsin Platteville Spring Career Fair

- University of Iowa College of Engineering Diversity Networking Event
- University of Northern Iowa Fall Career Fair
- University of Northern Iowa Spring Career Fair
- Hawkeye Community College Career Fair
- DMACC Career Fair
- Colo-Nesco STEM fair K-6th grade
- Iowa Black Business Summit
- Iowa Immigrant Entrepreneur Summit
- Indian Hills & Iowa Works-Southern Iowa career fair
- Veteran's Career Fair events in Iowa City, Des Moines & Marshalltown
- Building Diversity Networking Expo
- Women and Heavy Equipment Operator Training (Hawkeye Community College)
- Summit on the Black Male held at the University of Northern Iowa campus
- Diversity Career Fair, via the Greater Des Moines Partnership

Collaborative efforts with other state agencies and entities:

- The DOT continued to participate in the quarterly Statewide Strategic Recruitment Team meetings coordinated by DAS-Human Resource Enterprise (HRE).
- Presentations to engineering classes at Iowa State University to promote our student summer internship and coop opportunities.
 - Presentations to various student clubs at Iowa State University.
- STEM events with ISU and InTrans for K-12 students and educators.
- 2017 Executive Branch - State of Iowa Career Fair.

Statewide Advertisement Campaign:

- The DOT continued statewide print and radio campaigns to promote employment opportunities and increase awareness of the DOT's employment site.
 - Display ads were continuously run in the Iowa Bystander (Iowa's African American newspaper), El Comunicador and El Frontier.
 - Recruitment marketing cards for the Iowa DOT and Motor Vehicle Enforcement of the Motor Vehicle Division were distributed at the Iowa State Fair.
 - An electronic version of the DOT employment flier was sent out to the DOT's community outreach distribution list which includes Women and Minorities in Construction, Division of Persons with Disabilities, Iowa Asian Alliance, Iowa College Recruiting Network, Japanese Association of Iowa, and the State Civil/Human Rights. It was also sent to Iowa Workforce Development for distribution to their respective networks.
 - Ran statewide newspaper and radio ads for recruitment of over 600 seasonal winter maintenance positions.
 - The DOT continued the agreement with birddoghr.com, an online recruitment tool, to post opportunities on our webpage and 19 online job boards simultaneously as well as send a target email to our career page subscribers.

Utilization of web technology:

- The DOT continued to utilize web technology to promote employment opportunities through an employment page on the DOT website. The employment page includes

links to our current permanent job postings through DAS. People interested in employment opportunities with the DOT are able to sign up on our website to receive an email alert and/or through Twitter and Facebook postings. A very brief welcome video based on the DOT vision statement and workforce guiding principles is showcased on the employment page. The video displays and emphasizes the diversity that exists within the DOT both in careers and people.

III. Retention

- The DOT's Management Team continued to determine, develop and deliver approaches best suited for effective employee retention initiatives in the following areas:
 - Employee Interaction and Development:
Career development opportunities; regular feedback; a chance to contribute directly to the organization and be recognized for doing so; flexible work schedules that recognize the need for work/life balance; a good salary or wage and an opportunity to increase it over time; and benefits tailored to individual employee's needs.
 - Recognition – the DOT recognizes employees who have reached milestones in their service through monthly service awards updates and personnel updates of new hires, promotions and transfers. The DOT uses the Helmet Sticker Display tool which allows any employee to recognize and to be recognized on the focused core values: Safety; Respect; Integrity; Teamwork; and Leadership as established in DOT's 2014 Strategic Plan.
 - Decision Making – enhanced decision making through improved information management.
 - Trust – the DOT's Strategic Plan was rolled out in Fall 2014 establishing the DOT's revised mission and vision statements, five core values and five key initiatives for change. One of the DOT's core values is employee demonstrating "Integrity" by earned and demonstrated trust through transparent and ethical actions. Respect is another core value wherein employees are treated with honor, dignity and courtesy. Retention is increased through earned and demonstrated trust by transparency and ethical actions, as well as respecting one another.
- The DOT continued its plan for establishing a formal mentoring program and onboarding of employees. The DOT's onboarding program has been approved by its Management Team and a new system has been in place for onboarding new employees in the spring of FY 2017 through the Iowa DOT Service Portal. The system allows a new employee to complete required documentation in an electronic format from any device that has internet access. The process created the efficient onboarding of new employees which includes their easy access to information through the per-set up email accounts, computer devices and other resources to help the start at their jobs.
- As earlier mentioned, the DOT hired an HRP 1 position which served as a Program Manager and Agency liaison for workforce planning, including employee succession

plan/retention, supervisor leadership academy, leadership training, and targeted diversity training.

- The DOT continued to conduct exit interviews with employees who leave the DOT to seek input regarding their experience working with the DOT. The results of the data were compiled and forwarded to appropriate management (see Exit Interview results in Section 11).

Other key retention strategies/employment practices:

- Recruitment and hiring – spending time and effort on recruitment has yielded better matches between employees’ knowledge, skills and abilities and the organization, thus, turnover has been less likely an issue.
- Orientation - The DOT continued its new employee orientation every 60 days involving a Management Team member and OES Director welcoming the employees. Treating employees right in the critical early stages of employment has been proven to enhance retention.
- Training and development – these key factors help employees grow with the DOT and stay competent and marketable in their field. Additionally, former employees interviewed on exit interviews have rated the area of accessing information to do their jobs as one of the highest (See Exit Interview charts in Section 11). Easy access to information would indicate better performance on the job.
- Performance evaluation – both employees and the DOT benefit when employees know what they are doing well and where they need to improve.
- Pay and benefits – good pay and benefits count. These areas generally have had higher ratings by former employees who responded to exit interviews.
- Employee engagement meetings – Management Team meets face to face with employees to answer questions and listen to their concerns.
- Internal communication – various internal management communication is being utilized such as face-to-face/video communication among all members of the DOT team, and employees are reminded on a regular basis to submit their questions via the DOT’s website through the “Team Building Thursday” (TBT) website. DOT recognizes that effective communication can help ensure that employees want to stay with the department.
- Termination and outplacement – 86% of former employees interviewed via exit interviews indicated they would recommend to someone to go to work at the Iowa DOT. Employees who leave on good terms are much more likely to recommend the DOT, and in doing so would help attract and retain future employees.

IV. Promotion

- Qualified permanent and temporary DOT employees who apply for vacancies in permanent positions and meet screening criteria shall be interviewed for promotion, demotion or pay-grade transfers.

- Qualified permanent and temporary DOT employees who apply for vacancies shall not be screened out solely on the basis of current work location, home location or salary.
- If a selecting authority becomes aware that an applicant is an employee within his or her immediate supervision or area of responsibility, the selecting authority shall use a team that includes the selecting authority or his/her designee and at least one current employee who is outside the section/unit, office, division or area of responsibility. This external selecting team member has been filled out by the Staffing Coordinator assigned in a division or an area.
- There were 85 employee promotions for FY 2017. Twenty-six (26) or 22.9% were females and four (4) or 4.7% were minorities, inclusive of one (1) minority female (refer to Table 5B for a list of promotions).

V. Training

- Mandatory diversity training for supervisors and managers included information on recruiting for increased diversity. All employees were required to take a Valuing Diversity course.
- The DOT conducted its M.E.E.T. (**M**ake time to discuss; **E**xplore differences; **E**ncourage respect; and **T**ake personal responsibility for promoting respect in the workplace) training. This training is focused on Respect and Inclusion in the Workplace. All employees, including managers and supervisors, were required to take the course.
- The DOT continued to require new supervisors and managers to attend two diversity courses and all other new employees to attend one.
- The DOT continued to conduct two Supervisor Roundtables, one in the Fall and second in the Spring, with emphases on human resource topics and Title VI. In addition, the DOT conducted two five-day New Supervisor/Leadership Academy sessions, one in December of 2016 and one in April 2017, with emphases on human resource topics, including recruiting and hiring.
- The DOT conducted its Leadership Development Session in September 2016, which focused on performance management, leadership, and strategic planning topics (refer to Addendum A-2 - copy of the Leadership Development Session Agenda).
- Employees statewide continued to take training in different areas relevant to job duties and responsibilities (refer to Table 5C - Training Statewide for FY 2017).

VI. Publicizing the Affirmative Action Plan (AAP)

a. External publication:

- The Iowa DOT had publicized its annual AAP on the Civil Rights Program webpage on DOT's internet site as well as on its intranet upon its approval by the Federal Highway Administration (FHWA). In addition, upon the approval of the annual AAP, the Iowa DOT notifies minority groups, women's organizations, community action groups, and professional organizations that are on its current list of referrals of the availability and accessibility of the plan.
- Currently, the State of Iowa's Executive Branch Annual Affirmative Action Report is available on the Internet and can be accessed by everyone at this link: <https://das.iowa.gov/human-resources/diversity-aa-eeo>, then click on the Affirmative Action Report and Plan.

b. Internal publication:

- The Iowa DOT had publicized its annual AAP on the Civil Rights Program webpage on DOT's internet site as well as on its intranet upon its approval by the FHWA.
- An overview presentation of the EEO/AA policy at New Employee Orientation sessions scheduled throughout the year includes informing employees of the availability and accessibility of the DOT's annual AAP on the Civil Rights Program webpage on DOT's internet site as well as on its intranet.

DEPARTMENT OVERVIEW

History

The DOT has come a long way since Governor A.B. Cummins signed legislation April 13, 1904, declaring that Iowa State College at Ames (today Iowa State University) acts as a highway commission.

The organization's primary purpose in 1904 was to provide a bureau of information. The first principal work was to make a general study of the road problems in Iowa.

In July 1911, the entire highway commission staff consisted of three full-time and two part-time employees who received their salaries from Iowa State College. This arrangement prevailed until 1913. On April 9, 1913, in response to an act of the 35th Iowa General Assembly, the Iowa Highway Commission was separated from Iowa State College, becoming its own entity: a three-member "Iowa State Highway Commission."

The commission then appointed the chief engineer as the chief executive, responsible for organizational and technical details. The newly created commission was given control over all county and township road officials. The Iowa State Highway Commission continued to operate for 62 years, making significant contributions to modern highway engineering and construction and gaining a national reputation for excellence.

On July 1, 1974, the 65th Iowa General Assembly passed legislation that created the Iowa Department of Transportation (DOT). The law also placed other modal agencies including an Aeronautics Commission, under the department's responsibility to promote more orderly and effective planning and funding of programs and to achieve a more balanced transportation system. In 1974, the legislature also created the Iowa Transportation Commission consisting of seven members. The Iowa DOT and Iowa Transportation Commission remain headquartered in Ames and continue to serve the citizens of Iowa today.

Geography

Service Delivery Maps include Iowa Transportation Districts, Iowa Driver's License Issuance Sites, Location of Enforcement Scale Sites, Captain Area Map, and Investigative Unit (refer to Addendum A-3 – copies of Service Delivery Maps).

Workforce

There were two significant changes in top management personnel in 2017. The DOT director resigned in November 2016, and the Motor Vehicle division director was appointed as interim director and then as director in May 2017. A replacement for the Motor Vehicle division director vacancy was appointed in July 2017 (refer to Addendum A-3 - DOT's organizational chart).

The Administrative Office is in the city of Ames with a central administrative office for the Motor Vehicle Division in Ankeny. The DOT has a gubernatorially appointed director with six division directors reporting to him, representing the Strategic Performance Division (formerly named as Performance and Technology Division), Administrative Services

Division; (formerly named as Operations and Finance Division); Planning, Programming and Modal Division; Motor Vehicle Division; Information Technology Division; and Highway Division.

The Highway Division has employees located statewide in the Administrative Office, 6 district offices, 102 maintenance garages, and 13 resident construction offices providing consistent administration of maintenance and construction activities.

The Motor Vehicle Division has employees located statewide at the central administrative office, 17 driver's license stations and 10 interstate and 2 primary road system Motor Vehicle Enforcement scale sites.

The Strategic Performance Division; Administrative Services Division; Planning, Programming and Modal Division; and Information Technology Division predominantly have offices in the city of Ames.

The total workforce as of June 30, 2017 was 2,653 full-time employees.

SECTION 2

**RESPONSIBILITY FOR
IMPLEMENTATION**

Designation of Personnel

Iowa DOT's Organizational Charts as of January 2017 and December 2017 – refer to Addendum A-4(1) and (2) and Office of Employee Services Organizational Chart as of April 2017 and August 2017-refer to Addendum A-5(1) and (2)

The responsibility for the direction and implementation of the Iowa DOT's AA/EEO Program is assigned to the director of the Iowa DOT.

Todd Sadler, Director of the Office of Employee Services (OES), and the Civil Rights Coordinator/Team Leader, Karen Kienast, Executive Officer 2 and Internal EEO Program Coordinator, Elvie Laudencia, Executive Officer 1 under the guidance/supervision of Lee Wilkinson, Director of the Operations and Finance Division, and the direction of Paul Trombino III, the then Director of the Iowa DOT (resigned post in November 2016), and Mark Lowe, current Director of the Iowa DOT, are responsible for the following:

- developing policy statements;
- affirmative action programs;
- internal and external communication methods;
- assisting in the identification of problem areas;
- assisting line management in arriving at solutions to problems;
- designing and implementing audit and reporting systems;
- serving as liaison between the Iowa DOT and enforcement agencies;
- serving as liaison between the Iowa DOT and minority, female, and community-based organizations concerned with employment opportunities of minorities and females; and
- keeping management informed of the latest developments in the EEO area.

The administration of the day-to-day functions of the DOT's AA/EEO Program rests with Elvie Laudencia, Affirmative Action/EEO Officer, as it relates to hiring practices.

Ms. Laudencia reviews and approves all hiring decision justifications submitted by selecting authorities prior to job offers to ensure hiring decisions adhere to all departmental policies, federal and state laws and to assure that equal opportunity is given to all applicants.

Ms. Laudencia's responsibilities are: developing an Internal AA/EEO Plan (AAP) which includes compiling, consolidating, preparing and writing the AAP report for review by the appropriate level of management, publicizing its content internally and externally, assisting managers and supervisors in collecting employment data, setting goals and timetables and developing programs to achieve goals, and coordinating with the Iowa DOT's statistician, Dr. Dave Putz, for the analysis of employment data and in identifying problem areas; responding to inquiries from applicants, employees and managers/supervisors regarding AA/EEO issues; conducting discrimination and harassment investigations of complaints filed internally and writing summary reports of findings, conclusions, and providing recommendations to management; investigating, researching, compiling documentation, and writing responses to external compliance agencies such as the Iowa Civil Rights Commission and the Equal Employment Opportunity Commission on discrimination complaints filed by

employees or applicants and external customers; and assisting in the design, implementation and monitoring of internal audit and reporting systems to measure program effectiveness and to determine where progress has been made and where further action is needed.

Ms. Laudencia is involved in reasonable accommodations consultations related to the interactive process that occurs between a supervisor/manager and an employee or applicant requesting a reasonable accommodation.

SECTION 3

SURVEY OF LABOR MARKET AREA BY POPULATION MAKEUP AND EMPLOYMENT BY ETHNIC GROUP AND GENDER

IOWA DEPARTMENT OF TRANSPORTATION

RECAP OF UTILIZATION FOR FY 16 AND FY 17

TABLE 1

DOT Workforce - Comparison to 2010 Statewide EEO-1 Census and American Community Survey (ACS) Total Labor Force Data														
EEO Category	FY 16						FY 17							
	TOTAL EEs	MIN EEs	%	MIN EEs	FEM EEs	%	TOTAL EEs	MIN EEs	%	MIN EEs	FEM EEs	%		
01 Officials/Admin	293	8	2.73%	5	1.71%	105	35.84%	279	8	2.87%	5	1.79%	100	35.84%
02 Professionals	433	23	5.31%	10	2.31%	110	25.40%	421	25	5.94%	9	2.14%	110	26.13%
03 Technicians	228	11	4.82%	0	0.00%	40	17.54%	218	10	4.59%	0	0.00%	37	16.97%
04 Protective Services: Sworn	113	4	3.54%	0	0.00%	10	8.85%	106	4	3.77%	0	0.00%	8	7.55%
05 Para Professionals	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
06 Admin Support	353	5	1.42%	13	3.68%	301	85.27%	330	7	2.12%	11	3.33%	279	84.55%
07 Skilled Craft	1272	46	3.62%	1	0.08%	27	2.12%	1207	43	3.56%	1	0.08%	21	1.74%
08 Service/Maint	93	4	4.30%	0	0.00%	22	23.66%	92	4	4.35%	0	0.00%	20	21.74%
Total	2785	101	3.63%	29	1.04%	615	22.08%	2653	101	3.81%	26	0.98%	575	21.67%

2010 Census and ACS Statewide Availability % by EEO Category																		
EEO Category	TOTAL, RACE, BOTH SEXES			TOTAL MALE			MALE- WHITE ALONE			TOTAL FEMALE			FEMALE- WHITE ALONE			UNDESIG-NATED BALANCE OF		
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	
01 Officials/Admin	100%	123,505	63%	118,735	60.5%	4,770	2.43%	72,615	37%	69,050	35.2%	3,565	1.82%	150	0.1%			
02 Professionals	100%	108,670	40.6%	98,335	36.7%	10,335	3.86%	158,910	59.4%	149,235	55.8%	9,675	3.62%	600	0.2%			
03 Technicians	100%	17,740	39.7%	16,135	36.1%	1,605	3.59%	26,975	60.3%	25,375	56.7%	1,600	3.58%	25	0.1%			
04 Protective Services: Sworn	100%	14,905	82.3%	13,915	76.8%	990	5.47%	3,205	17.7%	2,855	15.8%	350	1.93%	30	0.2%			
05 Para Professionals	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA			
06 Admin Support	100%	141,440	33.9%	131,430	31.5%	10,010	2.40%	275,990	66.1%	257,980	61.8%	18,010	4.31%	655	0.2%			
07 Skilled Craft	100%	135,540	93.6%	126,470	87.3%	9,070	6.26%	9,290	6.4%	8,435	5.8%	855	0.59%	180	0.1%			
08 Service/Maint	100%	311,835	57.8%	269,445	50.0%	42,390	7.86%	227,210	42.2%	198,325	36.8%	28,885	5.36%	1,125	0.2%			

EEO Category	Iowa DOT FY 17 Employee % by EEO Category		2010 Census/ACS Availability % (SUMMARY TOTAL)		Underutilization = DOT % - Census/ACS Availability%	
	MIN %	FEM %	MIN %	FEM %	MIN %	FEM %
01 Officials/Admin	4.66%	37.63%	4.25%	37.03%	0.41%	0.61%
02 Professionals	8.08%	28.27%	7.48%	59.39%	0.60%	-31.12%
03 Technicians	4.59%	16.97%	7.17%	60.33%	-2.58%	-43.35%
04 Protective Services: Sworn	3.77%	7.55%	7.40%	17.70%	-3.63%	-10.15%
05 Para Professionals	NA	NA	NA	NA	NA	NA
06 Admin Support	5.45%	87.88%	6.71%	66.12%	-1.26%	21.76%
07 Skilled Craft	3.65%	1.82%	6.85%	6.41%	-3.21%	-4.59%
08 Service/Maint	4.35%	21.74%	13.22%	42.15%	-8.87%	-20.41%

SECTION 4

ANALYSIS OF PRESENT WORKFORCE

*** TABLE 2 - WORKFORCE ANALYSIS - EEO-4 EMPLOYMENT DATA

JOB CATEGORIES	ANNUAL SALARY (In thousands 000)	TOTAL (COLUMNS B-K)	MALE			FEMALE							
			WHITE ORIGIN	BLACK ORIGIN	HISPANIC	WHITE ORIGIN	BLACK ORIGIN	HISPANIC					
			A	B	C	D	E	F	G	H	I	J	K
OFFICIALS AND ADMINISTRATOR	1. \$0.1-15.9	0	0	0	0	0	0	0	0	0	0	0	0
	2. 16.0-19.9	0	0	0	0	0	0	0	0	0	0	0	0
	3. 20.0-24.9	0	0	0	0	0	0	0	0	0	0	0	0
	4. 25.0-32.9	0	0	0	0	0	0	0	0	0	0	0	0
	5. 33.0-42.9	0	0	0	0	0	0	0	0	0	0	0	0
	6. 43.0-54.9	16	10	0	0	0	0	0	6	0	0	0	0
	7. 55.0-69.9	41	19	0	1	0	1	0	19	2	0	0	0
	8. 70.0- PLUS	222	137	4	1	1	1	1	75	0	2	1	1
TOTAL		279	166	4	4	2	1	1	100	2	0	2	1
PROFESSIONALS	9. \$0.1-15.9	0	0	0	0	0	0	0	0	0	0	0	0
	10. 16.0-19.9	0	0	0	0	0	0	0	0	0	0	0	0
	11. 20.0-24.9	0	0	0	0	0	0	0	0	0	0	0	0
	12. 25.0-32.9	0	0	0	0	0	0	0	0	0	0	0	0
	13. 33.0-42.9	1	1	0	0	0	0	0	0	0	0	0	0
	14. 43.0-54.9	35	23	1	2	0	2	0	7	0	0	0	0
	15. 55.0-69.9	78	35	0	4	0	4	0	38	0	0	0	1
	16. 70.0- PLUS	306	218	1	3	1	3	1	65	0	3	0	5
TOTAL		420	277	2	2	9	12	1	110	0	3	6	0
TECHNICIANS	17. \$0.1-15.9	0	0	0	0	0	0	0	0	0	0	0	0
	18. 16.0-19.9	0	0	0	0	0	0	0	0	0	0	0	0
	19. 20.0-24.9	0	0	0	0	0	0	0	0	0	0	0	0
	20. 25.0-32.9	0	0	0	0	0	0	0	0	0	0	0	0
	21. 33.0-42.9	2	2	0	0	0	0	0	0	0	0	0	0
	22. 43.0-54.9	13	7	1	0	0	0	0	5	0	0	0	0
	23. 55.0-69.9	91	73	4	0	0	0	2	11	0	0	0	0
	24. 70.0- PLUS	112	89	1	0	1	0	1	21	0	0	0	0
TOTAL		218	171	6	0	0	2	37	0	0	0	0	
PROTECTIVE SERVICE	25. \$0.1-15.9	0	0	0	0	0	0	0	0	0	0	0	0
	26. 16.0-19.9	0	0	0	0	0	0	0	0	0	0	0	0
	27. 20.0-24.9	0	0	0	0	0	0	0	0	0	0	0	0
	28. 25.0-32.9	0	0	0	0	0	0	0	0	0	0	0	0
	29. 33.0-42.9	0	0	0	0	0	0	0	0	0	0	0	0
	30. 43.0-54.9	19	18	0	1	0	1	0	0	0	0	0	0
	31. 55.0-69.9	47	40	0	1	0	1	0	6	0	0	0	0
	32. 70.0- PLUS	40	36	1	0	0	0	1	2	0	0	0	0
TOTAL		106	94	1	2	0	0	1	8	0	0	0	
PARA- PROFESSIONAL	33. \$0.1-15.9	0	0	0	0	0	0	0	0	0	0	0	0
	34. 16.0-19.9	0	0	0	0	0	0	0	0	0	0	0	0

JOB CATEGORIES	ANNUAL SALARY (In thousands 000)	TOTAL (COLUMNS B-K)	NON-HISPANIC			MALE			FEMALE			
			ORIGIN		HISPANIC		ASIAN OR PACIFIC ISLANDER		HISPANIC		ASIAN OR PACIFIC ISLANDER	
			WHITE	BLACK	WHITE	BLACK	WHITE	BLACK	WHITE	BLACK	WHITE	BLACK
A	B	C	D	E	F	G	H	I	J	K		
	35. 20.0-24.9	0	0	0	0	0	0	0	0	0	0	
	36. 25.0-32.9	0	0	0	0	0	0	0	0	0	0	
	37. 33.0-42.9	0	0	0	0	0	0	0	0	0	0	
	38. 43.0-54.9	0	0	0	0	0	0	0	0	0	0	
	39. 55.0-69.9	0	0	0	0	0	0	0	0	0	0	
	40. 70.0- PLUS	0	0	0	0	0	0	0	0	0	0	
TOTAL		0	0	0	0	0	0	0	0	0	0	
ADMINISTRATIVE SUPPORT	41. \$0.1-15.9	0	0	0	0	0	0	0	0	0	0	
	42. 16.0-19.9	0	0	0	0	0	0	0	0	0	0	
	43. 20.0-24.9	0	0	0	0	0	0	0	0	0	0	
	44. 25.0-32.9	1	0	0	0	0	0	0	0	0	0	
	45. 33.0-42.9	64	8	2	1	0	0	0	1	0	0	
	46. 43.0-54.9	195	19	3	0	0	0	0	0	3	1	
	47. 55.0-69.9	70	6	0	0	0	0	0	0	0	0	
	48. 70.0- PLUS	0	0	0	0	0	0	0	0	0	0	
TOTAL		330	33	5	1	0	0	0	1	3	2	
SKILLED CRAFT	49. \$0.1-15.9	0	0	0	0	0	0	0	0	0	0	
	50. 16.0-19.9	0	0	0	0	0	0	0	0	0	0	
	51. 20.0-24.9	0	0	0	0	0	0	0	0	0	0	
	52. 25.0-32.9	1	1	0	0	0	0	0	0	0	0	
	53. 33.0-42.9	154	149	0	3	0	0	0	0	0	0	
	54. 43.0-54.9	584	559	7	3	0	0	0	0	0	0	
	55. 55.0-69.9	400	373	3	1	3	0	0	0	0	1	
	56. 70.0- PLUS	67	60	1	0	0	0	0	0	0	0	
TOTAL		1206	1142	11	7	3	0	0	0	0	1	
SERVICE MAINTENANCE	57. \$0.1-15.9	0	0	0	0	0	0	0	0	0	0	
	58. 16.0-19.9	0	0	0	0	0	0	0	0	0	0	
	59. 20.0-24.9	0	0	0	0	0	0	0	0	0	0	
	60. 25.0-32.9	3	1	0	0	0	0	0	0	0	0	
	61. 33.0-42.9	7	4	1	0	0	0	0	0	0	0	
	62. 43.0-54.9	16	10	0	0	0	0	0	0	0	0	
	63. 55.0-69.9	64	51	0	0	0	0	0	0	0	0	
	64. 70.0- PLUS	2	2	0	0	0	0	0	0	0	0	
TOTAL		92	68	1	0	0	0	0	0	0	0	
65. TOTAL FULL TIME (LINES 1-64)		2651	1951	30	21	20	28	575	7	11	4	
2. OTHER THAN FULL-TIME EMPLOYEES (Including temporary employees)		0	0	0	0	0	0	0	0	0	0	
66. OFFICIALS/ADMIN		0	0	0	0	0	0	0	0	0	0	
67. PROFESSIONALS		70	45	1	3	9	0	11	0	1	0	
68. TECHNICIANS		0	0	0	0	0	0	0	0	0	0	
69. PROTECTIVE SERVICE		0	0	0	0	0	0	0	0	0	0	

JOB CATEGORIES	ANNUAL SALARY (In thousands 000)	TOTAL (COLUMNS B-K)	MALE				FEMALE				
			NON- HISPANIC ORIGIN		ASIAN OR AMERICAN PACIFIC ISLANDER OR ALASKAN NATIVE		NON- HISPANIC ORIGIN		ASIAN OR AMERICAN PACIFIC ISLANDER OR ALASKAN NATIVE		
			WHITE	BLACK	WHITE	BLACK	WHITE	BLACK	WHITE	BLACK	
A	B	C	D	E	F	G	H	I	J	K	
70. PARA-PROFESSIONAL		0	0	0	0	0	0	0	0	0	0
71. ADMIN. SUPPORT		57	29	1	4	1	0	21	0	0	1
72. SKILLED CRAFT		0	0	0	0	0	0	0	0	0	0
73. SERVICE/MAINTENANCE		572	541	3	5	2	2	18	1	0	0
74. TOTAL OTHER THAN FULL TIME (Lines 66-73)		699	615	5	12	12	2	50	1	0	2
3. NEW HIRES DURING FISCAL YEAR (Permanent full time only)											
75. OFFICIALS/ADMIN		12	6	0	0	0	0	6	0	0	0
76. PROFESSIONALS		26	11	0	1	3	0	9	1	0	1
77. TECHNICIANS		2	2	0	0	0	0	0	0	0	0
78. PROTECTIVE SERVICE		2	2	0	0	0	0	0	0	0	0
79. PARA-PROFESSIONAL		0	0	0	0	0	0	0	0	0	0
80. ADMIN. SUPPORT		13	4	1	1	0	0	7	0	0	0
81. SKILLED CRAFT		35	35	0	0	0	0	0	0	0	0
82. SERVICE/MAINTENANCE		2	2	0	0	0	0	0	0	0	0
83. TOTAL NEW HIRES(Lines 75-82)		92	62	1	2	3	0	22	1	0	1

NOTE: ***TABLE 2 - EEO-4 BIENNIAL REPORT Fiscal Year 2017 submitted to FHWA 09042017

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2017

TABLE 4A - DIVISION/OFFICE: DIRECTOR'S OFFICE

JOB CATEGORIES (COL. B-O)	MALE										FEMALE																														
	TOTAL A	NON- HISP. ORIG. WHITE B	ASIAN C	BLACK D	AMER. INDIAN OR ALASKAN NATIVE E	HISPANIC/ LATINO F	HAW/ PAC. IS. G	TWO+ RACES H	NON- HISP. ORIG. WHITE I	BLACK J	ASIAN K	AMER. INDIAN OR ALASKAN NATIVE L	HISPANIC/ LATINO M	HAW/ PAC. IS. N	TWO+ RACES O																										
OFFICIALS AND ADMIN.	2	1	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%														
PROFESSIONALS	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PROTECTIVE SERVICE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A			
ADMINISTRATIVE SUPPORT	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
SKILLED CRAFT	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
SERVICE MAINTENANCE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
TOTAL FULL TIME	2	1	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2017			
	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/WHITE	2	1	50.0%
BLACK	0	0	0.0%
ASIAN	0	0	0.0%
AMER.INDIAN OR ALASKAN	0	0	0.0%
HISPANIC LATINO	0	0	0.0%
HAWAIIAN - PAC. ISLANDER	0	0	0.0%
TWO PLUS RACE	0	0	0.0%
TOTAL	2	1	50.0%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2017

TABLE 4B - DIVISION/OFFICE: GENERAL COUNSEL

JOB CATEGORIES (COL. B-O)	MALE										FEMALE												
	TOTAL	NON-HISP. ORIG. WHITE	BLACK	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/LATINO	HAW./PAC. IS.	TWO+ RACES	NON-HISP. ORIG. WHITE	BLACK	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/LATINO	HAW./PAC. IS.	TWO+ RACES	NON-HISP. ORIG. WHITE	BLACK	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/LATINO	HAW./PAC. IS.	TWO+ RACES	
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X
OFFICIALS AND ADMIN.	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	1	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	100%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	1	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	100%	0	0.0%	0	0.0%	0	0.0%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2017			
	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/WHITE	1	1	100.0%
BLACK	0	0	0.0%
ASIAN	0	0	0.0%
AMER. INDIAN OR ALASKAN	0	0	0.0%
HISPANIC/LATINO	0	0	0.0%
HAWAIIAN - PAC. ISLANDER	0	0	0.0%
TWO PLUS RACE	0	0	0.0%
TOTAL	1	1	100.0%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2017

TABLE 4C - DIVISION/OFFICE: HIGHWAY

JOB CATEGORIES (COL. B-O)	MALE										FEMALE																						
	TOTAL	NON-HISP. ORIG. WHITE	A	B	BLACK	C	D	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	E	F	HISPANIC/LATINO	G	HAW/ PAC. IS.	H	TWO+ RACES	I	NON-HISP. ORIG. WHITE	J	BLACK	K	ASIAN	L	AMER. INDIAN OR ALASKAN NATIVE	M	HISPANIC/LATINO	N	HAW/ PAC. IS.	O	TWO+ RACES			
OFFICIALS AND ADMIN.	161	120	74.5%	2	1.2%	0	0.0%	1	0.6%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	37	23.0%	0	0.0%	0	0.0%	1	0.6%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	212	158	74.5%	0	0.0%	11	5.2%	0	0.0%	3	1.4%	1	0.5%	0	0.0%	0	0.0%	35	16.5%	0	0.0%	3	1.4%	0	0.0%	1	0.5%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	205	162	79.0%	6	2.9%	2	1.0%	2	1.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	33	16.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	58	0	0.0%	1	1.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	53	91.4%	1	1.7%	2	3.4%	1	1.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	1179	1116	94.7%	11	0.9%	3	0.3%	21	1.8%	7	0.6%	0	0.0%	0	0.0%	1	0.1%	19	1.6%	0	0.0%	0	0.0%	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE	69	55	79.7%	0	0.0%	0	0.0%	1	1.4%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	13	18.8%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	1884	1611	85.5%	20	1.1%	16	0.8%	25	1.3%	10	0.5%	1	0.1%	1	0.1%	1	0.1%	190	10%	1	0.1%	5	0.3%	3	0.2%	1	0.1%	0	0.0%	0	0.0%	0	0.0%

	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/WHITE	1801	1611	100%
BLACK	21	20	100%
ASIAN	21	16	100%
AMER INDIAN OR ALASKAN	28	25	100%
HISPANIC LATINO	11	10	100%
HAWAIIAN - PAC. ISLANDER	1	1	100%
TWO PLUS RACE	1	1	100%
TOTAL	1884	1684	100%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2017

TABLE 4D - DIVISION/OFFICE: MOTOR VEHICLE

JOB CATEGORIES (COL. B-O)	MALE										FEMALE												
	TOTAL	NON-HISP. ORIG. WHITE	BLACK	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/LATINO	HAW/ PAC. IS.	TWO+ RACES	NON-HISP. ORIG. WHITE	BLACK	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/LATINO	HAW/ PAC. IS.	TWO+ RACES								
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O									
OFFICIALS AND ADMIN.	31	11	35.5%	0	0.0%	1	3.2%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PROFESSIONALS	20	7	35.0%	0	0.0%	1	5.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
TECHNICIANS	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PROTECTIVE SERVICE	106	94	88.7%	1	0.9%	2	1.9%	0	0.0%	0	0.0%	8	7.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A		
ADMINISTRATIVE SUPPORT	229	23	10.0%	4	1.7%	1	0.4%	0	0.0%	1	0.4%	0	0.0%	0	0.0%	194	84.7%	4	1.7%	1	0.4%		
SKILLED CRAFT	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
SERVICE MAINTENANCE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
TOTAL FULL TIME	386	135	35.0%	5	1.3%	2	0.5%	1	0.3%	4	1.0%	0	0.0%	0	0.0%	232	60%	5	1.3%	1	0.3%	1	0.3%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2017			
	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/WHITE	367	232	63.2%
BLACK	10	5	50.0%
ASIAN	3	2	66.7%
AMER INDIAN OR ALASKAN	1	1	100.0%
HISPANIC/LATINO	5	4	80.0%
HAWAIIAN - PAC. ISLANDER	0	0	0.0%
TWO PLUS RACE	0	0	0.0%
TOTAL	386	239	61.9%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2017

TABLE 4E - DIVISION/OFFICE: ADMINISTRATIVE SERVICES (formerly OPERATIONS & FINANCE)

JOB CATEGORIES	MALE				FEMALE																										
	TOTAL (COL. B-O)	NON- HISP. ORIG. WHITE	BLACK	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/ LATINO	HAW/ PAC. IS.	TWO+ RACES	NON- HISP. ORIG. WHITE	BLACK	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/ LATINO	HAW/ PAC. IS.	TWO+ RACES																
	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O																
OFFICIALS AND ADMIN.	50	16	32.0%	2	4.0%	0	0.0%	0	0.0%	27	54.0%	1	2.0%	2	4.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%				
PROFESSIONALS	25	10	40.0%	1	4.0%	0	0.0%	0	0.0%	14	56.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
TECHNICIANS	3	1	33.3%	0	0.0%	0	0.0%	0	0.0%	2	66.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PROTECTIVE SERVICE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
ADMINISTRATIVE SUPPORT	31	10	32.3%	0	0.0%	0	0.0%	0	0.0%	20	64.5%	0	0.0%	0	0.0%	0	0.0%	1	3.2%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	14	13	92.9%	0	0.0%	0	0.0%	0	0.0%	1	7.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE	21	11	52.4%	1	4.8%	1	4.8%	1	4.8%	7	33.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	144	61	42.4%	4	2.8%	1	0.7%	1	0.7%	71	49%	1	0.7%	2	1.4%	1	0.7%	0	0.0%	0	0.0%	2	1.4%	1	0.7%	0	0.0%	0	0.0%	0	0.0%

	SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2017	
	TOTAL MALE	FEMALE
NON-HISPA. ORIGIN/WHITE	132	71
BLACK	5	1
ASIAN	3	2
AMER.INDIAN OR ALASKAN	2	1
HISPANIC/LATINO	2	0
HAWAIIAN - PAC. ISLANDER	0	0
TWO PLUS RACE	0	0
TOTAL	144	75

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2017

TABLE 4F - DIVISION/OFFICE: PLANNING, PROGRAMMING AND MODAL

JOB CATEGORIES (COL. B-O)	MALE						FEMALE								
	TOTAL A	NON- HISP. ORIG. WHITE B	BLACK C	ASIAN D	AMER. INDIAN OR ALASKAN NATIVE E	HISPANIC/ LATINO F	HAW/ PAC. IS. G	TWO+ RACES H	NON- HISP. ORIG. WHITE I	BLACK J	ASIAN K	AMER. INDIAN OR ALASKAN NATIVE L	HISPANIC/ LATINO M	HAW/ PAC. IS. N	TWO+ RACES O
OFFICIALS AND ADMIN.	14	6	42.9%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	43	27	62.8%	0	0.0%	1	2.3%	2	4.7%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	9	7	78%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	5	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE	2	2	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	73	42	57.5%	0	0.0%	1	1.4%	2	2.7%	0	0.0%	0	0.0%	0	0.0%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2017

	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/WHITE	68	42	61.8%
BLACK	0	0	0.0%
ASIAN	1	0	0.0%
AMER.INDIAN OR ALASKAN	1	1	100.0%
HISPANIC LATINO	3	2	66.7%
HAWAIIAN - PAC. ISLANDER	0	0	0.0%
TWO PLUS RACE	0	0	0.0%
TOTAL	73	45	61.6%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2017

TABLE 4G - DIVISION/OFFICE: INFORMATION TECHNOLOGY

JOB CATEGORIES	MALE										FEMALE																										
	TOTAL (COL. B-O)	NON-HISP. WHITE	A	B	57.1%	0	0.0%	0	0.0%	0	0.0%	ASIAN	D	C	BLACK	HISPANIC/LATINO	F	G	HAW/ PAC. IS.	H	I	NON-HISP. WHITE	BLACK	J	ASIAN	K	AMER. INDIAN OR ALASKAN NATIVE	L	HISPANIC/LATINO	M	N	HAW/ PAC. IS.	TWO+ RACES	O	0.0%		
OFFICIALS AND ADMIN.	14	8	57.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	6	42.9%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	96	62	64.6%	1	1.0%	0	0.0%	2	2.1%	0	0.0%	0	0.0%	0	0.0%	2	2.1%	0	0.0%	0	0.0%	28	29.2%	0	0.0%	2	2.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	1	1	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
ADMINISTRATIVE SUPPORT	5	5	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT SERVICE	14	13	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
MAINTENANCE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	130	89	68.5%	1	0.8%	1	0.8%	0	0.0%	2	1.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	35	27%	0	0.0%	2	1.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2017			
	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/WHITE	124	89	71.8%
BLACK	1	1	100%
ASIAN	3	1	33.3%
AMER INDIAN OR ALASKAN	0	0	0.0%
HISPANIC LATINO	2	2	100%
HAWAIIAN - PAC. ISLANDER	0	0	0.0%
TWO PLUS RACE	0	0	0.0%
TOTAL	130	89	68.5%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2017

TABLE 4H - DIVISION/OFFICE: STRATEGIC PERFORMANCE

JOB CATEGORIES (COL. B-O)	MALE										FEMALE																																					
	TOTAL A	NON- HISP. ORIG. WHITE B	ASIAN C	BLACK D	HISPANIC/ LATINO E	HAWAII/ PAC. IS. F	TWO+ RACES G	NON- HISP. ORIG. WHITE H	BLACK I	ASIAN J	AMER. INDIAN OR ALASKAN NATIVE K	HISPANIC/ LATINO L	HAWAII/ PAC. IS. M	TWO+ RACES N	TOTAL O	NON- HISP. ORIG. WHITE P	ASIAN Q	AMER. INDIAN OR ALASKAN NATIVE R	HISPANIC/ LATINO S	HAWAII/ PAC. IS. T	TWO+ RACES U	TOTAL V																										
OFFICIALS AND ADMIN.	7	4	57.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%			
PROFESSIONALS	25	13	52.0%	0	0.0%	0	0.0%	1	4.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	10	40.0%	0	0.0%	1	4.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
TECHNICIANS	0	0	0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
PROTECTIVE SERVICE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	1	0	0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
SKILLED CRAFT	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
SERVICE MAINTENANCE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
TOTAL FULL TIME	33	17	51.5%	0	0.0%	0	0.0%	1	3.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	14	42%	0	0.0%	1	3.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2017			
	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/WHITE	31	17	45.2%
BLACK	0	0	0.0%
ASIAN	0	0	0.0%
AMER.INDIAN OR ALASKAN	0	0	0.0%
HISPANIC LATINO	2	1	50.0%
HAWAIIAN - PAC. ISLANDER	0	0	0.0%
TWO PLUS RACE	0	0	0.0%
TOTAL	33	18	54.5%

SUMMARY OF WORKFORCE BY DIVISION/OFFICE

**EMPLOYMENT DATA AS OF JUNE 30, 2017
TABLE 4I**

DIVISION/OFFICE	TOTAL	MALE	%	FEMALE	%
DIRECTOR'S OFFICE	2	1	50.0%	1	50.0%
GENERAL COUNSEL	1	0	0.0%	1	100.0%
HIGHWAY DIVISION	1884	1684	89.4%	200	10.6%
MOTOR VEHICLE DIVISION	386	147	38.1%	239	61.9%
ADMINISTRATIVE SERVICES DIVISION (formerly OPERATIONS & FINANCE DIVISION)	144	69	47.9%	75	52.1%
PLANNING, PROGRAMMING AND MODAL DIVISION	73	45	61.6%	28	38.4%
INFORMATION TECHNOLOGY DIVISION	130	93	71.5%	37	28.5%
STRATEGIC PERFORMANCE DIVISION	33	18	54.5%	15	45.5%
TOTAL	2653	2057	77.5%	596	22.47%

PERSONNEL ACTIVITIES

TABLE 5A - NEW HIRES AGENCY-WIDE - FY 2017 end JUNE 30, 2017

JOB CATEGORIES (COL. B-O)	MALE										FEMALE									
	TOTAL A	NON- HISP. ORIG. WHITE B	ASIAN D	BLACK C	N/A	N/A	N/A	AMER. INDIAN OR ALASKAN NATIVE E	HISPANIC/L ATINO F	HAW./ PAC. IS. G	TWO+ RACES H	NON- HISP. ORIG. WHITE I	BLACK J	ASIAN K	AMER. INDIAN OR ALASKAN NATIVE L	HISPANIC/L ATINO M	HAW./ PAC. IS. N	TWO+ RACES O		
OFFICIALS AND ADMIN.	10	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PROFESSIONALS	26	38.5%	0	0.0%	2	7.7%	0	0.0%	1	3.8%	1	3.8%	1	3.8%	0	0.0%	0	0.0%		
TECHNICIANS	2	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PROTECTIVE SERVICE	2	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A		
ADMINISTRATIVE SUPPORT	13	23.1%	1	7.7%	0	0.0%	0	0.0%	1	7.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
SKILLED CRAFT	35	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
SERVICE MAINTENANCE	2	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
TOTAL FULL TIME	90	65.6%	1	1.1%	2	2.2%	0	0.0%	2	2.2%	1	1.1%	1	1.1%	0	0.0%	0	0.0%		

SUMMARY OF NEW HIRES - JUNE 30, 2017

TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/ WHITE	21	26.3%
BLACK	1	50.0%
ASIAN	1	33.3%
AMER INDIAN OR ALASKAN	0	0.0%
HISPANIC LATINO	0	100.0%
HAWAIIAN - PAC. ISLANDER	0	0.0%
TWO PLUS RACES	1	50.0%
***TOTAL	24	22.9%

Note: *** This Employment data slightly differs from the EEO 4 FY 2017 snapshot of Total New Hires (see Table 2). The 2 reports were generated with the same timeframe parameters but with different categories and data may get lost because divisions change, as do cost centers.

PERSONNEL ACTIVITIES

TABLE 5B - PROMOTIONS AGENCY-WIDE - FY 2017 and JUNE 30, 2017

JOB CATEGORIES (COL. B-O)	MALE										FEMALE										
	TOTAL A	NON- HISP. ORIG. WHITE B	ASIAN D	AMER. INDIAN OR ALASKAN NATIVE E	HISPANIC/L ATINO F	HAW./ PAC. IS. G	TWO+ RACES H	NON- HISP. ORIG. WHITE I	BLACK J	ASIAN K	AMER. INDIAN OR ALASKAN NATIVE L	HISPANIC/L ATINO M	HAW./ PAC. IS. N	TWO+ RACES							
OFFICIALS AND ADMIN.	9	55.6%	0	0.0%	0	0.0%	0	0.0%	4	44.4%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
PROFESSIONALS	22	27.3%	0	0.0%	0	0.0%	1	4.5%	14	63.6%	0	0.0%	1	4.5%	0	0.0%	0	0.0%	0	0.0%	
TECHNICIANS	14	86%	0	0.0%	1	7.1%	0	0.0%	1	7.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
PROTECTIVE SERVICE	7	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
ADMINISTRATIVE SUPPORT	7	0	0.0%	1	14%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	6	85.7%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT SERVICE	26	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
MAINTENANCE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	85	56	65.9%	1	1.2%	1	1.2%	0	0.0%	1	1.2%	0	0.0%	25	29.4%	0	0.0%	1	1.2%	0	0.0%

SUMMARY OF PROMOTIONS - JUNE 30, 2017

	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/ WHITE	81	25	30.9%
BLACK	1	0	0.0%
ASIAN	2	1	50.0%
AMER INDIAN OR ALASKAN	0	0	0.0%
HISPANIC LATINO	1	0	100%
HAWAIIAN - PAC. ISLANDER	0	0	0.0%
TWO PLUS RACES	0	0	0.0%
TOTAL	85	59	77.1%
		26	22.9%
			100%

PERSONNEL ACTIVITIES

TABLE 5C - TRAINING AGENCY-WIDE - FY 2017 end JUNE 30, 2017

JOB CATEGORIES (COL. B-O)	MALE							FEMALE									
	TOTAL NON- HISP. ORIG. WHITE	A	B	C	D	E	F	HAW./ PAC. IS.	TWO+ RACES	NON- HISP. ORIG. WHITE	BLACK J	ASIAN K	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/L ATINO	HAW./ PAC. IS.	TWO+ RACES	
OFFICIALS AND ADMIN.	958	592	61.8%	7	0.7%	2	0.2%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	1376	841	61.1%	3	0.2%	54	3.9%	0	0.0%	11	0.8%	18	1.3%	401	29.1%	28	2.0%
TECHNICIANS	907	725	80%	20	2.2%	3	0.3%	11	1.2%	0	0.0%	0	0.0%	148	16.3%	0	0.0%
PROTECTIVE SERVICE	554	517	93%	1	0.2%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	36	6.5%	0	0.0%
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	980	174	17.8%	43	4%	1	0.1%	0	0.0%	22	2.2%	0	0.0%	673	68.7%	13	1.3%
SKILLED CRAFT	7234	6876	95%	41	0.6%	16	0.2%	73	1.0%	48	0.7%	3	0.0%	160	2.2%	0	0.0%
SERVICE MAINTENANCE	556	479	86%	1	0.2%	0	0.0%	6	1.1%	0	0.0%	0	0.0%	70	12.6%	0	0.0%
TOTAL FULL TIME	12565	10204	81.2%	116	0.9%	76	0.6%	90	0.7%	81	0.6%	21	0.2%	1827	14.5%	46	0.4%

SUMMARY OF TRAINING - JUNE 30, 2017

	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/ WHITE	12031	10204	100%
BLACK	162	116	100%
ASIAN	131	76	100%
AMER INDIAN OR ALASKAN	112	90	0%
HISPANIC LATINO	100	81	100%
HAWAIIAN - PAC. ISLANDER	0	0	0%
TWO PLUS RACES	29	21	0%
*** TOTAL	12565	10588	100%

NOTE: *** Total count is based on the number of training courses taken during the fiscal year, and sorted by job category, gender, and race/ethnicity

PERSONNEL ACTIVITIES

TABLE 5D - TERMINATIONS AGENCY-WIDE - FY 2017 end JUNE 30, 2017

JOB CATEGORIES (COL. B-O)	MALE					FEMALE																					
	TOTAL NON- HISP. ORIG. WHITE	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/L ATINO	HAW/ PAC. IS.	TWO+ RACES	NON- HISP. ORIG. WHITE	BLACK	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/L ATINO	HAW/ PAC. IS.	TWO+ RACES														
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O													
OFFICIALS AND ADMIN.	17	7	41.2%	0	0.0%	0	0.0%	1	5.9%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PROFESSIONALS	24	15	62.5%	0	0.0%	1	4.2%	0	4.2%	1	4.2%	0	0.0%	0	0.0%	6	25.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	19	15	79%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	4	21.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	7	7	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	29	3	10.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	25	86.2%	1	3.4%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	69	64	93%	0	0.0%	0	0.0%	1	1.4%	0	0.0%	0	0.0%	0	0.0%	4	5.8%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE	17	12	71%	0	0.0%	1	5.9%	1	5.9%	1	5.9%	0	0.0%	0	0.0%	2	11.8%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	182	123	67.6%	0	0.0%	2	1.1%	2	1.1%	3	1.6%	1	0.5%	0	0.0%	50	27.5%	1	0.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

SUMMARY OF TERMINATIONS - JUNE 30, 2017						
TOTAL MALE	FEMALE	TOTAL %				
NON-HISPA. ORIGIN/ WHITE	173	123	71.1%	50	28.9%	100%
BLACK	1	0	0.0%	1	100.0%	100%
ASIAN	2	2	100%	0	0.0%	100%
AMER INDIAN OR ALASKAN	2	2	100%	0	0.0%	100%
HISPANIC LATINO	3	3	100%	0	0.0%	100%
HAWAIIAN - PAC. ISLANDER	1	1	100%	0	0.0%	100%
TWO PLUS RACES	0	0	0.0%	0	0.0%	0%
TOTAL	182	131	77.1%	51	22.9%	100%

PERSONNEL ACTIVITIES

TABLE 5E - DEMOTIONS AGENCY-WIDE - FY 2017 end JUNE 30, 2017

JOB CATEGORIES (COL. B-O)	MALE					FEMALE									
	TOTAL A	NON- HISP. ORIG. WHITE B	BLACK C	ASIAN D	AMER. INDIAN OR ALASKAN NATIVE E	HISPANIC/L ATINO F	HAW./ PAC. IS. G	TWO+ RACES H	NON- HISP. ORIG. WHITE I	BLACK J	ASIAN K	AMER. INDIAN OR ALASKAN NATIVE L	HISPANIC/L ATINO M	HAW./ PAC. IS. N	TWO+ RACES O
OFFICIALS AND ADMIN.	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PROFESSIONALS	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0
TECHNICIANS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PROTECTIVE SERVICE	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SKILLED CRAFT SERVICE	5	5	0	0	0	0	0	0	0	0	0	0	0	0	0
MAINTENANCE	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL FULL TIME	7	5	0	0	0	0	0	0	2	0	0	0	0	0	0
		71.4%	0	0.0%	0	0.0%	0	0.0%	28.6%	0	0.0%	0	0.0%	0	0.0%

	SUMMARY OF DEMOTIONS - JUNE 30, 2017		TOTAL %
	TOTAL MALE	FEMALE	
NON-HISPA. ORIGIN/ WHITE	7	2	100%
BLACK	0	0	0%
ASIAN	0	0	0%
AMER INDIAN OR ALASKAN	0	0	0%
HISPANIC LATINO	0	0	0%
HAWAIIAN - PAC. ISLANDER	0	0	0%
TWO PLUS RACES	0	0	0%
TOTAL	7	2	100%
		77.1%	22.9%

PERSONNEL ACTIVITIES

TABLE 5F- REALLOCATIONS AGENCY-WIDE - FY 2017 end JUNE 30, 2017

JOB CATEGORIES (COL. B-O)	MALE						FEMALE																												
	NON- HISP. ORIG. WHITE	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/L ATINO	HAW./ PAC. IS.	TWO+ RACES	NON- HISP. ORIG. WHITE	BLACK	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/L ATINO	HAW./ PAC. IS.	TWO+ RACES																						
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O																					
OFFICIALS AND ADMIN.	6	3	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%										
PROFESSIONALS	5	3	60.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
TECHNICIANS	0	0	0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PROTECTIVE SERVICE	0	0	0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%		
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
ADMINISTRATIVE SUPPORT	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	0	0	0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE	1	1	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	12	7	58.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

SUMMARY OF REALLOCATIONS - JUNE 30, 2017	TOTAL MALE			FEMALE			TOTAL %
	NON-HISPA. ORIGIN/ WHITE	BLACK	ASIAN	AMER.INDIAN OR ALASKAN	HISPANIC LATINO	HAWAIIAN - PAC. ISLANDER	
NON-HISPA. ORIGIN/ WHITE	12	7	58.3%	5	41.7%	100%	
BLACK	0	0	0.0%	0	0.0%	0%	
ASIAN	0	0	0.0%	0	0.0%	0%	
AMER.INDIAN OR ALASKAN	0	0	0.0%	0	0.0%	0%	
HISPANIC LATINO	0	0	0.0%	0	0.0%	0%	
HAWAIIAN - PAC. ISLANDER	0	0	0.0%	0	0.0%	0%	
TWO PLUS RACES	0	0	0.0%	0	0.0%	0%	
TOTAL	12	7	58.3%	5	41.7%	100%	

PERSONNEL ACTIVITIES

TABLE 5G - TRANSFERS AGENCY-WIDE - FY 2017 end JUNE 30, 2017

JOB CATEGORIES	MALE											FEMALE													
	TOTAL (COL. B-O)	NON-HISP. ORIG. WHITE	A	B	BLACK	C	D	E	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/L ATINO	HAW./ PAC. IS.	TWO+ RACES	NON-HISP. ORIG. WHITE	I	J	BLACK	K	AMER. INDIAN OR ALASKAN NATIVE	L	M	HAW./ PAC. IS.	TWO+ RACES		
OFFICIALS AND ADMIN.	4	2	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	4	4	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	6	4	66.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	33.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE	6	5	83.3%	0	0.0%	0	0.0%	0	0.0%	1	17%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	7	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	14%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	23	20	87.0%	1	4.3%	0	0.0%	1	4.3%	0	0.0%	0	0.0%	1	4.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE	1	1	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	51	36	70.6%	1	2.0%	0	0.0%	1	2.0%	2	3.9%	0	0.0%	11	21.6%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

SUMMARY OF TRANSFERS - JUNE 30, 2017			
	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/ WHITE	47	11	23.4%
BLACK	1	0	0.0%
ASIAN	0	0	0.0%
AMER INDIAN OR ALASKAN	1	0	0.0%
HISPANIC LATINO	2	0	0.0%
HAWAIIAN - PAC. ISLANDER	0	0	0.0%
TWO PLUS RACES	0	0	0.0%
TOTAL	51	40	78.4%
		11	21.6%
			100%

PERSONNEL ACTIVITIES

TABLE 5H - REINSTATEMENTS AGENCY-WIDE - FY 2017 end JUNE 30, 2017

JOB CATEGORIES (COL. B-O)	MALE										FEMALE									
	TOTAL A	NON- HISP. ORIG. WHITE B	ASIAN D	AMER. INDIAN OR ALASKAN NATIVE E	HISPANIC/L ATINO F	HAW./ PAC. IS. G	TWO+ RACES H	NON- HISP. ORIG. WHITE I	BLACK J	ASIAN K	AMER. INDIAN OR ALASKAN NATIVE L	HISPANIC/L ATINO M	HAW./ PAC. IS. N	TWO+ RACES						
OFFICIALS AND ADMIN.	2	1 50.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	1 50.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%						
PROFESSIONALS	1	1 100%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%						
TECHNICIANS	0	0 0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%						
PROTECTIVE SERVICE	0	0 0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%						
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A						
ADMINISTRATIVE SUPPORT	1	1 100%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%						
SKILLED CRAFT	0	0 0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%						
SERVICE MAINTENANCE	0	0 0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%						
TOTAL FULL TIME	4	3 75.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	1 25.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%	0 0.0%						

	TOTAL MALE		FEMALE		TOTAL %
NON-HISPA. ORIGIN/ WHITE	4	3 75.0%	1	25.0%	100%
BLACK	0	0 0.0%	0	0.0%	0%
ASIAN	0	0 0.0%	0	0.0%	0%
AMER INDIAN OR ALASKAN	0	0 0.0%	0	0.0%	0%
HISPANIC LATINO	0	0 0.0%	0	0.0%	0%
HAWAIIAN - PAC. ISLANDER	0	0 0.0%	0	0.0%	0%
TWO PLUS RACES	0	0 0.0%	0	0.0%	0%
TOTAL	4	3 75.0%	1	25.0%	100%

DISCIPLINARY ACTIONS AGENCYWIDE

TABLE 5I - FISCAL YEAR 2017 which ended JUNE 30, 2017

JOB CATEGORIES (COL. B-O)	MALE							FEMALE											
	TOTAL	NON-HISP. ORIG. WHITE	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/L ATINO	HAW./ PAC. IS.	TWO+ RACES	NON-HISP. ORIG. WHITE	BLACK	ASIAN	AMER. INDIAN OR ALASKAN NATIVE	HISPANIC/L ATINO	HAW./ PAC. IS.	TWO+ RACES					
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O					
OFFICIALS AND ADMIN.	2	2	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	0	0	0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	4	2	50%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	3	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	21	16	76%	1	4.8%	0	0.0%	1	4.8%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
MAINTENANCE SERVICE	3	1	33%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	66.7%	0	0.0%
TOTAL FULL TIME	33	21	63.6%	1	3.0%	0	0.0%	1	3.0%	0	0.0%	0	0.0%	0	0.0%	10	30.3%	0	0.0%

SUMMARY OF DISCIPLINARY ACTIONS - JUNE 30, 2017

	TOTAL MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/ WHITE	31	21	67.7%
BLACK	1	1	100%
ASIAN	0	0	0.0%
AMER INDIAN OR ALASKAN	1	1	100%
HISPANIC LATINO	0	0	0.0%
HAWAIIAN - PAC. ISLANDER	0	0	0.0%
TWO PLUS RACES	0	0	0.0%
TOTAL	33	23	69.7%

NET CHANGES IN EMPLOYMENT FOR FY 16 AND FY 17
IOWA DEPARTMENT OF TRANSPORTATION
AGENCY WIDE

TABLE 6

EEO Category	FY 16					FY 17				
	TOTAL EEs	MIN MALE EEs	MIN FEM EEs	%	FEM EEs	TOTAL EEs	MIN MALE EEs	MIN FEM EEs	%	FEM EEs
01 Officials/Admin	293	8	2.73%	1.71%	105	279	8	5	2.87%	100
02 Professionals	433	23	5.31%	2.31%	110	421	25	9	5.94%	110
03 Technicians	228	11	4.82%	0.00%	40	218	10	0	4.59%	37
04 Protective Services	113	4	3.54%	0.00%	10	106	4	0	3.77%	8
05 Para Professionals	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
06 Admin Support	353	5	1.42%	3.68%	301	330	7	11	2.12%	279
07 Skilled Craft	1272	46	3.62%	0.08%	27	1207	43	1	3.56%	21
08 Service/Maint	93	4	4.30%	0.00%	22	92	4	0	4.35%	20
Total	2785	101	3.63%	1.04%	615	2653	101	26	3.81%	575
										21.67%

NET DIFF 2016 AND 2017

EEO Category	TOTAL EEs	FY 2016			FY 2017			FY 2016 (+Gain/ - Loss)		
		MIN EEs	MIN MALE EEs	MIN FEM EEs	MIN EEs	MIN MALE EEs	MIN FEM EEs	MIN EEs	MIN MALE EEs	MIN FEM EEs
01 Officials/Admin	-14	0	0.00%	0	101	5	-1.71%	101	0	0
02 Professionals	-12	2	0.46%	-1	26	0	0.00%	29	-3	-3
03 Technicians	-10	-1	-0.44%	0	575	-3	-7.50%	615	-40	-40
04 Protective Services	-7	0	0.00%	0	1951	-2	-20.00%	2040	-89	-89
05 Para Professionals	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
06 Admin Support	-23	2	0.57%	-2	26	-22	-7.31%	29	-3	-3
07 Skilled Craft	-65	-3	-0.24%	0	575	-6	-22.22%	615	-40	-40
08 Service/Maint	-1	0	0.00%	0	1951	-2	-9.09%	2040	-89	-89
Total	-132	0	0.00%	-3	2653	-40	-6.50%	2785	-132	-132

SECTION 5

SETTING GOALS AND TIMETABLES

Short- and long-range objectives

The DOT continued implementation of the Administrative Services Division's established strategy of restructuring its hiring process with the goals of:

- Reducing the number of variables and being more consistent in our hiring.
- Baseline goal: Increase overall diversity by 5% targeting Skilled Craft category.
Basis: Based on FY 2016 workforce data, Skilled Craft category comprises 45% (1,272) of the total workforce (2,765).

Based on the Workforce Utilization for FY 2016 comparison with 2010 Census/ACS Availability, the underutilization for Skilled Craft is -3.16% for Minority and -4.21% for Female.

Objective: Enhance targeted recruitment strategies for "Skilled Craft" EEO Category.

Measure: Number of Hires through Quarterly Analysis of Results of Efforts.

In the past, the Iowa DOT's short- and long-term objectives, hiring goals and timetable (AA Form D) were prepared by DAS-HRE. The timetable identified and set specific numbers of Females and Minorities that the Iowa DOT should fill to meet the hiring goals on each of the identified EEO-4 categories. Because affirmative action is short-term in nature, DAS-HRE determined it must have an end date. It was a mutual goal of DAS-HRE and the Iowa DOT to maintain its current representation of females and minorities plus add staff to meet or exceed its goals in order to achieve a balanced workforce by FY 2013. DAS-HRE required the Iowa DOT to submit incremental annual hiring goals until 2011 upon the realization that a new methodology for collecting underutilization data was essential. The Civil Rights Team (CRT) in OES at the DOT has partnered with DAS in an effort to find an alternative source of the necessary data for reporting purposes.

DAS-HRE has identified an updated census data for available labor force and has refined the available labor force data to more accurately reflect the available labor force on county of residence applicant data from their current applicant tracking system. The available labor force data, the refinement of this data, and the generation of DOT's underutilization has been completed and made available.

The relevant data has been identified and obtained and the necessary reports are included in this report (see Section 5A - FY 2018 Hiring Goals for Targeted Underutilized DOT Job Classes; Section 5B – FY 2017 DOT Job Class Underutilization Report).

IOWA DEPARTMENT OF TRANSPORTATION

SECTION 5A - Hiring Goals for Targeted Underutilized Job Classes/AA Plan - Fiscal Year 2018

EEO CATEGORY	JOB CLASS CODE	JOB CLASS	FEMALE *UU	GOAL	MINORITY *UU	GOAL	** GOAL (F, M)	PERSON with DISABILITY *UU
1 Official/Admin.	00784	Public Service Manager 1	Yes		Yes		1	Based on Workforce Aggregate, all job classes are Underutilized
	00787	Public Service Executive	Yes		Yes		1	
	00710	Executive Officer 1	Yes		Yes		1	
2 Professional								
3 Technicians	04343	Engineering Technician Senior	Yes	3	Yes			
	04345	Materials Technician 4	Yes	1				
4 Protective Service								
5 Para-Professional								
6 Admin. Support	04380	Engineering Office Assistant 1			Yes	1		
7 Skilled Craft	08121	Highway Technician Associate	Yes	5				
	08123	Highway Technician Senior	Yes	2				
	08375	Mechanic	Yes		Yes		1	
8 Service/Maintenance								
TOTAL	16			11		1	4	
<p>Note: EEO Category 5 is not used by the state.</p> <p>* UU = Underutilization ** GOAL is either Female or Minority</p>								

LIST OF JOB CLASSES CONTRIBUTORY TO DOT'S UNDERUTILIZATION (UU) BY EEO CATEGORY, OCC CODE, JOB CLASS CODE, AND JOB CLASS TITLE FISCAL YEAR 2017 ENDED JUNE 30, 2017

Based on the Department of Administrative Services (DAS) utilization analysis, specific job classes were identified as contributory to DOT's underutilization. This document lists each contributory Job Class Title within the DOT by occupational (OCC) code and EEO category, and is indicated by one of the following codes:

F - Female UU

M - Minority UU

F, M - Both Female and Minority UU

(Note: DOT Job Classes that are non-contributory to DOT's underutilization for this fiscal year are not included in this list.)

Based on workforce aggregate, all DOT job classes are underutilized for Person with Disability.

This list is updated yearly for the DOT in order to track how underutilization is changing for specific job classes and adjust remedial efforts

EEO CATEGORY 1 -OFFICIALS AND MANAGERS

EEO CAT, OCC CODE, JOB CLASS CODE, JOB CLASS TITLE	UU
1 0430 00127 INFO TECH ADMIN 2	F, M
1 0430 00128 INFO TECH ADMIN 3	F, M
1 0430 00710 EXEC OFF 1	F, M
1 0430 00711 EXEC OFF 2	F, M
1 0430 00712 EXEC OFF 3	F, M
1 0430 00781 PUBLIC SERVICE SUPERVISOR	F, M
1 0430 00784 PUBLIC SERVICE MANAGER 1	F, M
1 0430 00786 PUBLIC SERVICE MANAGER 2	F, M
1 0430 00787 PUBLIC SERVICE EXECUTIVE	F, M
1 0430 04247 TRANSPORTATION ENGINEER MANAGER	F, M
1 0430 04248 TRANSPORTATION ENGINEER ADMINISTRATOR	F, M
1 0430 04249 TRANSPORTATION ENGINEER EXEC	F, M
1 0430 04251 TRANSPORTATION DIV DIRECTOR	F, M

EEO CATEGORY 2 – PROFESSIONAL

EEO CAT, OCC CODE, JOB CLASS CODE, JOB CLASS TITLE	
2 0800 00311 ACCOUNTANT 2	F, M
2 0800 00312 ACCOUNTANT 3	F, M
2 0800 00327 FIELD AUDITOR	F, M
2 0800 00343 REVENUE AUDITOR 2	F, M
2 0800 00344 REVENUE AUDITOR 3	F, M
2 1007 00119 INFO TECH SPECIALIST 1/2	F, M

**LIST OF JOB CLASSES CONTRIBUTORY TO DOT'S UNDERUTILIZATION (UU) BY
EEO CATEGORY, OCC CODE, JOB CLASS CODE, AND JOB CLASS TITLE
FISCAL YEAR 2017 ENDED JUNE 30, 2017**

2 1007 00120	INFO TECH SPECIALIST 3	F, M
2 1007 00121	INFO TECH SPECIALIST 4	F, M
2 1007 00122	INFO TECH SPECIALIST 5	F, M
2 1300 04236	ROADSIDE DEVELOPMENT SPEC 2	M
2 1300 04237	ROADSIDE DEVELOPMENT SPEC 3	M
2 1840 04022	PROGRAM PLANNER 1/2	M
2 1840 04023	PROGRAM PLANNER 3	M
2 1840 04049	TRANSPORTATION PLANNER 1	M
2 1840 04051	TRANSPORTATION PLANNER 2	M
2 1840 04052	TRANSPORTATION PLANNER 3	M
2 1840 04054	TRANSPORTATION PLANNER 4	M
2 2630 08518	GRAPHIC ARTIST	F

EEO CATEGORY 3 – TECHNICIANS

EEO CAT, OCC CODE, JOB CLASS CODE, JOB CLASS TITLE

3 1540 04363	ARCHITECTURAL TECHNICIAN 1	F, M
3 1540 04364	ARCHITECTURAL TECHNICIAN 2	F, M
3 1540 04370	DESIGN TECHNICIAN ASSOCIATE	F, M
3 1540 04371	DESIGN TECHNICIAN	F, M
3 1540 04372	DESIGN TECHNICIAN SPECIALIST	F, M
3 1550 04006	PLANNING AIDE 1/2	F, M
3 1550 04323	ENGINEERING TECHNICIAN SENIOR	F, M
3 1550 04385	ENGINEERING OPERATIONS TECH	F, M
3 1550 04742	ELECTRONIC ENGINEER TECHNICIAN	F, M
3 1560 04325	ASSISTANT SURVEY PARTY CHIEF	F, M
3 1560 04326	SURVEY PARTY CHIEF	F, M
3 1930 04310	SOILS PARTY CHIEF	F
3 1550 04342	MATERIALS TECHNICIAN 3	F
3 1550 04345	MATERIALS TECHNICIAN 4	F
3 1550 04353	MATERIALS TECHNICIAN 5	F

EEO CATEGORY 4 - PROTECTIVE SERVICE: SWORN

EEO CAT, OCC CODE, JOB CLASS CODE, JOB CLASS TITLE

4 3850 86340	MOTOR VEHICLE INVESTIGATOR	F, M
4 3850 86360	MOTOR VEHICLE OFFICER	F, M
4 3850 86361	MOTOR VEHICLE SERGEANT	F, M
4 3850 86362	MOTOR VEHICLE CAPTAIN	F, M
4 3850 86364	MOTOR VEHICLE COMMANDER INVEST	F, M
4 3850 86365	MOTOR VEHICLE COMMANDER UNIFORM	F, M

**LIST OF JOB CLASSES CONTRIBUTORY TO DOT'S UNDERUTILIZATION (UU) BY
EEO CATEGORY, OCC CODE, JOB CLASS CODE, AND JOB CLASS TITLE
FISCAL YEAR 2017 ENDED JUNE 30, 2017**

EEO CATEGORY 6 - ADMINISTRATIVE SUPPORT

EEO CAT, OCC CODE, JOB CLASS CODE, JOB CLASS TITLE

6 5620 00237	STOREKEEPER 3	F, M
6 5620 08140	PARTS WORKER	F, M
6 5820 00013	TYPIST-ADVANCED	M
6 5850 00261	MAIL CLERK 2	F, M
6 5860 00017	CLERK-ADVANCED	M
6 5860 00018	CLERK-SPECIALIST	M
6 5860 04380	ENGINEERING OFFICE ASST 1	M
6 5860 04381	ENGINEERING OFFICE ASST 2	M

EEO CATEGORY 7 - SKILLED CRAFT

EEO CAT, OCC CODE, JOB CLASS CODE, JOB CLASS TITLE

7 6730 08113	EQUIPMENT OPERATOR SENIOR	F
7 6730 08121	HIGHWAY TECHNICIAN ASSOCIATE	F
7 6730 08122	HIGHWAY TECHNICIAN	F
7 6730 08123	HIGHWAY TECHNICIAN SR	F
7 7000 08117	HIGHWAY MAINTENANCE SUPERVISOR	F
7 7000 08385	AUTOMOTIVE SHOP SUPERVISOR	F
7 7020 04736	COMMUNICATIONS TECHNICIAN 1/2	F, M
7 7020 04737	COMMUNICATIONS TECHNICIAN 3	F, M
7 7210 08375	MECHANIC	F, M
7 7210 08390	DISTRICT MECHANIC	F, M
7 7340 08006	MAINTENANCE WORKER 2	M
7 7340 08012	FACILITIES MAINTENANCE COORD	M
7 7340 08016	MAINTENANCE REPAIRER	M

EEO CATEGORY 8 - SERVICE AND MAINTENANCE

EEO CAT, OCC CODE, JOB CLASS CODE, JOB CLASS TITLE

8 6260 04319	CONSTRUCTION TECHNICIAN ASSISTANT	M
8 6260 04320	CONSTRUCTION TECHNICIAN	M
8 7750 08347	SIGN FABRICATOR 1/2	F
8 8740 04343	MATERIALS FABRICATION INSPEC 1	F, M
8 8740 04344	MATERIALS FABRICATION INSPEC 2	F, M
8 8830 08526	REPRODUCTION EQUIPMENT OPER 1/2	F, M
8 8830 08530	REPRODUCTION EQUIPMENT LEADER	F, M
8 9410 00684	TRACK INSPECTOR	F

SECTION 6

MANAGERS AND SUPERVISORS AFFIRMATIVE ACTION RESPONSIBILITY AND ACCOUNTABILITY

Responsibilities of Managers and Supervisors

Managers and Supervisors are assigned the responsibilities for program implementation including, but not limited to:

1. Assistance in the identification of problem areas and establishment of local and unit goals and objectives.
2. Active involvement with local minority, female and other community organizations' service programs.
3. Periodic audit of training programs, hiring and promotion patterns to remove impediments to the attainment of goals and objectives.
4. Regular discussions with local managers, supervisors and employees to be certain that the Iowa DOT's policies are being followed.
5. Review of the qualifications of all employees to insure that minorities and females are given full opportunities for transfer and promotions.
6. Career counseling for all employees.
7. Periodic audit to insure Iowa DOT facilities are integrated, both in policy and use, with minority and female employees afforded full opportunity and encouraged to participate in all Iowa DOT-sponsored educational, training, recreational, and social activities.
8. Understanding that their work performance is being evaluated and that they are held accountable for AA/EEO efforts and results, as well as other criteria.
9. Taking actions to prevent harassment of employees placed through affirmative action efforts.

In the hiring process, managers and supervisors have the responsibility to implement the affirmative action requirements under the Iowa DOT policy on EEO/AA, initiate recruitment activities when necessary to meet affirmative action goals, consider protected class applicants for all hires, and make affirmative action appointments when feasible (refer to Iowa DOT's PPM 230.03 Equal Employment Opportunity and Affirmative Action, attached as Addendum A-6).

SECTION 7

RE-EVALUATING JOB DESCRIPTIONS AND HIRING CRITERIA

Position Description Review and Hiring Practices

The DOT implements Policy 210.06 Classifications, which contains a brief overview of the classification process and the responsibilities of DOT personnel (refer to Addendum A-7).

A. Job Classes

- Each employee occupies a position on the DOT's table of organization. Each position is assigned to a job class which consists of positions that have the same job title and pay grade because they are similar in duties, responsibilities, and minimum qualifications. Job Classification Descriptions, Job Series Guidelines, Classification and Pay Plans are published by DAS-HRE.

B. Position Description Questionnaire (PDQ)

- The DOT uses the PDQ (DAS-HRE form) to capture a written description of the duties, responsibilities and essential functions of a single position.

C. Responsibilities

Employees shall:

- Have the right to request a classification review of their PDQ.
- Prepare or update PDQs when requested or when significant changes have occurred in their duties.
- Complete a Supervisory Analysis Questionnaire (SAQ) as an addendum to the PDQ if the employee's position is supervisory.

Managers/Supervisors shall:

- Monitor positions under their supervision to ensure they are properly classified and make any change recommendations to the division director.
- Make certain that PDQs are up-to-date, accurate and appropriately signed. Ensure that each employee has a current copy of the PDQ that pertains to his or her position.
- Prepare PDQs, as necessary, for vacant, direct-report positions.
- Ensure that the supervisor-review section of the PDQs, including essential functions, is completed on each PDQ.
- Complete a DOT Reclassification checklist if a position appears to be classified incorrectly and submit all necessary documents within the Electronic Position Questionnaire system. Apply review approval, forwarding to higher levels of management up to the Office of Employee Services (OES).

Division Director shall:

- If a position appears to be classified incorrectly, work with the appropriate office director to:
 - Consider alternatives to reclassification such as reassigning duties or reorganizing the work unit.

- Consider the potential impact of classification changes to other positions in the work unit, office and/or the DOT.
- Ensure that supervisors and managers are aware of classification issues affecting the division.
- Sign PDQs as the appointing authority.
- Review position classification information prior to OES sending it to the DAS-HRE personnel officer for a formal review.

OES shall:

- Review PDQs at the request of current incumbents, supervisors, or managers; suggest alternate language, options for requested classes, or otherwise assist in the development of PDQs.
- Ensure PDQs are complete and contain proper signatures and track reviews during the classification process.
- Research, analyze and compare duties on PDQs submitted for reclassification, provide findings to appropriate division director and forward to the DAS-HRE personnel officer for classification decision.
- Serve as liaison between management and the DAS-HRE personnel officer by coordinating classification activities affecting the DOT.
- Process PDQs and make corresponding changes in the Human Resources Information System (HRIS).

The DOT continues to implement Policy 210.02 Recruitment, Selection, and Hiring Process (refer to Addendum A-1). The policy includes the following processes:

A. Preparing to fill a vacancy

- Review of PDQ
 - When a vacancy occurs, the selecting authority should identify and review the job duties of the position to ensure the duties meet the current needs of the DOT.
 - If the PDQ is accurate, the selecting authority shall proceed and complete the P-5 and attach the PDQ. If the PDQ is inaccurate, the selecting authority shall submit an updated PDQ and/or request reclassification.
- Completion of P-5 and HDJ are on the same new online system. The new P5/HDJ system streamlined the hiring process.
 - The upgrade allows managers to: view vacancy reports at any time, create the hiring justification letter and reduce back-and-forth steps, attach required documentation, and send notices for advertising, physical capacity profile (PCP) test, and drug screening to employees in OES for tracking.

B. Screening and Interviewing Applicants

- The selecting authority shall ensure all of the selection and hiring steps are completed and followed when considering applicants.
- Pre-interview screening criteria shall be established, as needed, to determine which applicants will be considered further.
- All screening criteria shall be job related, consistently applied and veteran's preference points taken into consideration.
- The Affirmative Action Officer (AAO) approves pre-interview screening criteria, applicant scores, and proposed list of interview questions prior to interviewing.

C. Restructuring the DOT's hiring process

- Hiring Process Strategies
 - Review all PDQs for postings within three (3) workdays.
 - Develop and utilize a consistent Knowledge, Skills and Ability (KSA)-based selection tool.
 - Use a Department screening team(s) to develop and oversee any necessary screening stages prior to a final interview and a hiring team.
 - Targeted recruitment - county of residence data is added as a mandatory field for job applicants to better understand the location of available labor pool.

SECTION 8

FINDING MINORITIES AND FEMALES WHO ARE QUALIFIED OR QUALIFIABLE TO FILL JOBS (RECRUITMENT)

Recruitment

The Office of Employee Services shall:

- Review recruitment efforts and determine if enhancements are appropriate.
- Assist with the development of text for vacancy announcements.
- Notify the Iowa Vocational Rehabilitation Services, the Department of the Blind, the Iowa Workforce Development and advocacy organizations of all vacant-announced positions.
- All recruitment materials shall state that the DOT is an equal opportunity employer and encourage women, minorities and persons with disabilities to apply.

Job Postings and Advertisement/Promotion:

- The DOT continues to utilize All-Applicant lists on specific positions by posting through the State of Iowa's employment website (DAS – Brass Ring) as well as posting vacant positions at Iowa Workforce Development and on our own DOT career webpage. The DOT continues to utilize BirdDog, an online recruitment tool, to post opportunities on 19 online job boards simultaneously as well as send a target email to our career alert page subscribers. At the discretion of the hiring manager, vacancies will be advertised using paid resources.
- Transportation engineering and planning positions will be routinely sent to the American Association of State Highway and Transportation Officials website.
- Additionally, positions will be routinely sent via email to the:
 - Commission on the Status of Asian and Pacific Islanders
 - Iowa Division of Latino Affairs
 - Iowa Division of Deaf Services
 - Iowa Division of Persons with Disabilities
 - Iowa Division on the Status of African Americans
 - Iowa Division on the Status of Women
 - Iowa Vocational Rehabilitation Service
 - Women and Minorities in Construction Program Grant Coordinator
 - National Guard Job Connection
 - Latinos Unidos of Iowa
 - Iowa College Recruiting Network (ICRN) member schools
 - Student organizations at state universities for minorities and women
 - City Human Rights/Civil Rights/Human Relations Commission contacts for:
Ames, Bettendorf, Burlington, Cedar Rapids, Clinton, Council Bluffs, Davenport, Decorah, Des Moines, Dubuque, Fort Dodge, Indianola, Iowa City, Marshalltown, Mason City, Muscatine, Ottumwa, Sioux City, Urbandale, Waterloo, and West Des Moines Iowa College Recruiting Network.

Proactive Minority Community Involvement:

- The DOT also continues to develop and maintain a community presence by participation in minority community events. Examples of events with emphasis on diversity outreach that the DOT continues to participate in are:
 - Iowa Latino Conference and Iowa Latino Conference Planning Committee
 - Iowa State Conference On Race and Ethnicity (ISCORE)
 - I'll Make Me a World in Iowa
 - Central Iowa SHRM 2015 Iowa Career Expo
 - Greater Des Moines Partnership's Quarterly Multicultural Receptions
 - Iowa Juneteenth celebration festival in Des Moines
 - CelebrAsian
 - Latinos Unidos Job Resource Fair
 - Latino Heritage Festival
 - Hawkeye Community College: Diversity in STEM Conference; building pipelines to access and inclusion
 - University of Iowa College of Engineering Diversity Networking Reception
 - Presentation by DOT staff to Iowa State University APEX for Engineers (helps incoming multicultural students adjust to university life)

- Additionally, the DOT continues to participate in the following outreach events (not all inclusive):
 - Iowa State University Fall Engineering and Business Career Fairs
 - University of Iowa Fall Engineering and Business Career Fairs
 - Iowa State University Spring Engineering Fair
 - Iowa State University Jump-Start Internship and Networking Fair (Greenlee School of Journalism)
 - Iowa State University Engineering Scholar Day
 - Iowa State University College of Design Career Fair
 - University of Iowa Spring Engineering Fair
 - University of Wisconsin Platteville Spring Career Fair
 - University of Iowa College of Engineering Diversity Networking Event
 - University of Northern Iowa Fall Career Fair
 - University of Northern Iowa Spring Career Fair
 - Hawkeye Community College Career Fair
 - DMACC Career Fair
 - Colo-Nesco STEM fair K-6th grade
 - Iowa Black Business Summit
 - Iowa Immigrant Entrepreneur Summit
 - Indian Hills & Iowa Works-Southern Iowa career fair
 - Veteran's Career Fair events in Iowa City, Des Moines & Marshalltown
 - Building Diversity Networking Expo
 - Women and Heavy Equipment Operator Training (Hawkeye Community College)
 - Summit on the Black Male held at the University of Northern Iowa campus
 - Diversity Career Fair, Johnston, IA, via the Greater Des Moines Partnership

Collaborative efforts with other state agencies and entities:

- The DOT continues to participate in the quarterly Statewide Strategic Recruitment Team meetings coordinated by DAS-Human Resource Enterprise (HRE).
- Presentations to engineering classes at Iowa State University to promote our student summer internship and coop opportunities.
 - Presentations to various student clubs at Iowa State University (ISU).
- STEM events with ISU and InTrans for K-12 students and educators.

Statewide Advertisement Campaign:

- The DOT will continue statewide print and radio campaigns to promote employment opportunities and increase awareness of the DOT's employment site.
 - Display ads continuously run in the Iowa Bystander (Iowa's African American newspaper), El Comunicador and El Frontier.
 - Recruitment marketing cards for the Iowa DOT and Motor Vehicle Enforcement of the Highway Division are distributed at the Iowa State Fair.
 - An electronic version of the DOT employment flier is sent out to the DOT's community outreach distribution list which includes Women and Minorities in Construction, Division of Persons with Disabilities, Iowa Asian Alliance, Iowa College Recruiting Network, Japanese Association of Iowa, and the State Civil/Human Rights. It is also sent to Iowa Workforce Development for distribution to their respective networks.
 - Run statewide newspaper and radio ads for recruitment of seasonal winter maintenance positions.
 - The DOT continues the agreement with birddoghr.com, an online recruitment tool, to post opportunities on our webpage, 19 online job boards simultaneously as well as send a target email to our career page subscribers.

Utilization of web technology:

- The DOT continues to utilize web technology to promote employment opportunities through an employment page on the DOT website. The employment page includes links to our current permanent job postings through DAS. People interested in employment opportunities with the DOT are able to sign up on our website to receive an email alert and/or through Twitter and Facebook postings. A very brief welcome video based on the DOT vision statement and workforce guiding principles is showcased on the employment page. The video displays and emphasizes the diversity that exists within the DOT both in careers and people.

SECTION 9

RETENTION, PROMOTION AND TRAINING PROGRAMS

Retention

- The DOT's Management Team continues to design, develop and deliver approaches best suited for effective employee retention initiatives in the following areas:
 - Employee Interaction and Development:
Career development opportunities; regular feedback; a chance to contribute directly to the organization and be recognized for doing so; flexible work schedules that recognize the need for work/life balance; a good salary or wage and an opportunity to increase it over time; and benefits tailored to individual employee's needs.
 - Recognition – the DOT recognizes employees who have reached milestones in their service through monthly service award updates and personnel updates of new hires, promotions and transfers. The DOT continues using the Helmet Sticker Display tool which allows any employee to recognize other employees and to be recognized on the focused core values: Safety; Respect; Integrity; Teamwork; and Leadership as established in DOT's 2014 Strategic Plan.
 - Decision Making – enhanced decision making through improved information management.
 - Trust – the DOT's Strategic Plan is on-going and will continue to implement the key initiatives. Initiatives for change will be worked on one at a time basis.
- The DOT continues to deliver the approved On-boarding Program. The DOT's onboarding program/system will continue to allow a new employee to complete required documentation in an electronic format from any device that has internet access. The process created the efficient on-boarding of new employees which includes their easy access to information through the per-set up email accounts, computer devices and other resources to help the start at their jobs.
- The DOT conducts exit interviews with employees who leave the DOT to seek input regarding their experience working with the DOT. Results from the Exit interviews are compiled and forwarded to appropriate management.

Other key retention strategies/employment practices:

- Recruitment and hiring – spending time and effort on recruitment to yield better matches between employees' knowledge, skills and abilities and the organization, thus, turnover would less likely be an issue.
- Orientation - The DOT provides new employee orientation every 60 days involving a Management Team member and OES Director welcoming the employees. Treating employees right in the critical early stages of employment has been proven to enhance retention.
- Training and development – these factors help employees grow with the DOT and to stay competent and marketable in their field.
- Performance evaluation – both employees and the DOT benefit when employees know what they are doing well and where they need to improve.

- Pay and benefits – good pay and benefits count.
- Internal communication – various internal management communication will continue to be utilized such as face-to-face/video communication among all members of the DOT team. DOT recognizes that effective communication can help ensure that employees want to stay with the department.
- Termination and outplacement – DOT will continue to ensure that employees who leave in good terms are much more likely to recommend the DOT, and in doing so would help attract and retain future employees.
- The DOT will continue engaging employees to increase retention. To ensure ongoing engagement, the DOT will need to continue on these strategies:
 - To be clear on its mission and vision.
 - Communicate well and often.
 - Understand generational differences.
 - Remind employees to submit questions and that their input is important.
 - Empower all employees to do their best by providing the leadership, resources, and training that they need to realize their potential.

Promotion

- Qualified permanent and temporary DOT employees who apply for vacancies in permanent positions and meet screening criteria shall be interviewed for promotion, demotion or pay-grade transfers.
- Qualified permanent and temporary DOT employees who apply shall not be screened out solely on the basis of current work location, home location or salary.

Training

- Mandatory diversity training for supervisors and managers includes information on recruiting for increased diversity. All employees are required to take a Valuing Diversity course.
- The DOT will continue to conduct its M.E.E.T. (**M**ake time to discuss; **E**xplore differences; **E**ncourage respect; and **T**ake personal responsibility for promoting respect in the workplace) training. This training is focused on Respect and Inclusion in the Workplace. All employees, including managers and supervisors are required to take the course. New employees take the course as part of the New Employee Orientation (NEO) curriculum.
- The DOT will continue to require new supervisors and managers to attend two diversity courses and all other new employees to attend one.
- The DOT will continue to conduct New Supervisor Roundtables and New Supervisor Academy sessions with emphases on various human resource topics, including recruiting, hiring, and Title VI.

- The DOT will continue to conduct its Leadership Development Conference.
- Employees statewide will continue to take training in different areas relevant to job duties and responsibilities.

SECTION 10

SYSTEM OF MONITORING AND MEASURING PROGRESS

Program Monitoring

EEO Tracking Procedures

- DAS-HRE continues to have oversight responsibility for the affirmative action programs within the executive branch of state government. This responsibility includes recruitment (in collaboration with DOT staff), qualifying applicants, testing applicants referred to the DOT for open positions, maintaining applicant databases for referral to state departments and determining underutilization information.
- Once positions are filled, applicant EEO data is tracked by DAS-HRE so it can be analyzed for the purpose of assessing progress toward meeting our affirmative action goals and to set new goals. The adverse impact analysis data is provided by DAS and is based on all applicant flow information for applicants and positions filled during this fiscal year.
- An applicant flow analysis is performed by the DOT's Statistician. The applicant flow analysis is used to identify positions where the DOT has the most difficulty attracting women and minority candidates. This allows recruitment strategies and selection procedures to be evaluated and necessary changes made.
- The new online P5/HDJ System assists in the implementation and monitoring of internal audit and reporting systems to measure program effectiveness.

Summary of Employment Activities

The charts following this Summary, Work Flow Analysis and Barrier Analysis reflect the DOT applicant flow status. The DOT conducted an analysis of applicant flow data, investigating status of transitions from the application to referral, referral to interview and interview to hire stages. This analysis included the comparison of advancement rates from stage to stage for protected classes and non-protected classes. The “four-fifths” or “80 percent” rule was used to investigate possible adverse impact pertaining to hiring decisions.

This rule establishes that protected classes – minorities and females – must advance from stage to stage in the hiring process at a rate that is at least 80 percent of the rate for non-protected – whites and males. The ratio of progression for protected classes to non-protected classes must be at least 0.8 or a need for further analysis is indicated.

This further analysis consisted of a “two standard deviation” test. The “two standard deviation” test is performed to investigate whether the findings of the “four-fifths” rule can be attributed to random occurrence. The “two standard deviation” test is only performed if the “four-fifths” rule is not met. Failure to pass both the “four-fifths” rule and the “two standard deviation” test indicates the need to look in more detail. Charted results indicating a failure are indicated in red.

WORK FLOW ANALYSIS

Gender

Department Level

Using the DOT as the unit of analysis, review of “four-fifths” rule results for females indicated equitable progress from the “application to referral” and “interview to hire” stages.

Using the DOT as the unit of analysis, review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “referral to interview” stages.

Results from the “two standard deviation” test identified the “referral to interview” stage should be looked at in more detail.

Category Level

Application to Referral Stage

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated equitable progress in the “application to referral” stage in the Officials and Administrators (01), Professional (02), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “application to referral” stage in the Technician (03) category.

Results from the “two standard deviation” test in the “application to referral” stage within the Technician (03) category indicated results were within the realm of random occurrence. It should be noted that DAS-HRE has sole responsibility over the “application to referral” stage.

Referral to Interview Stage

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated equitable progress in the “referral to interview” stage in the Officials and Administrators (01) and Technician (03) categories.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “referral to interview” stage in the Professional (02), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories.

Results from the “two standard deviation” test indicated results in the Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories were all within the realm of random occurrence.

Results from the “two standard deviation” test indicated results in the Professional (02) category should be looked at in more detail.

Interview to Hire Stage

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated equitable progress on the “interview to hire” stage in the Administrators (01), Professional (02), and Administrative Support (06) categories.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “interview to hire” stage in the Technician (03), Protective Service: Sworn (04), Skilled Craft (07), and Maintenance (08) categories.

Results from the “two standard deviation” test indicated results in the Technician (03), Protective Service: Sworn (04), Skilled Craft (07), and Maintenance (08) categories were all within the realm of random occurrence.

Comments

In the state of Iowa, DAS-HRE has sole responsibility over the “application to referral” stage. Though results on this stage are shared in this report, the DOT must work with DAS-HRE to address any findings.

Protected class status (PCS) is generally unknown to the DOT hiring authority during the “referral to interview” stage of the hiring process. DAS determines which candidates are selected for referral to the DOT, where a hiring authority typically utilizes a paper review of resume and supporting materials to determine interview invitations.

Ethnicity

Department Level

Using the DOT as the unit of analysis, review of “four-fifths” rule results for minorities indicated equitable progress from the “application to referral” stage.

Using the DOT as the unit of analysis, review of “four-fifths” rule results for minorities indicated a need for further statistical analysis for the “referral to interview” stage. Results from the “two standard deviation” test indicated results in the “referral to interview” stage should be looked at in more detail.

Using the DOT as the unit of analysis, review of “four-fifths” rule results for minorities indicated a need for further statistical analysis for the “interview to hire” stage. Results from the “two standard deviation” test indicated results in the “interview to hire” stage were within the realm of random occurrence.

Category Level

Application to Referral Stage

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated equitable progress in the “application to referral” stage in the Officials and Administrators (01), Protective Service: Sworn (04), Administrative Support (06), and Skilled Craft (07), and categories.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated a need for further statistical analysis in the “application to referral” stage in the Professional (02), Technician (03), and Service and Maintenance (08) categories. Results from the “two standard deviation” test indicated results in the Professional (02), Technician (03), and Service and Maintenance (08) categories were all within the realm of random occurrence. It should be noted that DAS-HRE has sole responsibility over the “application to referral” stage.

Referral to Interview Stage

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated equitable progress in the “application to referral” stage in the Technician (03), Administrative Support (06), and Service and Maintenance (08) categories.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated a need for further statistical analysis for the “referral to interview” stage in the Administrators (01), Professional (02), Protective Service: Sworn (04), and Skilled Craft (07) categories.

Results from the two “standard deviation” test indicated results in the Administrators (01), Professional (02), and Skilled Craft (07) categories were within the realm of random occurrence.

Results from the “two standard deviation” test in the “referral to interview” stage indicated the Protective Service: Sworn (04) category should be looked at in more detail.

Interview to Hire Stage

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated equitable progress in the “application to referral” stage in the Professional (02) and Administrative Support (06) categories.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities in the “interview to hire” stage indicated a need for further statistical analysis in the Officials and Administrators (01), Technician (03), Protective Service: Sworn (04), Skilled Craft (07) and Service and Maintenance (08) categories.

Results from the two “standard deviation” test indicated findings in the “interview to hire” stage for the Officials and Administrators (01), Technician (03), Protective Service: Sworn

(04), Skilled Craft (07) and Service and Maintenance (08) were all within the realm of random occurrence.

Comments

In the state of Iowa, DAS-HRE has sole responsibility over the “application to referral” stage. Though results on this stage are shared in this report, the DOT must work with DAS-HRE to address any findings.

Protected class status (PCS) is unknown to the DOT hiring authority during the “referral to interview” stage of the hiring process. DAS determines which candidates are selected for referral to the DOT, where a hiring authority typically utilizes a paper review of resume and supporting materials to determine interview invitations.

BARRIER ANALYSIS –

Gender

Department Level

Failure of both the “four-fifths” rule and the “two standard deviation” test at the department-level for females at the “referral to interview” stage suggests this stage is a potential barrier for employment. Two sets of analyses were conducted to investigate these findings.

Category Level

First, as reported earlier, an AA/EEO category-level analysis was performed. At the “application to referral” stage, review of “four-fifths” rule results for females indicated equitable progress in all categories with the exception of the Technician (03) category where a need for further statistical analysis was indicated. Having passed the “two standard deviation” test, results indicated females did progress equitably through the “application to referral” stage in the Technician (03) category. As noted previously, DAS-HRE has sole responsibility over the “application to referral” stage.

Review of the “four-fifths” rule results for females indicated a need for further statistical analysis for the “referral to interview” stage for Professional (02), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories. Results of the “two standard deviation” test identified results in the Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories were within the realm of random occurrence, while the results of the “two-standard deviation” test suggests the Professional (02) category should be looked at in more detail as the “referral to interview” stage.

Review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “interview to hire” stage for the Technician (03), Protective Service: Sworn (04), Skilled Craft (07), and Maintenance (08) categories. Results of the “two standard deviation” identified results in all four categories were within the realm of random occurrence.

Largest Applicant Pool Analysis

Second, an analysis of results was done by splitting applicants into two pools – those applying for positions in the Administrative Support (06) category and those applying for positions outside the category. A total of 690 of the 1,096 (63.0 percent) applications from females seeking employment at the Iowa DOT were for Administrative Support (06) positions.

Results from the category 06 / non-category 06 analysis showed females applying for Administrative Support (06) positions progressed equitably through the “application to referral” stage, having passed the “four-fifths” rule. Results for the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08) also indicated females progressed equitably through the “application to referral” stage, having passed the “four-fifths” rule.

Results from the category 06 / non-category 06 analysis showed females applying for Professional (06) positions progressed equitably through the “referral to interview” stage, with the “four-fifths” rule indicating a need for further statistical analysis and the resulting “two standard deviation” test indicated the results fell within the realm of random occurrence. Results indicate females in the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08) did not progress equitably through the “referral to interview” stage, with both the “four-fifths” rule and the “two standard deviation” test failing.

Results from the category 06 / non-category 06 analysis for the “interview to hire” stage showed females applying for positions in category 06 progressed equitably, having passed the “four-fifths” rule. Analysis also showed females in the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08) progressed equitably through the “interview to hire” stage, having passed the “four-fifths” rule.

Discussion

Analyses at the AA/EEO category and largest applicant pool level are consistent in their support of department-level findings in regard to potential barriers for females at the “referral to interview” stage. Within the “referral to interview” stage, the Professional (02) category should also be looked at in more detail.

It should be noted that within the Administrative Support (06) category, females were shown to progress equitably (having failed the “four-fifths” rule and passed the “two standard deviation” test) with 9 hires from 690 applicants. The 681 females who were eliminated in the hiring process for positions in this category represent three-fifths (62.1 percent) of the 1,096 female applicants seeking employment at the Iowa DOT and could potentially bias department-level results.

Findings

Given the analysis of disaggregated data, female applicants are generally progressing equitably through both the “application to referral” and “interview to hire” stages. In terms of potential barriers to employment for females, the “referral to interview” stage should be looked at in more detail.

Ethnicity

Department Level

Failure of both the “four-fifths” rule and the “two standard deviation” test at the department-level for minorities at the “referral to interview” stage suggests this stage was a potential barrier for employment. Two sets of analyses were conducted to investigate this finding.

Category Level

First, as reported earlier, an AA/EEO category-level analysis was performed. Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis in the “application to referral” stage for the Professional (02), Technician (03) and Service and Maintenance (08) categories. Results from the “two standard deviation” test identified results were within the realm of random occurrence.

Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis for the “referral to interview” stage for the Officials and Administrators (01), Professional (02), Protective Service: Sworn (04), and Skilled Craft (07) categories. Results from the “two standard deviation” test indicated results in the Officials and Administrators (01), Professional (02), and Skilled Craft (07) categories were within the realm of random occurrence, while results from the “two standard deviation” test indicated results in the Protective Service: Sworn (04) category should be looked at in more detail.

Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis in the “interview to hire” stage for the Officials and Administrators (01), Technician (03), Protective Service: Sworn (04), Skilled Craft (07), and Service and Maintenance (08) categories. Results of the “two standard deviation” test identified results for all five categories were within the realm of random occurrence.

Given the failure of both the “four-fifths” rules and the “two standard deviation” test, results suggest a potential barrier for employment for minorities in the “referral to interview” stage in the Protective Service: Sworn (04) category.

Largest Applicant Pool Analysis

Second, an analysis of results was done by splitting the applicants into two pools – those applying for positions in the Administrative Support (06) category and those applying for positions outside the category. A total of 234 of the 478 (49.0 percent) applications from minorities seeking employment at the Iowa DOT were for Administrative Support (06) positions.

Results from the category 06 / non-category 06 analysis showed minorities applying for Professional (06) positions progressed equitably through the “application to referral” stage, having passed the “four-fifths” rule. Results for the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08) indicated minorities also progressed equitably through the “referral to interview” stage having passed the “four-fifths” rule.

Results from the category 06 / non-category 06 analysis showed minorities applying for Professional (06) positions progressed equitably through the “application to referral” stage (having failed the “four-fifths” rule but having passed the “two standard deviation” test). Results indicated minorities in the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08) did not progress equitably through the “referral to interview” stage with both the “four-fifths” rule and “two standard deviation” test failing.

Results from the category 06 / non-category 06 analysis showed minorities applying for Professional (06) positions progressed equitably through the “interview to hire” stage, having passed the “four-fifths” rule. Results for the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08) indicated minorities progressed equitably through the “interview to hire” stage with the “four-fifths” rule indicating a need for further statistical analysis and the resulting “two standard deviation” test indicating the results fell within the realm of random occurrence.

Discussion

The results of the category level and largest applicant pool analyses both point to the “referral to interview” stage as areas needing to be looked at in more detail. These findings are consistent with department-level findings in regard to potential barriers to minorities at the “referral to interview” stage. Within the “referral to interview” stage, the Protective Service: Sworn (04) category should also be looked at in more detail.

Findings

Given the analysis of disaggregated data, minority applicants are generally progressing equitably through the “application to referral” and “interview to hire” stages. In terms of potential barriers to employment for minorities, the “referral to interview” stage should be looked at in more detail.

The DOT recognizes there are procedural challenges and is working with DAS-HRE in finding methods, strategies and innovative processes to improve the employment process. Some strategies that may potentially and positively impact those problem areas identified are as follows:

- DAS continues to assess the methodologies used for the affirmative action program. It has completed the preliminary process of establishing updated standards based on the populations of the communities in which the agencies function, adding county of residence as a mandatory field for job applicants. This new county data will enable a better understanding of where recruitment should be focused and permit a closer match between the available labor pool and the current workforce. This data conversion would help determine the available labor pool. (Source: <https://das.iowa.gov/human-resources/diversity-aa-eeo>, click on Affirmative Action Report and Plan.)
- Retooling the DOT’s hiring process using hiring process strategies such as the development and utilization of a consistent KSA-based selection tool and the use of a Department screening team(s) to develop and oversee any necessary screening stages prior to a final interview and a hiring team.
- The DOT continues the utilization of web technology to promote employment

opportunities with the DOT, including an employment page. With the employment page included on the DOT website, the increased recruitment effort for vacancies that occur within classifications may potentially and positively impact those problematic areas identified.

FY 2017 ADVERSE IMPACT STUDY – Gender Results Summary – All Stages

FEMALES: Overall

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	1,096						
Refer	772	<i>Apply to Refer</i>	97.7%	Yes			
Interview	149	<i>Refer-Interview</i>	49.4%	No	7.63	No	B, C
Hire	31	<i>Interview-Hire</i>	105.9%	Yes			

FEMALES: Category 1 – Officials & Administrators

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	149						
Refer	112	<i>Apply to Refer</i>	89.0%	Yes			
Interview	31	<i>Refer-Interview</i>	124.1%	Yes			
Hire	6	<i>Interview-Hire</i>	112.3%	Yes			

FEMALES: Category 2 – Professional.

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	193						
Refer	162	<i>Apply to Refer</i>	126.6%	Yes			
Interview	40	<i>Refer-Interview</i>	66.0%	No	2.08	No	B, C
Hire	16	<i>Interview-Hire</i>	182.9%	Yes			

FEMALES: Category 3 – Technicians

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	9						
Refer	3	<i>Apply to Refer</i>	47.7%	No	1.26	Yes	A,E
Interview	3	<i>Refer-Interview</i>	119.4%	Yes			
Hire	0	<i>Interview-Hire</i>	0.0%	No	1.03	Yes	A

FEMALES: Category 4 – Protective Service: Sworn

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	24						
Refer	19	<i>Apply to Refer</i>	84.7%	Yes			
Interview	2	<i>Refer-Interview</i>	42.4%	No	1.22	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0%	No	0.68	Yes	A

Note	Comment
A	Results fail the 80% test but passed the 2 standard deviation test.
B	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
C	Given protected class status (PCS) is typically unknown to DOT at this stage.
D	A bubble of female applicants (63.0%) of all female applicants sought Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

FY 2017 ADVERSE IMPACT STUDY – Gender Results Summary – All Stages

FEMALES: Category 6 – Administrative Support

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	690						D
Refer	453	<i>Apply to Refer</i>	114.3%	Yes			
Interview	68	<i>Refer-Interview</i>	68.5%	No	1.89	Yes	A, C
Hire	9	<i>Interview-Hire</i>	129.0%	Yes			

FEMALES: Category 7 – Skilled Craft

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	19						
Refer	14	<i>Apply to Refer</i>	101.7%	Yes			
Interview	3	<i>Refer-Interview</i>	41.1%	No	1.58	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.74	Yes	A

FEMALES: Category 8 – Service & Maintenance

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	12						
Refer	9	<i>Apply to Refer</i>	92.4%	Yes			
Interview	2	<i>Refer-Interview</i>	53.1%	No	0.86	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.58	Yes	A

FEMALES: Overall without Category 6 – Admin Support

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	406						
Refer	319	<i>Apply to Refer</i>	104.0%	Yes			
Interview	81	<i>Refer-Interview</i>	60.3%	No	4.21	No	B, C
Hire	22	<i>Interview-Hire</i>	132.3%	Yes			

Note	Comment
A	Results fail the 80% test but passed the 2 standard deviation test.
B	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
C	Given protected class status (PCS) is typically unknown to DOT at this stage.
D	A bubble of female applicants (63.0%) of all female applicants sought Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

FY 2017 ADVERSE IMPACT STUDY – Minority Results Summary – All Stages

MINORITIES: Overall

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	478						
Refer	290	<i>Apply to Refer</i>	82.2%	Yes			
Interview	58	<i>Refer-Interview</i>	60.7%	No	3.65	No	B, C
Hire	9	<i>Interview-Hire</i>	76.7%	No	0.77	Yes	A

MINORITIES: Category 1 – Officials & Administrators

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	41						
Refer	32	<i>Apply to Refer</i>	97.1%	Yes			
Interview	4	<i>Refer-Interview</i>	46.7%	No	1.51	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.89	Yes	A

MINORITIES: Category 2 – Professional

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	110						
Refer	67	<i>Apply to Refer</i>	78.4%	No	1.79	Yes	E
Interview	16	<i>Refer-Interview</i>	72.7%	No	1.18	Yes	A, C
Hire	4	<i>Interview-Hire</i>	87.0%	Yes			

MINORITIES: Category 3 – Technicians

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	12						
Refer	6	<i>Apply to Refer</i>	73.5%	No	0.70	Yes	E
Interview	6	<i>Refer-Interview</i>	121.4%	Yes			
Hire	1	<i>Interview-Hire</i>	46.7%	No	0.74	Yes	A

MINORITIES: Category 4 – Protective Service: Sworn

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	37						
Refer	31	<i>Apply to Refer</i>	90.1%	Yes			
Interview	1	<i>Refer-Interview</i>	11.9%	No	2.53	No	B, C
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.47	Yes	A

Note	Comment
A	Results fail the 80% test but passed the 2 standard deviation test.
B	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
C	Given protected class status (PCS) is typically unknown to DOT at this stage.
D	A bubble of minority applicants (49.0% of all minority applicants) applied for Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

FY 2017 ADVERSE IMPACT STUDY – Minority Results Summary – All Stages

MINORITIES: Category 6 – Administrative Support

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	234						D
Refer	127	<i>Apply to Refer</i>	82.4%	Yes			
Interview	22	<i>Refer-Interview</i>	101.9%	Yes			
Hire	3	<i>Interview-Hire</i>	117.3%	Yes			

MINORITIES: Category 7 – Skilled Craft

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	37						
Refer	25	<i>Apply to Refer</i>	92.2%	Yes			
Interview	8	<i>Refer-Interview</i>	61.9%	No	1.35	Yes	B, C
Hire	1	<i>Interview-Hire</i>	67.9%	No	0.39	Yes	A

MINORITIES: Category 8 – Service & Maintenance

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	7						
Refer	2	<i>Apply to Refer</i>	33.1%	No	1.61	Yes	A, E
Interview	1	<i>Refer-Interview</i>	131.6%	Yes			
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.40	Yes	A

MINORITIES: Overall without Category 6 – Admin Support

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	244						
Refer	163	<i>Apply to Refer</i>	85.6%	Yes			
Interview	36	<i>Refer-Interview</i>	55.3%	No	3.48	No	B, C
Hire	6	<i>Interview-Hire</i>	76.3%	No	0.64	Yes	A

Note	Comment
A	Results fail the 80% test but passed the 2 standard deviation test.
B	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
C	Given protected class status (PCS) is typically unknown to DOT at this stage.
D	A bubble of minority applicants (49.0% of all minority applicants) applied for Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

SECTION 11

EEO COMPLAINTS
PROCEDURES/MECHANISMS

Mechanisms for tracking EEO complaints including those based on race, color, national origin, sex, religion, physical or mental disability (including Veterans) and age.

A. Filing EEO/AA complaints within the DOT.

- To file an EEO/AA complaint, the employee shall report the incident in writing, including all pertinent details, to the Affirmative Action Officer (AAO) in OES (refer to Addendum A-6).
- The AAO meets with the complainant to determine if an alternative dispute resolution process, such as mediation, is a viable option for resolution of the issue.
- If the employee is willing to attempt an alternative dispute resolution process, the AAO shall coordinate the process with the appropriate staff.
- If an investigation is necessary, the AAO shall conduct the investigation in accordance with DOT's Policy 230.09, *Investigations* (refer to Addendum A-8).
- The AAO shall keep the division director or the division director's designee and the employee informed of the status of the investigation.
- After the investigation is complete, the AAO shall notify the division director/designee to review the results of the investigation.
- If the results of the investigation indicate that a violation of this policy has occurred, a determination shall be made as to if and what level of discipline or other corrective action is warranted under DOT's Policy 230.02, *Discipline and Other Corrective Action* (refer to Addendum A-9).
- EEO/AA complaints filed by employees internally are tracked via excel spreadsheet with an assigned track number consisting of the complainant employee's name, office location, job class, name of person or supervisor subject of complaint, position, supervisor, allegation, basis and status of complaint and other pertinent details.

B. Filing complaints with external compliance agencies.

The DOT policy is not intended to restrict the rights of an employee to pursue any other remedies that may be authorized by law. These procedures may apply whereby applicants may process allegations of discrimination.

The AAO:

- Receives formal notice of complaints filed with external compliance agencies.
- Notifies the affected division director and appropriate staff of a complaint, assists in drafting a reply, and ensures that the reply is complete and filed in a timely manner.
- Notifies the division director/designee and appropriate staff of actions taken or decisions made by external compliance agencies.
- Maintains files of EEO/AA complaint investigations.
- Tracks EEO/AA complaints filed by employees, external customers or external applicants via excel spreadsheets with an assigned track number (either ICRC CP number and/or EEOC number and other external agency track number) with

complainant's name, division/office location, allegation, basis, date filed, and status of complaint.

EEO complaints formally filed with external compliance agencies are tracked using an excel spreadsheet which is readily available for reporting. The excel data includes a list of discrimination complaints that contain:

- External Compliance Agency tracking number.
- The name of the division in which the complainant works or a statement that the complainant is an External Applicant.
- Allegation and basis of discrimination.
- Date filed.
- Status of complaints.

C. Filing of Workplace Environment Complaint Processes.

Complaints regarding DOT employees:

- To file a workplace environment complaint, a complainant shall report the inappropriate and/or offensive behavior in writing, including all pertinent details, to an Employee Relations Officer (ERO) in OES (refer to Policy 230.08, *Workplace Environment*, attached as Addendum A-10).
- The ERO shall review the complaint with the immediate supervisor to obtain background and to get input on the situation. However, if the immediate supervisor is the subject of the complaint, the ERO shall, instead, discuss the issue with appropriate management.
- An investigation shall be conducted in accordance with Policy No. 230.09, *Investigations*.
- If at any time an alternative dispute resolution process is deemed appropriate, the employee relations officer shall work with the appropriate staff and facilitate the process.
- If the results of the investigation document a violation of a policy or work rule, a decision shall be made as to whether just cause exists and what level of discipline or other corrective action is warranted. See Policy No. 230.02, *Discipline and Other Corrective Action*, for details of this process (refer to Addendum A-9).

Mechanisms for tracking disciplinary actions, i.e., terminations, suspensions, demotions, etc. with breakdowns on race, color, national origin, disability or sex.

Policy, Responsibilities and Procedures:

I. Policy

It is the policy of the State of Iowa and the DOT that:

- Disciplinary action shall be taken only when just cause can be documented.

- The goal of discipline is to correct inefficiency or inappropriate behavior or performance.
- The most appropriate level of discipline is the lowest level which accomplishes the required change.
- All employees shall be treated fairly in matters of discipline.

It is the policy of the DOT that OES shall coordinate all decisions and activities related to discipline or other corrective action (refer to Addendum A-9).

II. Responsibilities

OES shall:

- Review and approve investigation plans.
- Review investigation results and determine, in accordance with the procedures in section III.B. below, whether and what level of discipline or other corrective action is warranted.
- Maintain records of disciplinary actions.
- Provide information on past disciplinary practices to managers and supervisors.
- Provide periodic reports of disciplinary actions to the AAO and the division directors.

III. Procedures

A. Investigation

A supervisor who becomes aware that an individual may have violated a policy or work rule must contact OES and conduct an investigation of the incident in accordance with Policy No. 230.09, *Investigations*, in order to determine if a violation of a policy or work rule has occurred (refer to Addendum A-8).

B. Determination of discipline or other corrective action

After the investigative report has been reviewed and approved:

1. OES shall develop a recommendation for discipline or other corrective action and review the recommendation with the:
 - Individual conducting the investigation.
 - Assigned DAS-HRE personnel officer.
 - Appropriate DOT management staff.
 - The AAO if the infraction involves a violation of Policy 230.03.
2. OES shall then make the decision on discipline or other corrective action and notify the same persons that were notified in #1 above.

3. If the supervisor disagrees with the decision for discipline or other corrective action, OES shall work with the appropriate division director to resolve the issue.
4. If the division director and OES cannot reach agreement, the final decision shall be made by the DOT Director.
5. Any decision to terminate an employee shall require the approval of the DOT Director.

C. Discipline

If it is determined that discipline is warranted:

1. The employee's supervisor is responsible for implementing and supporting this determination.
2. Discipline may include, but is not limited to:
 - Written reprimand.
 - Suspension without pay for a determined number of days.
 - Suspension with pay for an employee exempt from FLSA
 - Demotion.
 - Discharge.
3. The supervisor shall document in a letter to the employee the disciplinary action to be taken. The letter must be reviewed and approved by an ERO in OES before it is given to the affected employee. As mentioned above, OES maintains records of disciplinary actions which are integrated into the Iowa DOT's Data Management Systems/Records Database. Disciplinary actions of employees such as terminations, suspensions, demotions, etc. are recorded, tracked and reported with breakdowns of race, sex and age.

TABLE 7

EEO COMPLAINT ANALYSIS REPORT																								
FY 2017 which ended June 30, 2017 (Complaints were filed, carry-over from previous fiscal year(s) and/or closed in FY 2017)																								
Race	Gender	Division (formerly O & F)	Allegations/ Issues	AGENCY FILED WITH						Complainant	Race	Gender	Sex	Age	Disability	National Origin	Religion	Sexual Harassment	Color	Political Affiliation	Others	Status	Investigating Entity	
				Iowa Civil Rights Comm.	EEOC	Cedar Rapids Civil Rights Comm.	Des Moines Human Rights Comm.	Waterloo Human Rights Comm.	Davenport Civil Rights Comm.															US DOT
1	C	F	AS	Employment, denied accommodation, laid off/failed to recall - perceived disability	11/23/2016	11/23/2016									X								DOT-OES-AAO	Closed. No discrimination found. The ICRC administratively closed on 06/06/2017 and will take no further action. The EEOC issued notice of dismissal and complainant's suit rights, adopted ICRC findings and has closed its filed on 10/20/2017.
2	C	M	Highway	Employment, denied accommodation, laid off/failed to recall - perceived disability	12/7/2015	12/7/2015									X								DOT-OES-AAO	Closed. No discrimination found. The ICRC administratively closed on 07/26/2016 and will take no further action.
3	C	M	N/A	Public Accommodation	4/9/2014	3/28/2014									X								MVD & OES-AAO	Closed. No discrimination found. The WCHR administratively closed on 11/18/2016 and will take no further action.
4	No resp.	M	N/A	Public accommodation, denied accommodation, harassment, undesirable assignment/transfer/religious discrimination	4/5/2017																		MVD & OES-AAO	ICRC screened in for further investigation on 11/06/2017.

Exit Interview

The DOT continues to seek input from all permanent employees who leave the department about their experience working for the DOT and to determine if patterns of discrimination exist.

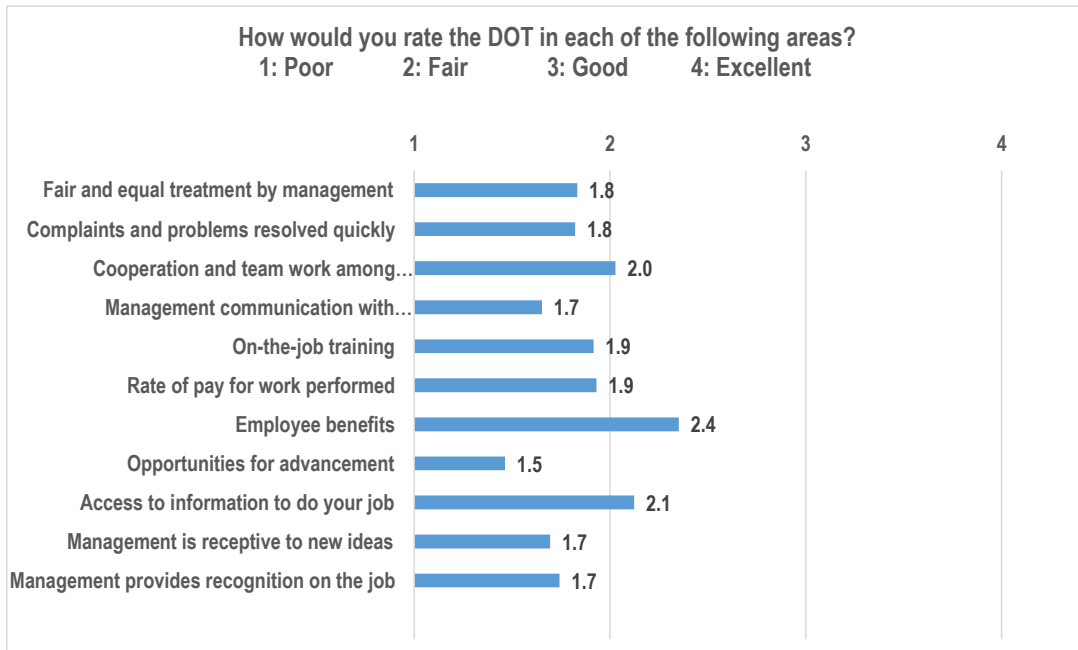
The OES conducts exit interview surveys by phone, compiles annual results of the data, and forwards the findings and any recommendations to appropriate management.

Forty-nine (49) former employees (17 females; 32 males) participated in the Survey Monkey exit surveys in FY 2017.

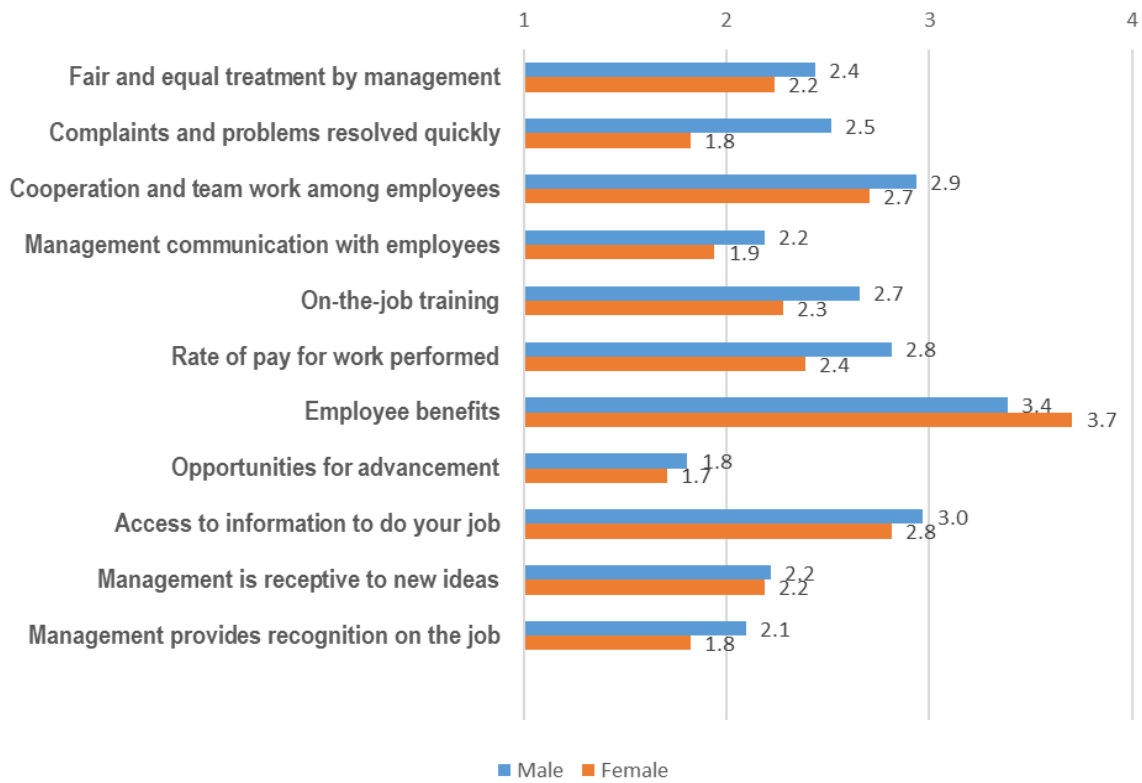
The two charts on the following pages illustrate employee responses to the exit interview. The first chart gives an average of all employee responses to the questions.

The second chart compares male and female responses to the survey questions. The lower number indicates more people identified an area as less satisfying while working at the DOT. “Opportunities for advancement” shows to be the main concern for departing employees, followed by three areas: “Management communication with employees,” “Management is receptive to new ideas” and “Management provides recognition on the job.”

The former employees were provided a list of factors that might have contributed to their decision to leave the department. The employees were asked to rank the items in order of their importance. Overall, 34 employees (69 percent of the surveyed group) stated that retirement was the primary reason for their decision to leave.



**How would you rate the DOT in each of the following areas?
Average of Male and Female Responses: FY2017 Exit Interviews**



PART II

ADDENDA

Iowa DOT Policies and Procedures

Title		Policy No.
Recruitment, Selection and Hiring Processes		210.02
Responsible Office	Related Policies and Procedures	
Office of Employee Services	120.09, 210.06, 230.03, 230.10	
Effective/Revision Dates	Approval(s)	
12-5-2005/7-1-2017	<i>See A. Wilkinson</i>	

Authority: Director of the Operations and Finance Division.

Contents: This policy describes the recruitment, selection and hiring processes as well as the DOT's commitment regarding these processes.

Affected Offices: All

Who to Contact for Policy Questions: Office of Employee Services, telephone 515-239-1399.

Definitions:

Fraudulent activities – Conviction for fraudulent activities means any offense, the commission of which involves some element of deceit, untruthfulness, or falsification undertaken to induce another to part with something of value or to surrender a legal right, or to gain something of value or a legal right to which the person was not otherwise entitled. The determination of whether a conviction involves a fraudulent activity shall be made on a case by case basis.

Hiring Decision Justification (HDJ) – The documentation related to the selection decision process of a permanent position. The HDJ contains: a written narrative summarizing the selection process, all screening criteria, scoring matrices, comparison of all candidates interviewed, recommended candidate for hire, and candidate reference check forms.

Immediate family – The employee’s spouse, children, grandchildren, foster children, stepchildren, legal wards, parents, grandparents, foster parents, stepparents, brothers, foster brothers, stepbrothers, sons-in-law, brothers-in-law, sisters, foster sisters, stepsisters, daughters-in-law, sisters-in-law, aunts, uncles, nieces, nephews, corresponding relatives of the employee’s spouse, and other persons who are members of the employee’s household.

Nepotism – Preferential treatment given to a member of the immediate family of any current employee in the hiring for any position or job assignment.

P-1 – The personnel transaction that modifies an employee’s status and the associated approvals. This includes initial transactions to hire a person into a position.

P-5 – The electronic record initiating the filling of a vacant position and the associated approvals.

Promotion – The acceptance by a permanent employee of an offer by a selecting authority to move to a position in a class with a higher pay grade.

Hiring authority – The supervisor making the hiring recommendation or decision; usually the immediate supervisor of the vacant position being filled.

References:

The following information is located in the Supervisor’s Tool Box on DOTNET, which can be found on the front page of DOTNET:

Iowa Department of Administrative Services’ administrative rules 11 IAC Chapters 54-59

Iowa Department of Administrative Services’ Applicant Screening Manual

Iowa Department of Administrative Services’ Managers and Supervisors Manual, Chapter 4

Iowa Department of Administrative Services’ Steps in the Hiring Process Chart

Forms:

131042 – *Request for Reasonable Accommodation*

131047 – *Special Pay/Appointment Action (also called M-40)*

131049 – *Reference Check*

CFN552-0072 – *Application for State Employment*

Policy and Procedure:

It is the policy of the DOT that all recruitment, selection and hiring processes shall conform to all applicable federal and state laws, administrative rules; and enhance the opportunities to create and sustain a diverse work force.

Either federal or state law prohibits employment and/or public accommodation discrimination on the basis of age, color, creed, disability, gender identity, national origin, pregnancy, race, religion, sex, sexual orientation or veteran’s status. If an employee believes he or she has been discriminated against, the employee should contact the DOT’s Affirmative Action Officer at 515-239-1693. The employee may also contact the Iowa Civil Rights Commission at 800-457-4416 or DAS-HRE Employee Relations at 515-414-0630. If the employee needs accommodation due to a disability, the employee should contact the DOT’s Affirmative Action Officer.

I. Filling a Vacancy

- A. When a vacancy occurs, the selecting authority should identify and review the job duties of the position to ensure the duties meet the current needs of the DOT.
- B. If the PDQ is inaccurate, the selecting authority shall submit an updated PDQ and/or request reclassification (see Policy No. 210.06, *Classification*). If the PDQ is accurate, the staffing coordinator shall proceed and complete the P-5 and attach the PDQ.
- C. Vacancies for all applicants will be announced on the Iowa Department of Administrative Services’ website, the DOT’s external website, and to advocacy organizations (e.g. Iowa Vocational Rehabilitation Services, the Department of the Blind and the Iowa Workforce Development).

- D. All recruitment materials shall state that the DOT is an equal opportunity employer and encourage women, minorities and persons with disabilities to apply.
- E. The hiring authority and staffing coordinator will determine a selection team.
 - 1. A selection team must be used in the hiring process. A selection team consists minimally of a staffing coordinator/designee and the hiring authority.
 - 2. If the hiring authority becomes aware that an applicant is an employee within his or her immediate supervision or area of responsibility, the selecting authority shall use a team that includes the selecting authority and at least one current employee who is outside the section/unit, office, division or area of responsibility.
 - 3. No employee shall serve on the selection team when an applicant is a member of his/her immediate family.
- F. Prepare and develop pre-interview screening criteria and rating system (e.g. resume and/or questionnaire with rating scales and answer guides/criteria), as needed, to determine which applicants will be considered further. All screening criteria shall be job related, consistently applied and veteran's preference points taken into consideration. Depending on the number of applicants, multiple screening steps may be used. Interview questions shall be developed based on the essential functions, competencies required, and job duties of the position. (Refer to Supervisor's Tool Box regarding the application of veteran's points and additional information).
- G. Prior to interviewing, submit the pre-interview screening criteria, rating system, pre-interview results when available, interview questions, criteria and rating system (i.e. rating scales and answer guides/criteria) to be utilized to the Affirmative Action Officer in the Office of Employee Services for approval. Early submission of aforementioned materials is encouraged. Failure to submit these documents far enough in advance may result in delays within the hiring process timeline.
- H. Provide applicants with the PDQ before they are asked to respond during the screening or interview phase.
- I. Ask the following questions of each applicant as part of the interview process:
 - a. "Are you legally able to accept permanent employment in the United States?"

Note: If the applicant cannot accept permanent employment based on his/her I-9 status, the applicant cannot be hired.

The DOT will not sponsor any applicant who requires sponsorship for employment; for example, an H-1B visa status.
 - b. "Can you perform the essential functions of the job?"
 - c. "How did you become aware of this job opening?"
- J. Prohibiting Nepotism

1. A member of the immediate family of any current employee shall not be given preferential treatment in hiring for any position. The selecting authority shall determine if an applicant is a member of the immediate family of a current employee during the screening process.
 2. If a selecting authority becomes aware that an applicant is an immediate family member of the supervisor for the position, the selecting authority shall ensure that the applicant is disqualified from further consideration for employment for this position under this policy.
 3. An employee in a supervisory position shall not directly supervise a member of his/her immediate family.
 4. Employees assigned as lead workers, while not supervisors, shall not serve as a lead worker for an immediate family member who is permanently assigned to their cost center.
- K. Ensure that all interview questions and screening criteria is documented consistently for each applicant.
- L. Conduct reference checks.
1. When possible, submit two supervisor references.
 2. If the applicant is self-employed, submit two business references. A member of the selection team shall not be accepted as a reference for the applicant.
 3. For internal applicants, one supervisory reference check is sufficient.
 4. If any of the final applicants are current state or DOT employees, the selecting authority shall contact the current state agency to request review of the personnel file.
- M. Verify and document possession of all required licenses and/or certifications, including dates of expiration, of the final applicants for the vacant position that is being filled.
- N. A HDJ must be submitted for all proposed permanent hires. The HDJ will include but not be limited to:
- (1) A written narrative addressing
 - (a) Essential functions of the position.
 - (b) Screening criteria.
 - (c) Rating scales.
 - (d) Comparison of the applicants relating to the criteria, essential functions and competencies required of the position and based on the answers provided during the interview.

- (e) Justification for the recommended hire and the completion of reference check(s).
 - (f) Any enhanced recruitment efforts undertaken for designated underutilized positions.
- (2) The following documents shall also be attached:
- (a) Eligible list.
 - (b) Any pre-interview screening tool and rating system (e.g. questionnaire, rating scale and scoring guidelines/criteria) and applicants' pre-interview scores/ranking spreadsheets or tables utilized.
 - (c) Interview questions including rating system, i.e. rating scales and answer guides.
 - (d) Interview scores/ matrix/ scoring spreadsheets.
 - (e) PDQ/essential functions.
 - (f) Reference check(s) (Form 131049).

The hiring authority shall keep all original documents created and compiled in the course of the hiring process (e.g. all cover letters, resumes, applications, applicant lists, reference checks, selection criteria, scoring matrix, interview questions, interview notes, correspondence with applicants and any other records pertaining to the screening process and how decisions were made regarding each applicant).

- O. Provide written notification to all applicants after the selected applicant has accepted the job offer.

II. Time Off for Job Interviews

1. Employees shall be granted a reasonable amount of time, up to a maximum of 4 hours in pay status, during regularly scheduled work hours, including travel time, to interview for a vacant position within the DOT.
 - a. Time shall be recorded as "other leave" on the time sheet with "interview" in the remarks column.
 - b. Time off in excess of 4 hours must be recorded as vacation, compensatory time or leave without pay.
2. For job interviews outside the DOT, employees shall use accrued vacation, compensatory time or leave without pay.
3. Employees shall not use a state vehicle or receive mileage, meal or lodging expenses reimbursement for attending interviews.

III. Background Checks Required by the REAL ID Act of 2005 and the Federal Motor Carrier Safety Regulations

A. Positions Affected

1. Applicants for positions that are involved in the manufacture or production of driver's licenses and nonoperator's identification cards or that have the ability to affect identity information that appears on a driver's license or nonoperator's identification card (covered positions), shall be subject to a background check as required by 6 CFR 37.45. In addition, applicants for covered positions that serve as commercial driver's license test examiners shall be subject to a background check as required by 49 CFR 384.228. The background check shall include the validation of references from prior employment, a name-based and fingerprint-based nationwide criminal history records check, and employment eligibility verification otherwise required by law. See Appendix for further information on the conduct of the required criminal background checks and the identification of disqualifying offenses.
2. Covered positions include: accounting clerk 1, 2 and 3, administrative assistant 1 and 2, clerk advanced, clerk specialist, compliance officer 1 and 2, driver's license clerk, driver's license clerk senior, driver's license examiner, driver's license hearing officer, driver's license supervisor, executive officer 1, 2 and 3, information technology administrator 2, information technology specialists 1 through 5, information technology support worker 3, management analyst 2, 3 and 4, Office of Driver Services director, program planner 3, secretary 1 and 2, statistical research analyst 2, telecommunication design specialist, training specialist 1 and 2, transportation division director, and typist advanced.

A covered position that serves as a commercial driver's license test examiner is a position that has the authority to assign, administer, or report the results of a commercial driver's license knowledge or skills test. Covered positions that may serve as commercial driver's license test examiners include administrative assistant 1 and 2, clerk advanced, clerk specialist, driver's license clerk, driver's license clerk senior, driver's license examiner, driver's license hearing officer, executive officer 1, 2 and 3, and driver's license supervisor.

B. Validation of References from Prior Employment

If not already completed as part of the reference check required by Section III.A.8 of this policy, the selecting authority shall contact any prior employers identified by the applicant to confirm employment in the identified capacity and for the identified period of time, and to inquire into any other matters relevant to the employment decision, such as why the applicant left the previous employment. The DOT recognizes that some employers will only verify employment and the dates of employment, but encourages diligent and respectful inquiry.

C. Notice

1. Every applicant for a covered position must be given notice that he or she must undergo a background check and the contents of the check before beginning

employment in a covered position. The notice shall also inform every applicant that all information gathered will be treated as confidential within the meaning of Iowa Code section 22.7, but that all such information shall be available to the applicant upon request through the agency authorized to release such information, unless otherwise provided by law. The selecting authority must ensure that this notice is included in any posting or paid advertisement for a covered position, by including the following in the P-5 for the covered position.

NOTICE: This position is a covered position under the REAL ID Act of 2005, 49 U.S.C. § 30301 note, as further defined in 6 CFR Part 37. Any applicant selected for employment in this position must submit to and pass a background check of the form and content required by 6 CFR 37.45. All information gathered will be treated as confidential within the meaning of Iowa Code section 22.7, but all such information shall be available to the applicant upon request through the agency authorized to release such information, unless otherwise provided by law. Additionally, any applicant selected for a CDL test examiner position is subject to further background check requirements pursuant to 49 CFR 384.228. Criteria for not passing the criminal background check is set forth in 6 CFR 37.45 and 49 CFR 384.228(h)(3).

2. During preparation of the P-5, the selecting authority should review the PDQ for the covered position to ensure that successful completion of the applicable background checks is listed as a special requirement of the position, and, if it is not, the selecting authority shall submit an updated PDQ to the Office of Employee Services for approval and the updated PDQ shall include successful completion of the applicable background checks as a special requirement.

D. Process

1. Once an applicant has been selected for employment in a covered position, the selecting authority shall obtain from the Bureau of Investigation and Identity Protection a fingerprint packet, and submit that packet to the selected applicant. The packet must include a consent and disclosure form, a fingerprint card, and an applicant's privacy rights form. The applicant shall complete the consent form and the applicant's selecting authority shall make arrangements at a local law enforcement agency for the applicant to be fingerprinted. The applicant's selecting authority shall see that the completed fingerprint card and signed consent form are returned to the Bureau of Investigation and Identity Protection of at the Motor Vehicle Division Office in Ankeny. The fingerprint card shall not be mailed.
2. Upon receipt of a properly completed consent form and fingerprint card, the Bureau of Investigation and Identity Protection staff shall personally deliver the selected applicant's fingerprint card and accompanying documents to the Iowa Division of Criminal Investigations for completion of the criminal history records check.
3. The Bureau of Investigation and Identity Protection staff shall arrange for personal pick up of the results of the criminal background check by bureau staff and shall forward the results to the selecting authority. These results shall be maintained in a secure storage area or kept electronically secure on a DOT network storage drive.

4. The selecting authority shall review the results of the criminal history records check. If the results show a criminal history, the selecting authority shall consult with the Director of the Office of Employee Services and the Director of the Office of Driver Services to determine if any offense identified in the results disqualifies the applicant from the subject position.
5. The DOT shall be responsible for the charge assessed by the local law enforcement agency for completion of the fingerprint card, and for the cost of the criminal history records check. If the local law enforcement agency will not bill the DOT for completion of the fingerprint card, and requires the applicant to advance pay that cost, the DOT will reimburse the selected applicant upon submission of a valid invoice or receipt showing advance payment of that cost.

E. Employment Eligibility Verification

An applicant's employment eligibility must be verified as required by Section 274A of the Immigration and Nationality Act (8 U.S.C. 1324a) and its implementing regulations (8 CFR Part 274A).

F. Disqualification

1. If results of the criminal history records check reveal a disqualifying criminal offense, the applicant may not be employed in a covered position. An applicant whose employment eligibility has not been verified as required by Section 274A of the Immigration and Nationality Act (8 U.S.C. 1324a) and its implementing regulations (8 CFR Part 274A) may not be employed in any position. See Appendix for further information on the identification of disqualifying offenses.
2. If a selected applicant is disqualified from employment in a covered position or from employment in any position, the selecting authority shall notify the selected applicant in writing of the disqualification, the scope and extent of the disqualification, and the reason for the disqualification. If the disqualification is based on the results of a criminal records history check, the selecting authority shall provide a copy of the results to the selected applicant. The written notice to the selected applicant shall state that the selected applicant has seven days in which to contest the disqualification by providing information sufficient to show that the reason for disqualification is inaccurate, otherwise said disqualification shall take effect.

IV. Post-Offer Process

- A. A new hire who is not currently employed by the State of Iowa may be offered a salary above the minimum of the pay grade if prior approval has been granted. Form 131047, *Special Pay/Appointment Action*, must be completed and approved by the appropriate division director and the Iowa Department of Administrative Services prior to the selecting authority committing to a salary amount for a new hire or making any offer of employment. If the selecting authority wants to offer more than the minimum of the pay grade, Form 131047 must be completed. A copy of the employee's current pay stub and resume must be attached to the form.

- B. If the new hire is a current employee of the State of Iowa, a pay increase is limited to 5 percent above his or her current salary or to the minimum of the new pay grade, whichever is greater.
- C. The staffing coordinator shall prepare the offer of employment letter. The letter shall include the following information:
 - 1. The salary being offered.
 - 2. Start date.
 - a. A current employee of the State of Iowa must start the new position at the beginning of a pay period.
 - b. A new external hire may start at any time.
 - 3. Specific provisions that the employment offer is subject to, if any, including:
 - a. Passing the pre-employment drug test for positions requiring a commercial driver's license (CDL).
 - b. Passing any required post-offer, pre-employment physical for required job classifications.
 - c. Obtaining a CDL with the proper endorsements within 14 days of the date of hire, if applicable.
 - d. Completing a probationary period, if applicable.
 - e. Meeting residency requirements.
 - f. Completing educational requirements within established time frames.
 - g. Maintaining a valid work permit for noncitizens.
 - h. Passing a polygraph examination for Motor Vehicle Enforcement officer and Bureau of Investigation and Identify Protection investigator positions.
 - i. Becoming a certified peace officer by the Iowa Law Enforcement Academy for Motor Vehicle Enforcement officer and Bureau of Investigation and Identity Protection investigator positions.

V. Conflict

If any provision of this policy conflicts with a collective bargaining agreement or Iowa Department of Administrative Services' administrative rules, the agreement or rule, as applicable, shall prevail.

Appendix A to Policy No. 210.02
Criminal History Records Check Requirements

A criminal history records check may be required for an applicant in a covered position to determine if the applicant has been convicted of certain disqualifying crimes. The Department of Public Safety's Division of Criminal Investigation will perform the records check for any applicant who is subject to the check. The DOT shall provide the applicant's fingerprints to the Department of Public Safety's Division of Criminal Investigation for submission to the state criminal history repository to the United States Department of Justice, Federal Bureau of Investigation, for a national criminal history check to determine if the applicant has been convicted of any of the following disqualifying crimes.

Permanent disqualifying criminal offenses. An applicant has a permanent disqualifying offense if convicted, or found not guilty by reason of insanity, in a civilian or military jurisdiction, of any of the felonies set forth in 49 CFR 1572.103(a). These felonies are:

1. Espionage or conspiracy to commit espionage.
2. Sedition or conspiracy to commit sedition.
3. Treason or conspiracy to commit treason.
4. A federal crime of terrorism as defined in 18 U.S.C. 2332b(g), or comparable state law, or conspiracy to commit such crime.
5. A crime involving a transportation security incident. A transportation security incident is a security incident resulting in a significant loss of life, environmental damage, transportation system disruption, or economic disruption in a particular area, as defined in 46 U.S.C. 70101. The term "economic disruption" does not include a work stoppage or other employee-related action not related to terrorism and resulting from an employer-employee dispute.
6. Improper transportation of a hazardous material under 49 U.S.C. 5124 or a state law that is comparable.
7. Unlawful possession, use, sale, distribution, manufacture, purchase, receipt, transfer, shipping, transporting, import, export, storage of, or dealing in an explosive or explosive device. An explosive or explosive device includes, but is not limited to, an explosive or explosive material as defined in 18 U.S.C. 232(5), 841(c) through 841(f), and 844(j); and a destructive device, as defined in 18 U.S.C. 921(a)(4) and 26 U.S.C. 5845(f).
8. Murder.
9. Making any threat, or maliciously conveying false information knowing the same to be false, concerning the deliverance, placement, or detonation of an explosive or other lethal device in or against a place of public use, a state or government facility, a public transportation system, or an infrastructure facility.

10. Violations of the Racketeer Influenced and Corrupt Organizations Act, 18 U.S.C. 1961, et seq., or a comparable state law, where one of the predicate acts found by a jury or admitted by the defendant, consists of one of the crimes listed as a permanent disqualifying offense.
11. Attempt to commit the crimes listed in paragraphs 1 to 4 immediately above.
12. Conspiracy or attempt to commit the crimes described in paragraphs 5 to 10 immediately above.

Interim disqualifying criminal offenses. The felonies listed in 49 CFR 1572.103(b) are disqualifying if the applicant was either convicted of those offenses in a civilian or military jurisdiction, or admits having committed acts which constitute the essential elements of any of those criminal offenses within the seven years preceding the expected date of employment in the covered position; or the applicant was released from incarceration for the crime within the five years preceding the expected date of employment in the covered position. The interim disqualifying offenses are:

1. Unlawful possession, use, sale, manufacture, purchase, distribution, receipt, transfer, shipping, transporting, delivery, import, export of, or dealing in a firearm or other weapon. A firearm or other weapon includes, but is not limited to, firearms as defined in 18 U.S.C. 921(a)(3) or 26 U.S.C. 5845(a), or items contained on the U.S. Munitions Import List at 27 CFR 447.21.
2. Extortion.
3. Dishonesty, fraud, or misrepresentation, including identity fraud and money laundering where the money laundering is related to a crime listed as a permanent disqualifying offense or interim disqualifying criminal offense. Welfare fraud and passing bad checks do not constitute dishonesty, fraud, or misrepresentation for purposes of this paragraph.
4. Bribery.
5. Smuggling.
6. Immigration violations.
7. Distribution of, possession with intent to distribute, or importation of a controlled substance.
8. Arson.
9. Kidnapping or hostage taking.
10. Rape or aggravated sexual abuse.
11. Assault with intent to kill.
12. Robbery.
13. Fraudulent entry into a seaport as described in 18 U.S.C. 1036 or a comparable state law.

14. Violations of the Racketeer Influenced and Corrupt Organizations Act, 18 U.S.C. 1961, et seq., or a comparable state law, other than the violations listed as a permanent disqualifying offense.
15. Conspiracy or attempt to commit the crimes described in paragraphs 1 to 14 immediately above.

Disqualifying criminal offenses for applicants for commercial driver's license test examiner positions. In addition to the permanent and disqualifying criminal offenses listed in the preceding, the following criminal offenses are disqualifying for an applicant for a covered position that serves as a commercial driver's license test examiner:

1. Any felony conviction within the ten years preceding the expected date of employment in the covered position.
2. Any conviction involving fraudulent activities.

Under want, warrant, or indictment. An applicant who is wanted or under indictment in any civilian or military jurisdiction for a disqualifying crime is disqualified until the want or warrant is released or the indictment is dismissed.

Determination of arrest status. When a fingerprint-based check discloses an arrest for a disqualifying crime without indicating a disposition, the disposition of the arrest must be determined. If, despite reasonable and diligent efforts, the disposition cannot be determined and the offense is a permanent disqualifying offense, the applicant may not be employed in a covered position. If, despite reasonable and diligent efforts, the disposition cannot be determined and the offense is an interim disqualifying offense, the applicant may not be employed in a covered position unless the applicant provides a certified statement from an appropriate custodian of records in the judicial branch of the jurisdiction of arrest that no record of conviction for the offense exists.

If a check discloses an applicant has been arrested for a disqualifying crime for which prosecution is pending, the applicant is disqualified until a final disposition has been reached. If final disposition is a conviction for a disqualifying criminal offense enumerated above, the applicant shall be disqualified as required in this Appendix.

Appendix B to Policy No. 210.02
Outline of Motor Vehicle Enforcement Officer Hiring Process

1. Post position(s).
2. Physical fitness test conducted.
3. Police Officer Selection Test (P.O.S.T.).

Applicants must pass the P.O.S.T. written exam. The P.O.S.T. is a timed aptitude test divided into four sections; basic arithmetic, reading comprehension, grammar/spelling/punctuation, and writing skills. Applicants cannot score less than 70% on each of the four sections of the test. The overall average must be 80% or greater. Passing the P.O.S.T. is a requirement to advance in the hiring process.

4. Minnesota Multiphasic Personality Inventory 2 (MMPI-2).

Applicants are scheduled with a State psychologist where the MMPI-2 is scored and evaluated. The psychologist will make a hiring recommendation based on the results of the MMPI-2 and the interview. Completion of this step is required to advance in the hiring process.

5. Applicant interviews/oral boards conducted. Passing the interviews/oral boards is a requirement to advance in the hiring process.

6. Conditional Offer of Employment:

After review of applicant materials, test scores, and interview scores, selected applicants are given a conditional offer of employment letter.

The conditions under which the conditional employment is offered are:

- The applicant must pass a polygraph,
- The applicant must pass a medical-physical examination,
- The applicant must pass a background investigation.

Failure to pass any of the above will render the conditional employment null and void.

7. Polygraph Examination:

During the polygraph examination, information on all applicant materials will be verified. Emphasis is placed on illegal drug use/abuse, detected and undetected criminal conduct, and misrepresentation of information given during the previous test phase. Passing this examination is a requirement to advance in the hiring process.

8. Medical – Physical Examination:

A medical examination is scheduled with one of the State's medical doctors. The doctor will determine if the applicant meets the physical requirements necessary to fulfill responsibilities of a law enforcement officer. The doctor's recommendation is final.

9. Background Investigation

An applicant's references, employers, schools, coworkers, and other sources are contacted and interviewed.

10. Hiring Decision Justification (HDJ).

11. Provide written notification to all applicants after the selected applicant has accepted the job offer.

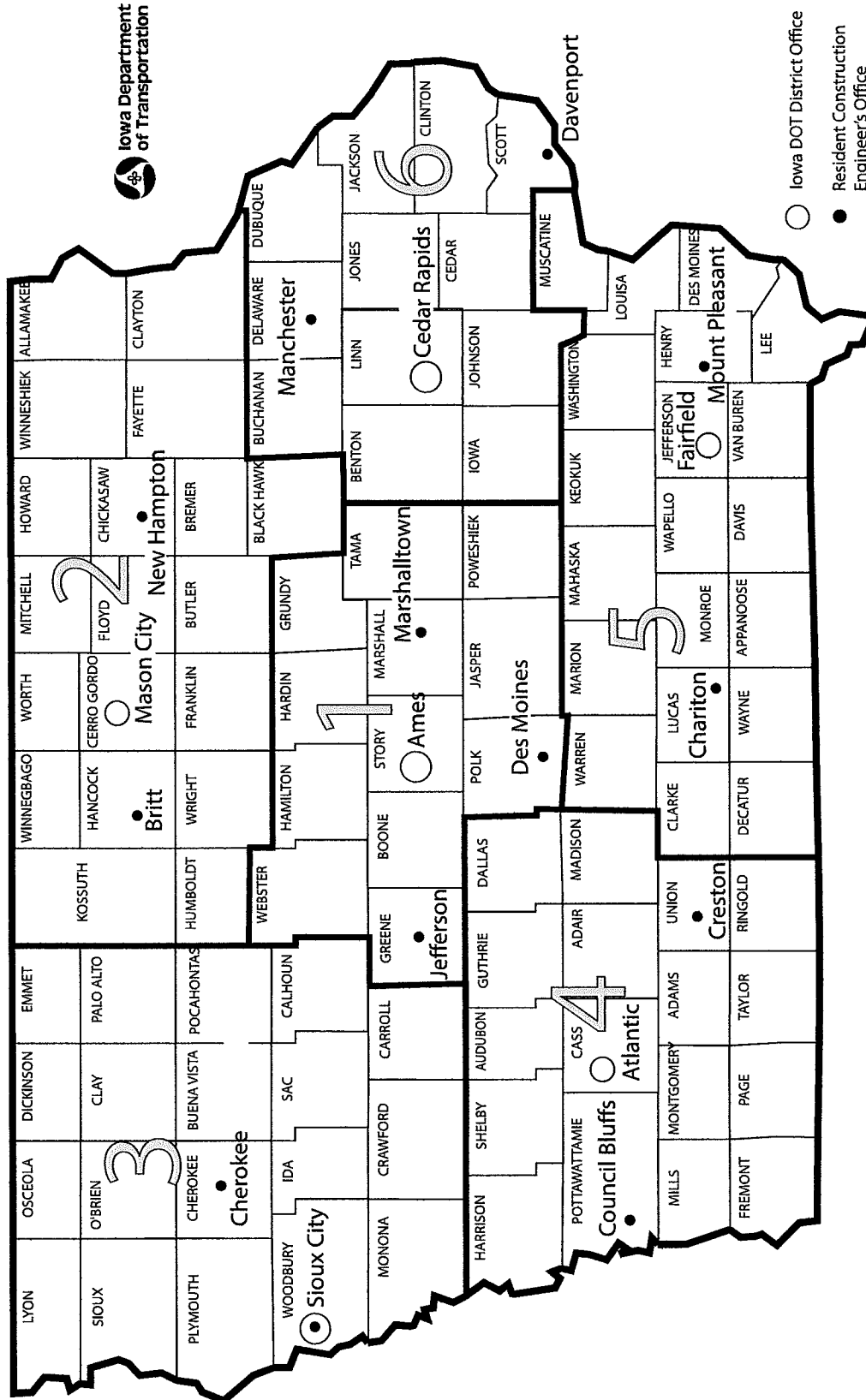
Conference objectives

- **ENGAGE** in meaningful conversations about the challenges the Iowa DOT faces and begin exploring the opportunities that accompany these challenges.
- **EMBRACE** the idea that every day we are creating the Iowa DOT of the future and inspire you to take an active role in shaping this future.
- **UNDERSTAND** your role in improving the organization, advancing the strategic plan and how these will help us change and adapt to meet the challenges of the future.

Time	Sessions and locations
7 a.m. - 8 a.m.	REGISTRATION AND LIGHT BREAKFAST, SCHEMAN BUILDING, 1 ST FLOOR
8 a.m. - 8:15 a.m.	CONFERENCE OPENING, BENTON AUDITORIUM
8 a.m. - 8:15 a.m.	Welcome & Safety Briefing Preview of the Day's Activities
8:15 a.m. - 9:45 a.m.	WHERE WE'VE BEEN AND THE JOURNEY AHEAD, BENTON AUDITORIUM
8:15 a.m. - 9:45 a.m.	Director's View – Future Opportunities & Challenges – Paul Trombino III Current Initiatives – Division Directors Questions and Answers – Paul & Division Directors
9:45 a.m. - 10:15 a.m.	BREAK AND REFRESHMENTS, SCHEMAN BUILDING, 1 ST FLOOR
10:15 a.m. - 11:30 a.m.	PERFORMANCE MANAGEMENT – REALLY? AGAIN?, BENTON AUDITORIUM
10:15 a.m. - 11:30 a.m.	Performance Management – Where Theory Meets Reality Key Concepts from Initiative Team Report Department Level Big Picture – 3 Stage Approach
11:30 a.m. - 12:30 p.m.	LUNCH, SCHEMAN BUILDING 2 ND FLOOR
12:30 p.m. - 1:30 p.m.	KICKING OFF PERFORMANCE MANAGEMENT, BENTON AUDITORIUM
12:30 p.m. - 1:30 p.m.	Recent Work of Management Team Implementation Approach & Post Conference Timeline Purpose of Initial Work – How it Fits Performance Management Worksheet – What's Expected & How to Do It
1:30 p.m. - 4 p.m.	WORK GROUP BREAK-OUT SESSIONS, SCHEMAN BUILDING, 2 ND FLOOR
1:30 p.m. - 4 p.m.	<i>Refreshments available at 2:30 p.m., Scheman Building, 2nd Floor</i> <i>Groups are encouraged to take an afternoon break as their work dictates</i>

Free WiFi available – connect to “ISUguest”

Iowa Transportation Districts



ENFORCEMENT SCALE SITES

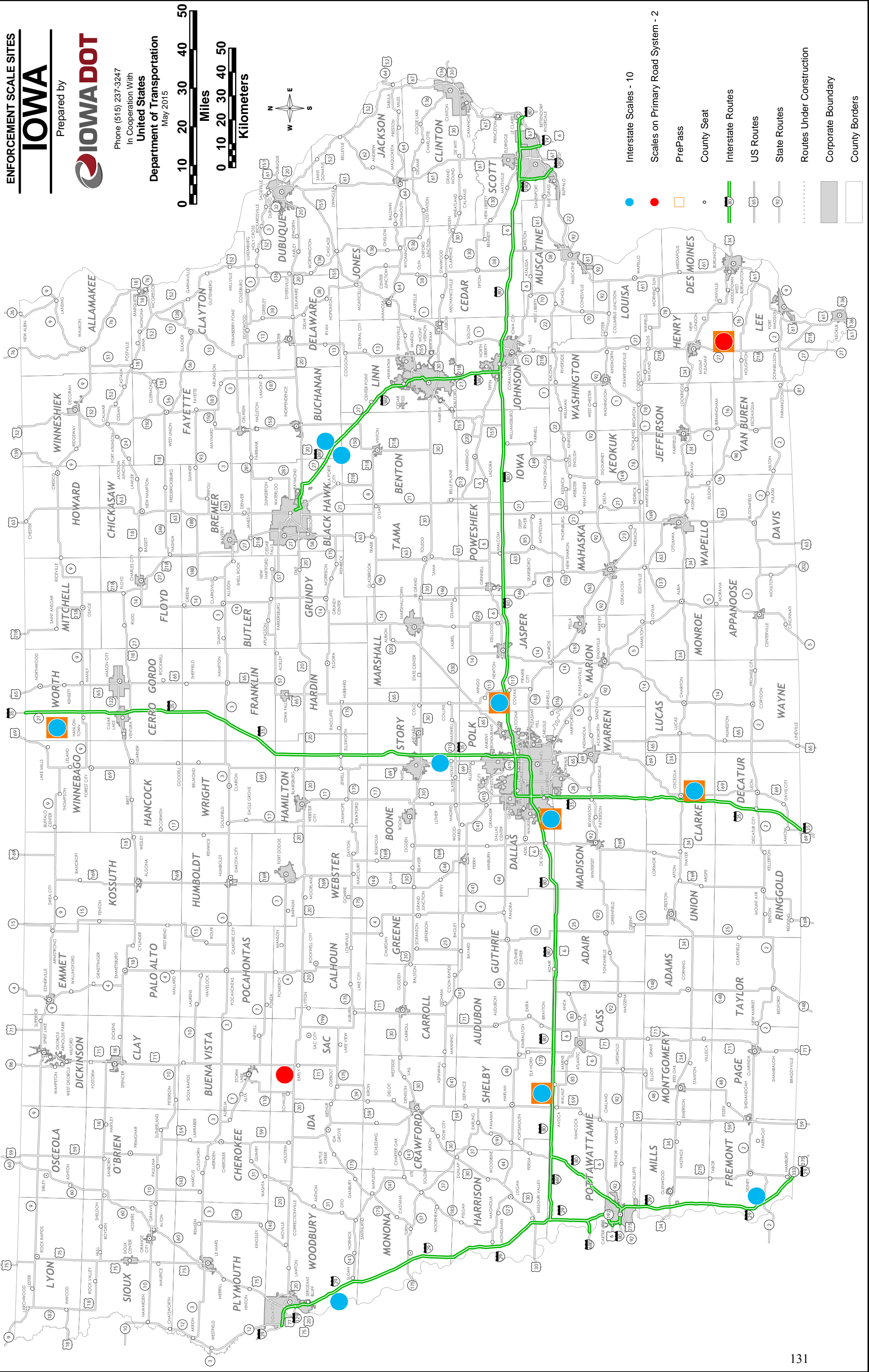
IOWA

Prepared by



Phone (515) 237-3247
In Cooperation With
United States
Department of Transportation
May 2015

Department of Transportation
May 2015



Interstate Scales - 10

Scales on Primary Road System - 2

PrePass

County Seat

Interstate Routes

US Routes

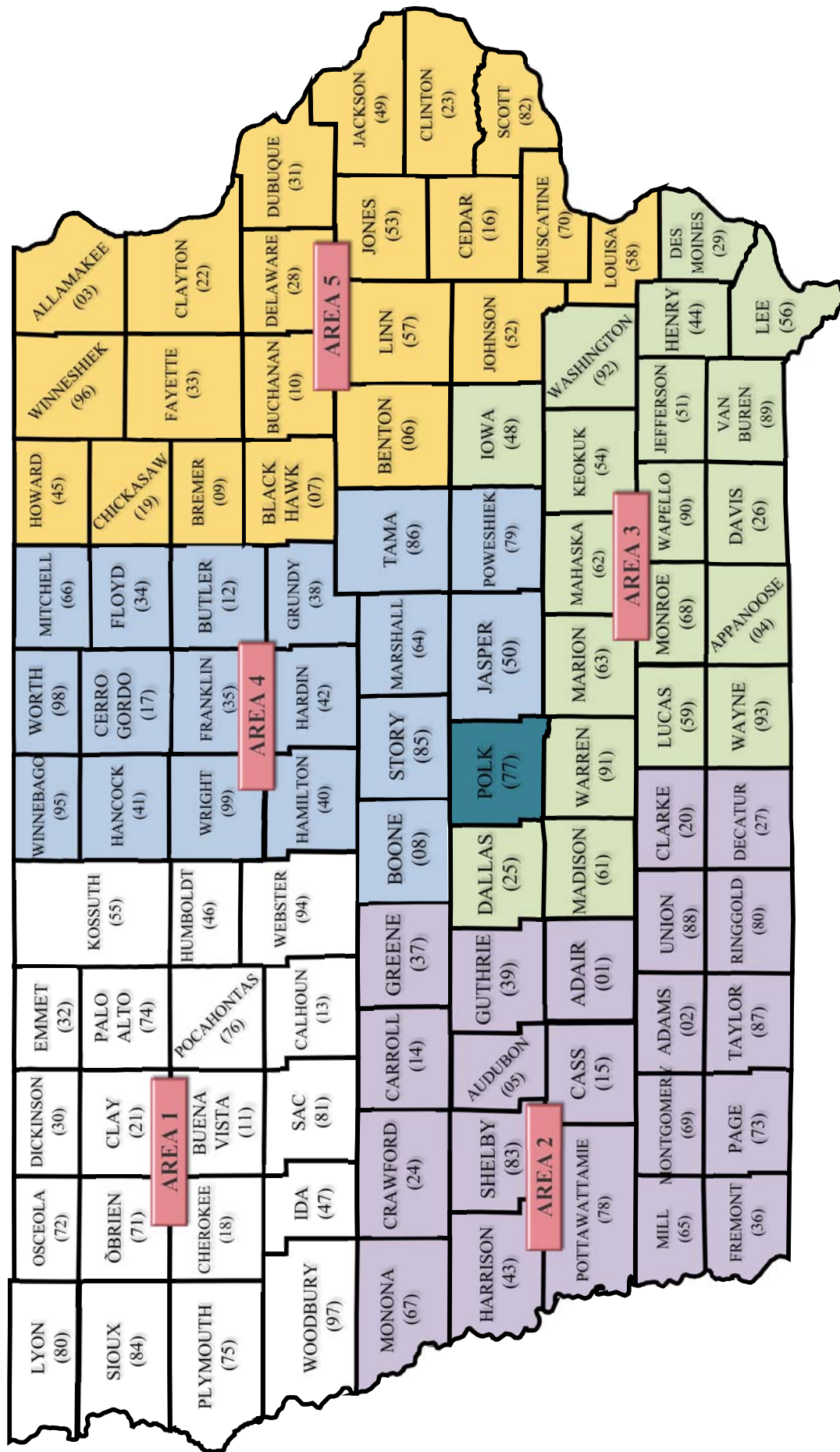
State Routes

Routes Under Construction

Corporate Boundary

County Borders

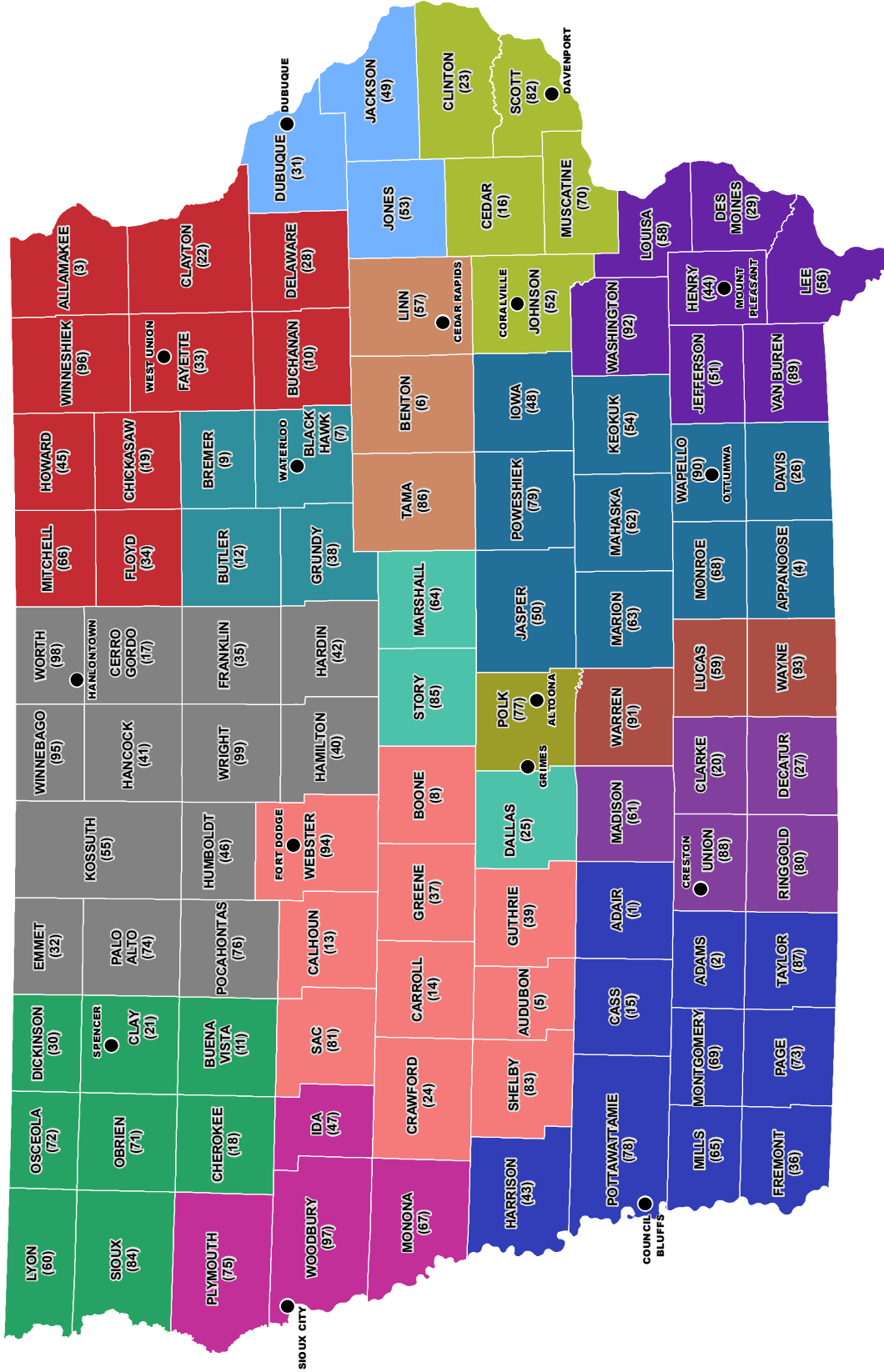
CAPTAIN'S AREA MAP



Number	County	Captian	Number	County	Captian	Number	County	Captian
01	ADAIR	Tom Bruun	34	FLOYD	Dean House	67	MONONA	Tom Bruun
02	ADAMS	Tom Bruun	35	FRANKLIN	Dean House	68	MONROE	Rob Johnson
03	ALLAMAKEE	Kevin Steele	36	FREMONT	Tom Bruun	69	MONTGOMERY	Tom Bruun
04	APPANOOSE	Rob Johnson	37	GREENE	Tom Bruun	70	MUSCATINE	Kevin Steele
05	AUDUBON	Tom Bruun	38	GRUNDY	Dean House	71	O'BRIEN	Joel Sivinski
06	BENTON	Kevin Steele	39	GUTHRIE	Tom Bruun	72	OSCEOLA	Joel Sivinski
07	BLACK HAWK	Kevin Steele	40	HAMILTON	Dean House	73	PAGE	Tom Bruun
08	BOONE	Dean House	41	HANCOCK	Dean House	74	PALO ALTO	Joel Sivinski
09	BREMER	Kevin Steele	42	HARDIN	Dean House	75	PLYMOUTH	Joel Sivinski
10	BUCHANAN	Kevin Steele	43	HARRISON	Tom Bruun	76	POCAHONTAS	Joel Sivinski
11	BUENA VISTA	Joel Sivinski	44	HENRY	Rob Johnson	77	POLK	House/Johnson
12	BUTLER	Dean House	45	HOWARD	Kevin Steele	78	POTTAWATTAMIE	Tom Bruun
13	CALHOUN	Joel Sivinski	46	HUMBOLDT	Joel Sivinski	79	POWESHIEK	Dean House
14	CARROLL	Tom Bruun	47	IDA	Joel Sivinski	80	RINGGOLD	Tom Bruun
15	CASS	Tom Bruun	48	IOWA	Rob Johnson	81	SAC	Joel Sivinski
16	CEDAR	Kevin Steele	49	JACKSON	Kevin Steele	82	SCOTT	Kevin Steele
17	CERRO GORDO	Dean House	50	JASPER	Dean House	83	SHELBY	Tom Bruun
18	CHEROKEE	Joel Sivinski	51	JEFFERSON	Rob Johnson	84	SIoux	Joel Sivinski
19	CHICKASAW	Kevin Steele	52	JOHNSON	Kevin Steele	85	STORY	Dean House
20	CLARKE	Tom Bruun	53	JONES	Kevin Steele	86	TAMA	Dean House
21	CLAY	Joel Sivinski	54	KEOKUK	Rob Johnson	87	TAYLOR	Tom Bruun
22	CLAYTON	Kevin Steele	55	KOSSUTH	Joel Sivinski	88	UNION	Tom Bruun
23	CLINTON	Kevin Steele	56	LEE	Rob Johnson	89	VAN BUREN	Rob Johnson
24	CRAWFORD	Tom Bruun	57	LINN	Kevin Steele	90	WAPELLO	Rob Johnson
25	DALLAS	Rob Johnson	58	LOUISA	Kevin Steele	91	WARREN	Rob Johnson
26	DAVIS	Rob Johnson	59	LUCAS	Rob Johnson	92	WASHINGTON	Rob Johnson
27	DECATUR	Tom Bruun	60	LYON	Joel Sivinski	93	WAYNE	Rob Johnson
28	DELAWARE	Kevin Steele	61	MADISON	Rob Johnson	94	WEBSTER	Joel Sivinski
29	DES MOINES	Rob Johnson	62	MAHASKA	Rob Johnson	95	WINNEBAGO	Dean House
30	DICKINSON	Joel Sivinski	63	MARION	Rob Johnson	96	WINNESHIEK	Kevin Steele
31	DUBUQUE	Kevin Steele	64	MARSHALL	Dean House	97	WOODBURY	Joel Sivinski
32	EMMET	Joel Sivinski	65	MILLS	Tom Bruun	98	WORTH	Dean House
33	FAYETTE	Kevin Steele	66	MITCHELL	Dean House	99	WRIGHT	Dean House
Area 1	Sivinski, Joel	(712) 261-0560	Area 2	Bruun, Tom	(712) 355-0608	Area 3	Johnson, Rob	(515) 250-5973
Area 4	House, Dean	(515) 298-2328	Area 5	Steele, Kevin	(319) 560-8502			

County Assignments

Bureau of Investigation & Identity Protection



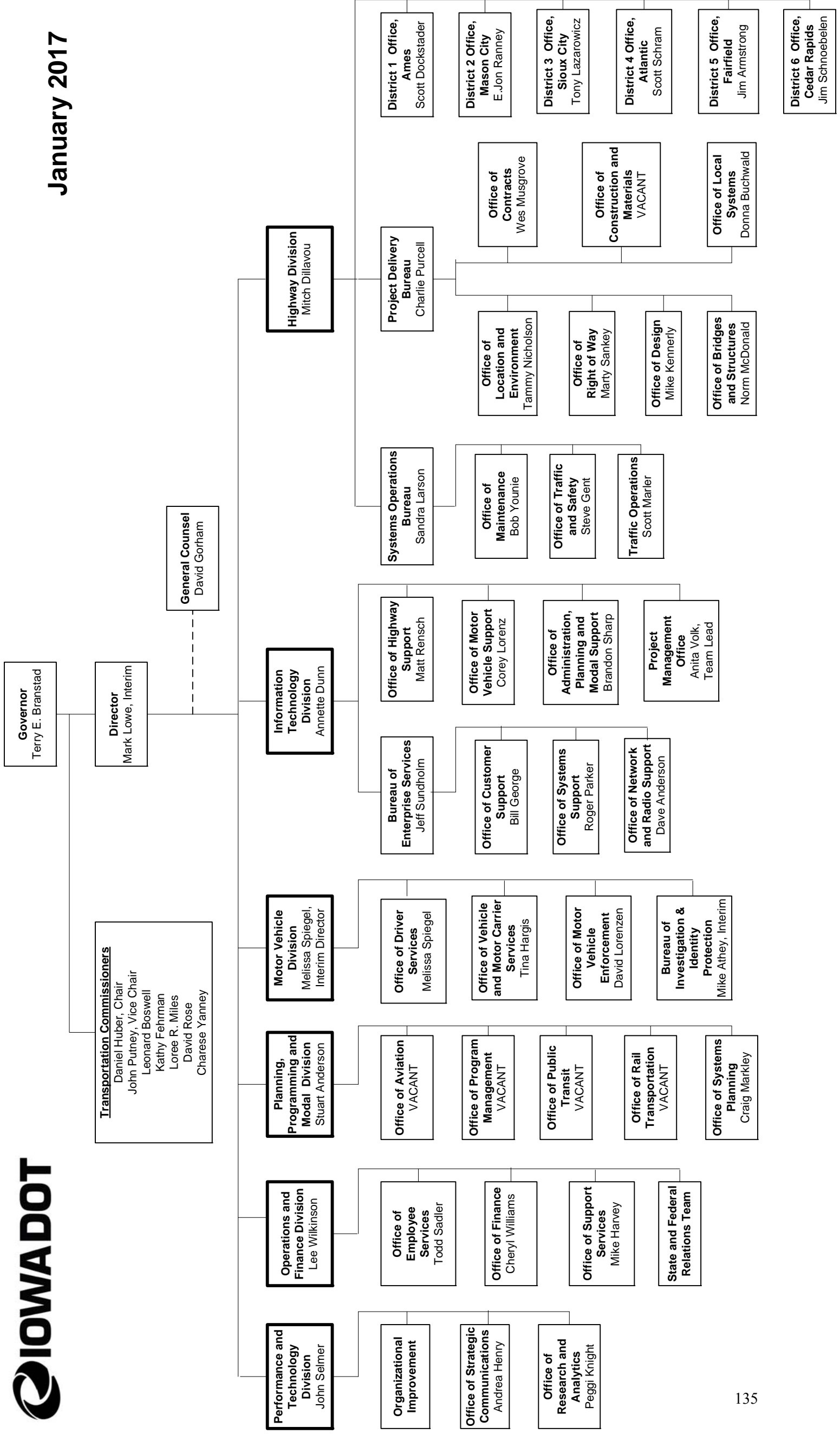
County Assignments

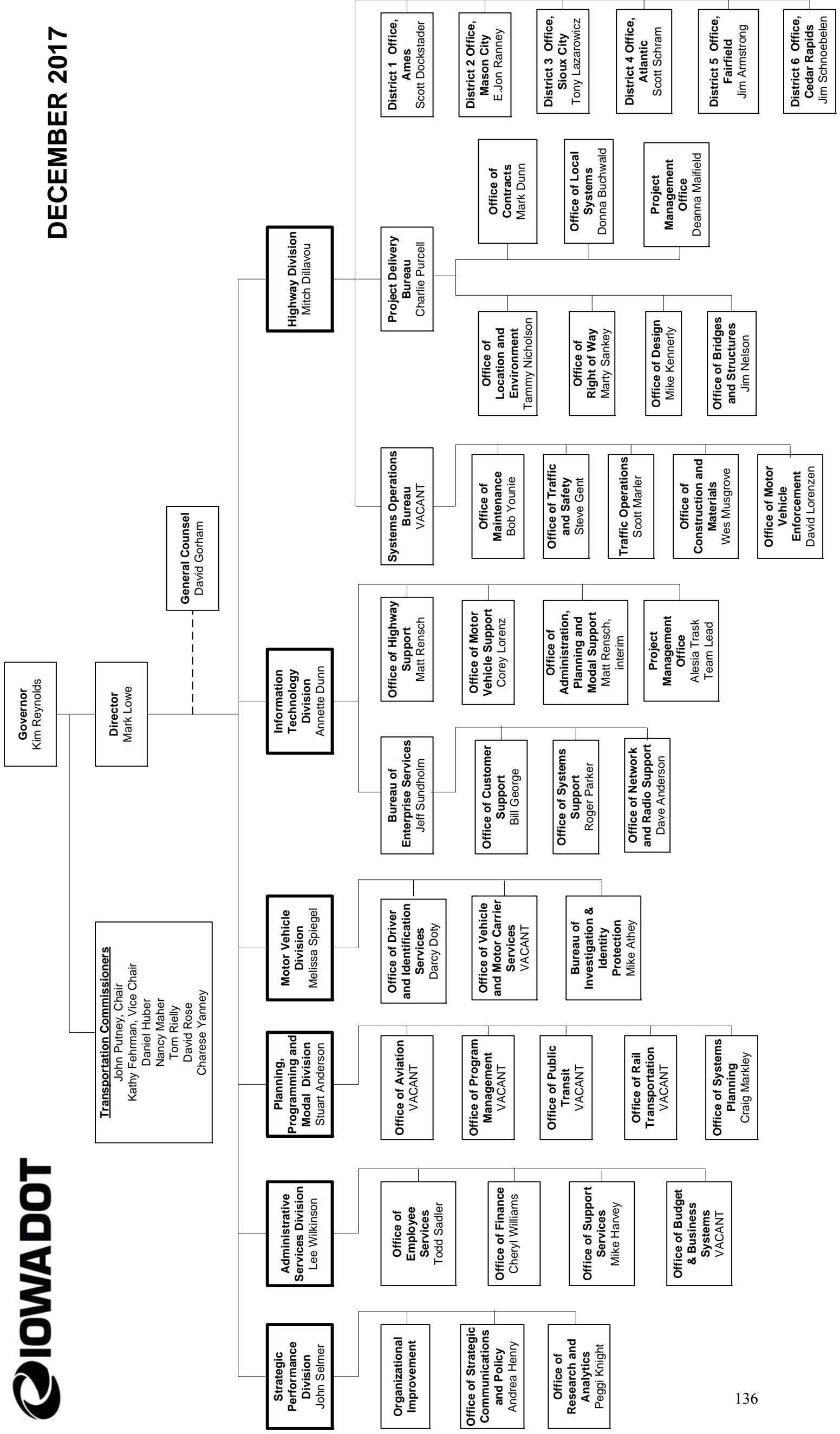
- Dingbaum - T563
- Donscheski - T541
- Hunt - T530
- Kraayenbrink - T509
- Leeman - T510
- Liebe - T525
- Messerole - T512
- Nelson - T511
- Nusbaum - T526
- Rockwell - T517
- Schooley - T595
- Sharr - T555
- Sharr, Schooley, Thompson
- Thompson - T577
- White - T566
- Yeager - T571

Polk County Investigators responsible for Dealer & Recycler Audits, On-site inspections, and Complaints:
 -Sharr A - E
 -Thompson F - N
 -Schooley O - Z

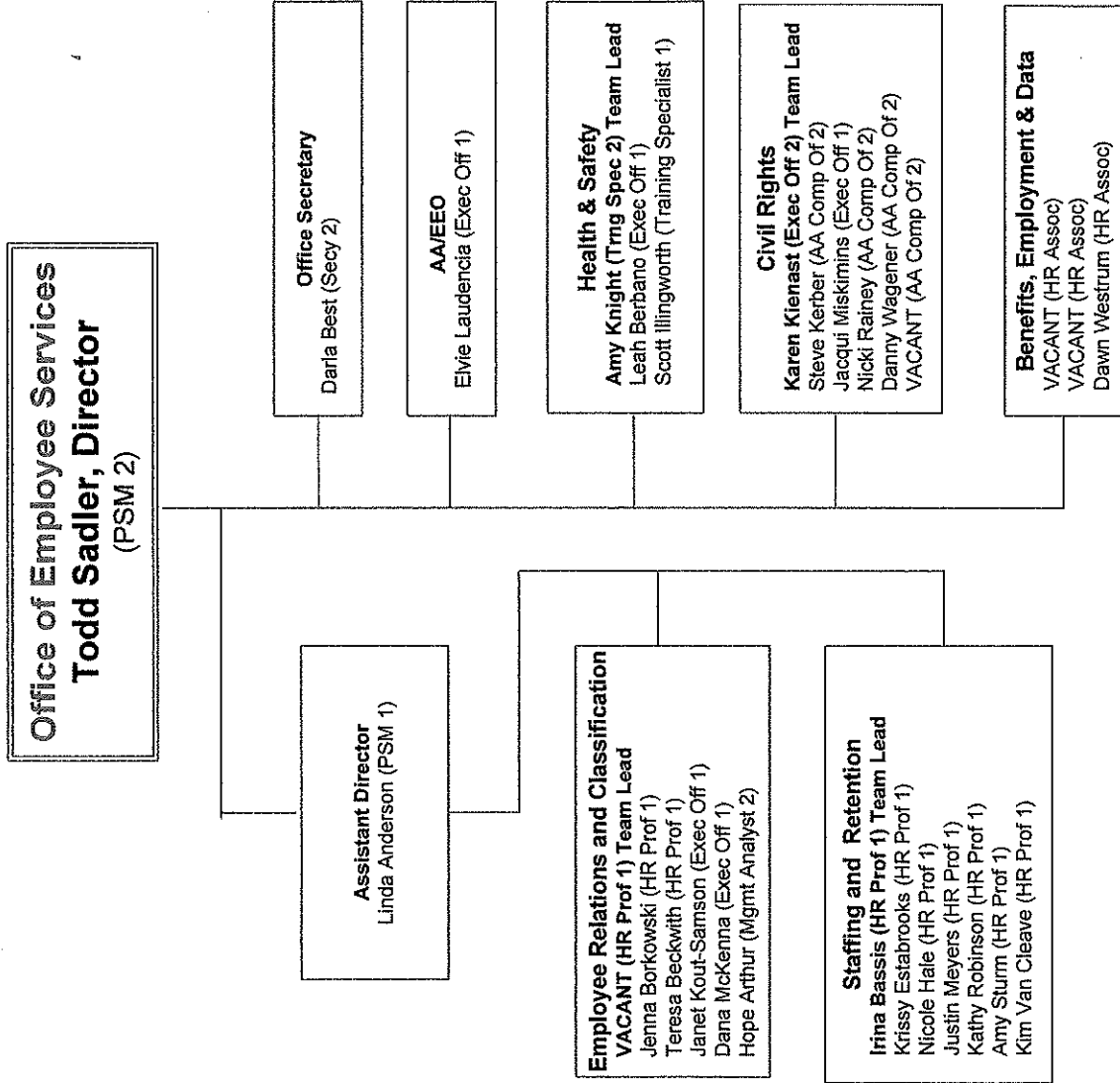
T500 Director Mike Athey
T501 Deputy Director Ryan Ridout
IPhone: Monday through Friday 8:30 - 3:30
515-237-3050 or invbureau@iowadot.us

Investigator Maahs - T523 responsible for statewide NMVTIS and Odometer Correction cases.
 Investigator Nelson - T511 responsible for statewide NMVTIS cases.

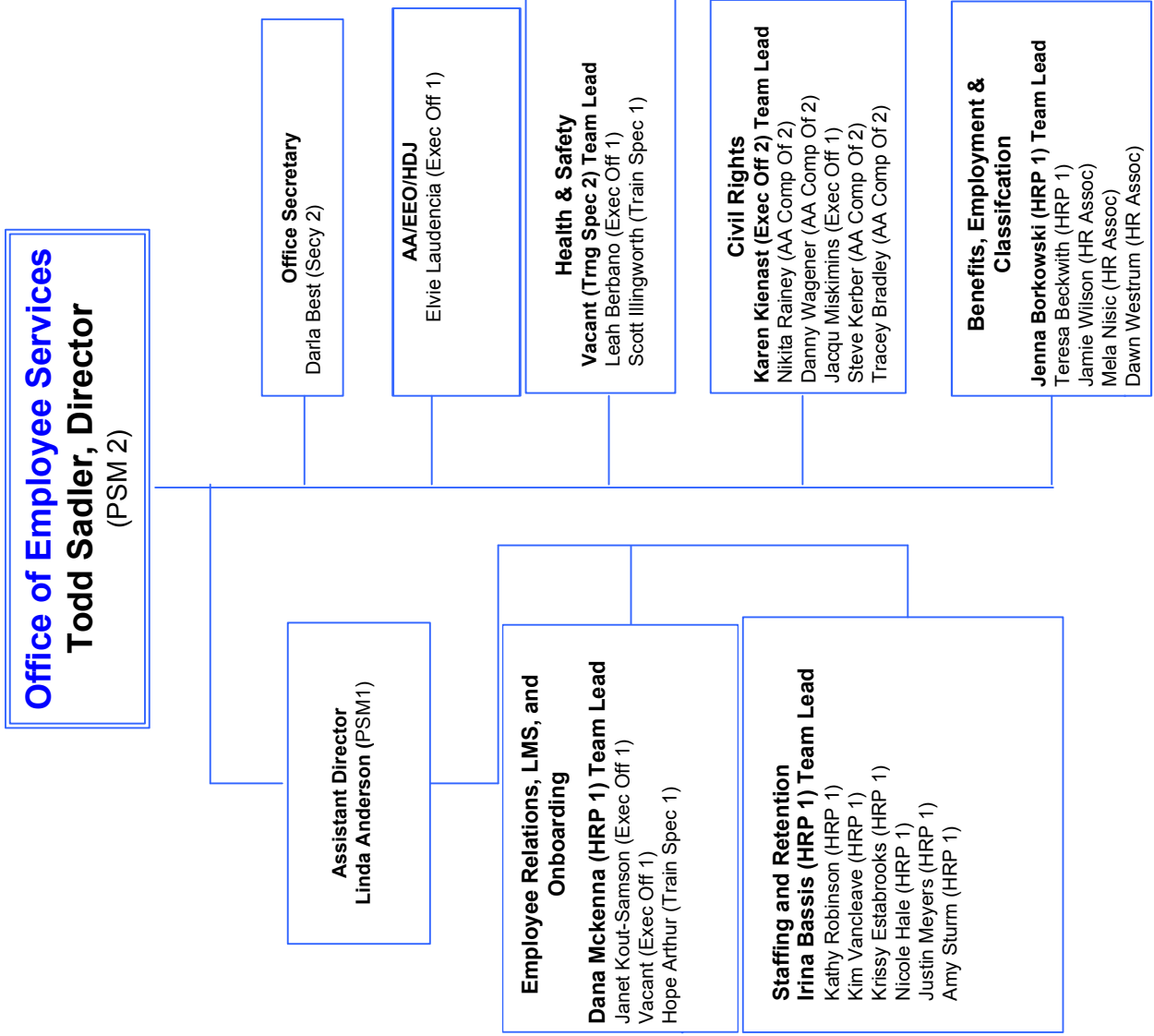




Operations and Finance Division



Administrative Services Division



Iowa DOT Policies and Procedures

Title		Policy No.
Equal Employment Opportunity and Affirmative Action		230.03
Responsible Office	Related Policies and Procedures	
Office of Employee Services	230.02, 230.08, 230.09, 230.10	
Effective/Revision Dates	Approval(s)	
9-1-1976/7-1-2017	<i>See A. Wilkinson</i>	

Authority: Director of the Operations and Finance Division.

Contents: This policy prohibits unlawful discrimination, discriminatory harassment and sexual harassment and establishes employee responsibilities for equal employment opportunity and affirmative action.

Affected Offices: All

Who to Contact for Policy Questions: Office of Employee Services; telephone 515-239-1693.

Definitions:

Affirmative action - Positive action appropriate to overcome the documented effects of past or present practices, policies or other barriers to equal employment opportunity.

Affirmative action appointment - Selection of a protected class applicant when:

- The position is in a job class that has been documented as underutilized for a protected class, and
- The applicant possesses the skills and abilities identified in the essential functions for the position.

Affirmative Action Officer - The position in the Department, organizationally placed in the Operations and Finance Division, that oversees the DOT's equal employment opportunity and affirmative action programs, efforts and progress.

Alternative dispute resolution process - An informal procedure to assist parties with fashioning an agreement that mitigates areas of conflict.

Discriminatory harassment - Adverse treatment of an employee or a group of employees, whether intentional or unintentional, based on such characteristics as race, religion, national origin, sex, color, creed, mental or physical disability, or age.

EEO/AA complaint - Any oral or written report or observation alleging a violation of this policy.

Equal employment opportunity - Prohibition against unlawful discrimination in employment policies and practices on the basis of race, religion, national origin, sex, color, creed, mental or physical disability, or age.

Protected classes -

- Ethnic minorities. Persons having origins in any of the following--African racial groups (Blacks); Spanish cultural groups (Hispanic); original North American racial groups (American Indian or Alaskan native); or Far Eastern, Southeast Asian, Indian, or Pacific Island groups (Asian or Pacific Islander).
- Women.
- Persons with disabilities. Persons who a) have a physical or mental impairment that substantially limits one or more major life activities, b) have a record of such an impairment, or c) are regarded as having such an impairment.
- Persons age 18 or older.

Reasonable accommodation: A modification or adjustment to a job, an employment practice, or work environment that makes it possible for an individual with a disability to enjoy the benefits and privileges of employment equal to those enjoyed by individuals without disabilities, as long as such accommodation does not cause an undue hardship for the Department.

Sexual harassment - Any act that uses sexual submission or rejection as a condition of employment, or conduct of a sexual nature that interferes with an employee's work performance by creating an intimidating, hostile or offensive work environment.

Underutilized class - Comparison of the composition of the Department's workforce to the availability of females, minorities, and persons with disabilities within the relevant labor market. When employment of specific groups in the workforce is below the percentage of those groups in the relevant labor market, the workforce is considered underutilized.

Undue hardship - An action that rises to the level of being significantly difficult or expensive to implement.

Unlawful discrimination - The act of making an unlawful distinction or decision concerning applicants or employees on the basis of race, religion, national origin, sex, color, creed, mental or physical disability, or age, when such act affects those persons' employment situations in any way.

References: Applicable statutes and regulations relating to civil rights, equal employment opportunity and affirmative action include, but are not limited to, the following:

42 USC Section 2000e et. seq. {Title VII of the Civil Rights Act of 1964}
42 USC Chapter 126 {Americans with Disabilities Act of 1990}
29 USC Section 794 {Section 504 of the Rehabilitation Act of 1973}
29 USC Section 206(d) {Equal Pay Act of 1963}
29 USC Section 621 et. seq. {Age Discrimination in Employment Act of 1967}
29 CFR Parts 1600-1699 {Equal Employment Opportunity Commission}
U.S. Executive Order 11246 {Equal Opportunity in Federal Employment}
Iowa Code Chapter 19B {Equal Opportunity and Affirmative Action}
Iowa Code Chapter 216 {Iowa Civil Rights Act of 1965}
State of Iowa Executive Orders 15(4-2-73), 34(7-22-88), 44(4-30-92), and 18(3-28-2001)
State of Iowa Equal Opportunity, Affirmative Action and Anti-discrimination Policy (11-1-2001) {Section 2.40 of the Managers and Supervisors Manual}
Iowa Department of Administrative Services rules 11 IAC Chapter 68
Managers and Supervisors Manual, Chapters 2 and 4

Forms:

- 140009 - Hiring Decision Justification/Applicant Interview Report {available on DOTNET}
- 140039 - Internal Complaint of Discrimination {available on DOTNET}
- CFN 552-0674 - Individual Performance Plan and Evaluation (IPPE) {available on DOTNET}
- P-1 - Report of Personnel Action {mainframe program}

Policy and Procedure:

I. Policy

- A. The Department is an equal employment opportunity and affirmative action employer. All employees shall receive affirmative action training.
- B. Managers and supervisors shall appoint, promote, assign, train and evaluate the performance of employees on the basis of individual qualification and merit and shall not unlawfully discriminate against applicants and employees. Unlawful discrimination is a violation of this policy and is prohibited.
- C. Reasonable accommodations for employees with disabilities shall be made unless these accommodations would create undue hardship for the Department.
- D. Hiring goals for underutilized job classes shall be established when vacancies are anticipated and hiring opportunities exist.
- E. All employees shall have access to training and career development information. Training and career development opportunities shall not be withheld from any employee for any reason that is considered unlawful discrimination.
- F. Sexual harassment and discriminatory harassment of employees and individuals who are doing business with the Department are violations of this policy and are prohibited. Examples of prohibited conduct include, but are not limited to:
 - Inappropriate or offensive touching, hugging or kissing; requests for sexual favors; sexual advances; or comments or actions that are sexually suggestive or are sexual in nature.
 - Comments or actions that are offensive or discriminatory based on membership in a protected class, gender, religious beliefs, or ancestry.

Forms of sexual or discriminatory harassment include, but are not limited to, jokes, pictures, drawings or objects such as calendars, magazine centerfolds, cartoons, posters, t-shirts or caps.

- G. Any employee who alleges an act of unlawful discrimination, discriminatory harassment or sexual harassment has the right to seek resolution of the situation without jeopardizing employment or future career opportunities.
- H. The Department will not tolerate any attempt at retaliation, punishment, reprisal, or adverse treatment against a person who reports conduct prohibited by this policy. Any employee who engages in or attempts to engage in such retaliatory behavior is subject to disciplinary action up to and including discharge.

II. Responsibilities of Employees, Managers and Supervisors

A. **Employees.** All employees of the Department, including managers and supervisors, are responsible for maintaining a work environment free of unlawful discrimination, discriminatory harassment and sexual harassment. Employees shall:

- Be a positive role model for co-workers.
- Tell a person who is acting in violation of this policy to stop.
- Report, in detail, acts of unlawful discrimination, discriminatory harassment or sexual harassment that the employee has experienced or witnessed to a supervisor, the Affirmative Action Officer in the Operations and Finance Division or the Office of Employee Services.
- Cooperate with any investigation by offering detailed information and responding openly, truthfully and completely to all questions.

B. **Managers and Supervisors.** In addition to the responsibilities listed above, managers and supervisors shall:

1. Assure compliance with this policy and assist employees in understanding the concept of affirmative action and its application at the Department of Transportation. The Affirmative Action Officer in the Operations and Finance Division is available to help managers and supervisors educate employees.
2. In the hiring process, implement the affirmative action requirements of this policy as follows:
 - Initiate recruitment activities when necessary to meet affirmative action goals. Managers and supervisors shall contact the Recruitment Coordinator in the Office of Employee Services for guidance on recruitment activities. The Recruitment Officer will work with the Department of Administrative Services as needed.
 - Consider protected class applicants for all hires and make affirmative action appointments when feasible (see **Definitions** on page 1).
 - (Selecting authority) Complete Form 140009, *Hiring Decision Justification/ Applicant Interview Report*, after the candidates have been interviewed but prior to extending a job offer, and forward the form to the Affirmative Action Officer in the Operations and Finance Division. This form is required for the following permanent full-time appointments: new hires, promotions, reinstatements, demotions, outplacements and non-contract transfers.
 - (Selecting authority) As an attachment to Form 140009 or in an E-mail to the Affirmative Action Officer, provide justification that addresses the essential functions of the position, the screening criteria used, and a comparison of applicants to the essential functions and screening criteria. The justification shall also indicate that reference checks are complete. The Affirmative Action Officer will advise the selecting authority whether or not the justification is sufficient.
3. Provide fair and equitable access to appropriate training opportunities and work assignments.

4. Include training plans in the performance plans of the employees they supervise, as appropriate.
5. Make reasonable accommodations for individuals with disabilities unless the accommodation would create an undue hardship. See Policy No. 230.10, *Restricted Duty and Reasonable Accommodation*. The manager or supervisor must contact the Affirmative Action Officer if a reasonable accommodation under Policy No. 230.10 is requested or is being made.
6. Take steps to prevent unlawful discrimination, discriminatory harassment and sexual harassment by making a reasonable effort to:
 - Be aware of and sensitive to all employees' behavior.
 - Establish and maintain an environment that makes it comfortable for employees to report acts of unlawful discrimination, discriminatory harassment and sexual harassment.
 - Act promptly to stop observed acts of unlawful discrimination, discriminatory harassment, sexual harassment or retaliation without waiting for a written EEO/AA complaint.
7. Investigate and resolve acts that violate this policy, as follows:
 - Notify the Office of Employee Services if they have observed, intervened in, or received a report of an act that violates this policy.
 - When notified by the Office of Employee Services of an EEO/AA complaint, work with the Office of Employee Services and the Affirmative Action Officer in the Operations and Finance Division to investigate the complaint promptly, thoroughly and sincerely. All investigations must be conducted in accordance with Policy No. 230.09, *Investigations*.
 - Implement and support any discipline or other corrective action to be taken following an investigation. See Policy No. 230.02, *Discipline and Other Corrective Action*.
 - Periodically, verify with the work unit or employee that no retaliatory behavior has occurred following the close of an investigation. If such behavior has occurred, follow the complaint procedure in this policy.

III. EEO/AA Complaint Process

A. Filing complaints within the DOT.

1. To file an EEO/AA complaint, the employee shall report the incident in writing, including all pertinent details, to an Employment Relations Officer in the Office of Employee Services. Form 140039 may be used.
2. The Employment Relations Officer shall inform the Affirmative Action Officer of the complaint. The Employment Relations Officer and the Affirmative Action Officer shall meet with the complainant to determine if an alternative dispute resolution process, such as mediation, is a viable option for resolution of the issue.

3. If the employee is willing to attempt an alternative dispute resolution process, the Employment Relations Officer and the Affirmative Action Officer shall coordinate the process with the appropriate staff.
 4. If an investigation is necessary, the Employment Relations Officer and the Affirmative Action Officer shall work with the appropriate division director to determine who will conduct the investigation. The investigation shall be conducted in accordance with Policy 230.09, *Investigations*.
 5. The Employment Relations Officer and the Affirmative Action Officer shall keep the division director or the division director's designee and the employee informed of the status of the investigation.
 6. After the investigation is complete, the person conducting the investigation shall so notify the Employment Relations Officer. The Employment Relations Officer shall provide to the Affirmative Action Officer and the division director a copy of the completed investigation report and schedule a meeting with the person conducting the investigation, other appropriate management staff and the Affirmative Action Officer to review the results of the investigation.
 7. If the results of the investigation indicate that a violation of this policy has occurred, a determination shall be made as to if and what level of discipline or other corrective action is warranted. See Policy No. 230.02, *Discipline and Other Corrective Action*, for details of this process.
- B. **Filing complaints with external compliance agencies.** Nothing in this or any other DOT policy is intended to restrict the rights of an employee to pursue any other remedies that may be authorized by law. The Iowa Civil Rights Commission and the U.S. Equal Employment Opportunity Commission are two agencies that may be consulted for further advice and procedures, including applicable time limits.
- C. **Grievance.** Do not use the grievance policy in lieu of this policy for filing or resolving a complaint alleging discrimination, unlawful discrimination or sexual harassment.

IV. Disciplinary Matters

To ensure that all employees are treated fairly in matters of discipline, managers and supervisors shall work with the Employment Relations Officer in the Office of Employee Services on disciplinary matters in accordance with Policy No. 230.02. The Employment Relations Officer shall keep the Affirmative Action Officer informed of the status of discipline involving members of protected classes.

V. Other Equal Employment Opportunity and Affirmative Action Activities

The Affirmative Action Officer in the Operations and Finance Division shall:

- A. Coordinate the preparation of the agency's affirmative action plan and required reports, distribute the plan and reports, advise employees regarding implementation of the plan, and maintain records required by law.
- B. Each year, establish hiring goals for underutilized job classes in consultation with DOT senior management.

- C. Review exit interviews and summaries of grievances and disciplinary actions provided by the Office of Employee Services to determine if patterns of discrimination exist. Notify appropriate staff of situations that appear to violate this policy.
- D. Maintain files of EEO/AA complaint investigations.
- E. Receive formal notice of complaints filed with external compliance agencies. Notify the affected division director and appropriate staff of a complaint, assist in drafting a reply, and ensure that the reply is complete and filed in a timely manner. Notify the division director and appropriate staff of actions taken or decisions made by external compliance agencies.

VI. Policy Violations

- A. Managers and supervisors are subject to potential disciplinary action if they fail to take appropriate action when:
 - They are aware of acts of unlawful discrimination, discriminatory harassment or sexual harassment and
 - These acts have occurred within their areas of responsibility.
- B. Any employee is subject to potential disciplinary action:
 - For the employee's own acts of unlawful discrimination, discriminatory harassment, sexual harassment or retaliatory behavior in, or reasonably related to, the workplace.
 - For failing to cooperate with an investigation of acts prohibited by this policy.
 - For failing to mitigate or report acts prohibited by this policy.

VII. Conflict

If any provision of this policy conflicts with an Iowa Department of Administrative Services administrative rule, the rule, as applicable, shall prevail in all issues except for those in conflict with state and federal laws regarding civil rights.

VIII. Required Posting

Supervisors shall post this policy on bulletin boards within their respective work areas. This policy is also on DOTNET.



Iowa Department of Transportation
Policies and Procedures Manual

Title		Policy No.
Classification		210.06
Responsible Office	Related Policies and Procedures	
Office of Employee Services	210.02	
Effective/Revision Dates	Approval(s)	
9-1-1976/1-9-2013	<i>See A. Wilkinson</i>	

Authority: Director of the Operations and Finance Division.

Contents: Classification of positions in the executive branch of state government (excluding the Board of Regents) is administered by DAS-HRE. This policy contains a brief overview of the classification process and the responsibilities of DOT personnel.

Affected Offices: All

Who to Contact for Policy Questions: Office of Employee Services, telephone 515-239-1921.

Definitions:

DAS-HRE – Iowa Department of Administrative Services – Human Resources Enterprise.

Electronic Position Questionnaire System – A database system which is located in the Operations and Finance Applications Menu that contains electronic PDQs for DOT positions. The system automatically adds the needed blank forms based upon the type of position and type of PDQ requested.

Human Resources Information System (HRIS) – A human resources focused system in the DOT's IDMS database that tracks positions and employees by number. The Office of Employee Services processes changes to positions, such as reclassifications, cost center changes or field status changes, on a pay period basis.

References:

Iowa Department of Administrative Services' administrative rules 11 IAC 52
(*job classification rule chapter*)

The Iowa Department of Administrative Services' administrative rules may be accessed from the following website: http://www.iowadot.gov/pol_leg_services/adminrules.htm

(*Note: After you click on the above website, then click on the link that refers you to rules for all state agencies to find 11 IAC 52.*)

DAS-HRE Managers and Supervisors Manual, Chapter 3, Position Classification

The manual may be accessed from the home page of DOTNET under Supervisor's Tool Box.

DAS-HRE publishes Job Classification Descriptions, Job Series Guidelines, and the Classification and Pay Plans.

These publications may be accessed from the home page of DOTNET under Supervisor's Tool Box.

1. Job Classification Descriptions: Each job class has a class description. The class description contains general information about the job class including a definition of the class, examples of work performed, competencies needed, necessary special requirements, minimum qualifications for the class, and any additional notes. Class descriptions are not meant to be a complete list of competencies and tasks performed for any one position.
2. Job Series Guidelines: Some classifications have Job Series Guidelines. The guidelines are a tool used for determining in which level a position should be assigned within a class series.
3. Classification and Pay Plans: The Classification and Pay Plans, administered by DAS-HRE, contain the list of classifications and corresponding pay grades, pay plan codes, overtime eligibility, bargaining units, and minimum and maximum salary ranges.

Forms:

107018 – *Position Description Questionnaire (PDQ)* – This DAS-HRE form is used to capture a written description of the duties, responsibilities and essential functions of a single position.

131039 – *Supervisory Analysis Questionnaire (SAQ)* – This DAS-HRE form is used as an addendum to the PDQ for supervisory positions to describe the scope and level of supervisory duties.

181401 – *DOT Reclassification Checklist* – This confidential DOT form is used by supervisors to assist them in the determination of whether a position should be reviewed for reclassification.

Policy and Procedure:

I. General Information

A. Job Classes

1. Each employee occupies a position on the DOT's table of organization. Each position is assigned to a job class. A job class consists of positions that have the same job title and pay grade because they are similar in duties, responsibilities, and minimum qualifications. Several levels of like classes may be arranged in a class series.
2. DAS-HRE publishes Job Classification Descriptions, Job Series Guidelines, and the Classification and Pay Plans. The Office of Employee Services provides them to DOT employees upon request.

B. Rights and Restrictions

1. An employee has the right to submit a PDQ and request a classification review. The submission is initiated in the Electronic Position Questionnaire System.
2. The Office of Employee Services shall not initiate the reclassification process until the PDQ is signed by the supervisor and division director.
3. Classification decisions are made by DAS-HRE. Either DOT management or the employee may dispute a decision.
4. If the new job class requires licensure, registration, certification, or obtaining a passing score on a test, the requirement must be met by the employee within time limits set by DOT and/or DAS-HRE. Except where licensure, registration or certification is required, when a reclassification is the result of correction of a classification error, a class or series revision, the gradual evolution of changes in the position, legislative action, or other external forces clearly outside the control of the DOT, the employee occupying the reclassified position is not required to meet the minimum qualifications of the new job class. See 11 IAC 52.6(2). For all other reasons for reclassification, the employee who occupies a reclassified position must meet the minimum qualifications for the new job class.
5. When a position is reclassified, the employee's pay is set according to DAS-HRE.

II. Responsibilities

A. Employees shall:

1. Prepare or update PDQs when requested or when significant changes have occurred in their duties. Duties should be a representation of the permanent tasks currently assigned and completed by the employee.
2. Complete a SAQ form as an addendum to the PDQ form if the employee's position is supervisory.
3. Apply electronic signatures within the Electronic Position Questionnaire System to their most current PDQs.

B. Managers/Supervisors shall:

1. Monitor positions under their supervision to ensure they are properly classified and make any change recommendations to the division director.
2. Make certain that PDQs are up-to-date, accurate and appropriately signed. Ensure that each employee has a current copy of the PDQ that pertains to his or her position.
3. Prepare PDQs, as necessary, for vacant, direct report positions.
4. Ensure that the supervisor review section of the PDQs, including essential functions, is completed on each PDQ.
5. Complete a *DOT Reclassification Checklist*, if a position appears to be classified incorrectly, and submit all necessary documents within the Electronic Position

Questionnaire System. Apply review approval, forwarding to higher levels of management up to the Office of Employee Services. Take the following information into consideration in determining if the position should be submitted for review:

- Consider alternatives to reclassification, such as reassigning duties or reorganizing the work unit.
- Consider the potential impact of classification changes to other positions in the work unit, office and/or the DOT.
- Ensure that associated supervisors, managers and division directors are aware of classification issues affecting the supervisor's work units.

C. Division Directors shall:

1. If a position appears to be classified incorrectly, work with the appropriate office director to:
 - a. Consider alternatives to reclassification, such as reassigning duties or reorganizing the work unit.
 - b. Consider the potential impact of classification changes to other positions in the work unit, office and/or the DOT.
 - c. Ensure that supervisors and managers are aware of classification issues affecting the division.
2. Sign PDQs as the appointing authority.
3. Review position classification information prior to the Office of Employee Services sending to the DAS-HRE personnel officer for a formal review.

D. Office of Employee Services shall:

1. Review PDQs at the request of current incumbents, supervisors, or managers. Suggest alternate language, options for requested classes, or otherwise assist in the development of PDQs.
2. Ensure PDQs are complete and contain proper signatures and track reviews during the classification process.
3. Research, analyze and compare duties on PDQs submitted for reclassification, provide findings to appropriate division director and forward to the DAS-HRE personnel officer for classification decision.
4. Serve as liaison between management and the DAS-HRE personnel officer by coordinating classification activities affecting the DOT.
5. Process PDQs and make corresponding changes in the HRIS.

E. Major Classification Studies

1. The Office of Employee Services shall facilitate the review of all requests for major classification studies within the DOT. The requests are ranked by the Management Team.
2. The Office of Employee Services shall work with DAS-HRE to coordinate the classification studies.

Any exceptions to this policy must be approved by the Director of the Operations and Finance Division.

Iowa DOT Policies and Procedures

Title		Policy No.
Investigations		230.09
Responsible Office	Related Policies and Procedures	
Office of Employee Services	230.02, 230.03, 230.08	
Effective/Revision Dates	Approval(s)	
4-5-1999/7-1-2017	<i>See A. Wilkinson</i>	

Authority: Director of the Operations and Finance Division.

Contents: This policy applies to investigations of alleged violations of:

- State of Iowa administrative rules, policies or executive orders.
- Department of Transportation policies and work rules.
- Established procedures unique to a specific work unit, office or division.

This policy does not apply to responses to complaints filed with external agencies, such as the Iowa Civil Rights Commission, the federal Equal Employment Opportunity Commission or local human rights agencies.

Affected Offices: All

Who to Contact for Policy Questions: Office of Employee Services, telephone 515-239-1399.

Definitions:

Investigation – The process of gathering information in order to determine facts.

Just cause – The set of conditions that must exist before discipline is considered appropriate. A detailed discussion of the elements of just cause is found in Chapter 11 of the DAS-HRE Managers and Supervisors Manual.

Forms: None

I. Policy

- A. It is the policy of the DOT that all supervisors shall conduct investigations when they become aware of situations in which a rule or policy may have been violated. To the extent practicable, an investigation shall be performed by the supervisor of the employee who allegedly committed the violation.
- B. Prior to conducting an investigation, the supervisor shall contact his or her next higher level supervisor and an employee relations officer in the Office of Employee Services. The supervisor and employee relations officer shall develop an investigation plan.
- C. Investigations shall be conducted in such a way as to ensure fair and equal treatment of all employees. The employee relations officer shall consider elements of just cause.

D. .

II. Conflict

If any provision of this policy conflicts with a Department of Administrative Services' administrative rule, the rule, as applicable, shall prevail.



Iowa Department of Transportation
Policies and Procedures Manual

Title Discipline and Other Corrective Action		Policy No. 230.02
Responsible Office Office of Employee Services		Related Policies and Procedures 230.01, 230.09
Effective/Revision Dates 5-25-1976/1-9-2013	Approval(s) <i>See A. Wilkinson</i>	

Authority: Director of the Operations and Finance Division.

Contents: This policy establishes responsibilities and procedures for administering discipline and correcting the behavior of permanent employees.

Affected Offices: All

Who to Contact for Policy Questions: Office of Employee Services, telephone 515-239-1921.

Definitions:

Counseling - A discussion between the supervisor and employee, in which the supervisor advises the employee that a change in employment-related behavior or performance is needed. Counseling is not discipline, and it does not include day-to-day discussions regarding job expectations.

DAS-HRE - Department of Administrative Services-Human Resources Enterprise.

Discipline - Formal documented action taken to correct an employee's employment-related behavior or performance, as provided for by the administrative rules of the Iowa Department of Administrative Services and the applicable collective bargaining agreement. Discipline, other than discharge, serves as a warning that continuation of the unacceptable behavior or performance may result in further disciplinary action, up to and including discharge. Types of discipline include:

- *Written reprimand:* Documentation of an employee's unacceptable behavior or performance; it does not include a suspension.
- *Suspension:*

Suspension without pay - A temporary period of time during which an employee covered by the Fair Labor Standards Act (FLSA) neither works nor is paid.

Note: Employees covered by the FLSA are eligible for time and one-half overtime. This information is in the pay plan.

Suspension with pay - This is referred to as a "paper suspension" and is used for employees exempt from the FLSA. It serves to document discipline equivalent to a

suspension without pay. An employee may either be sent home with an alternate work assignment for a temporary period of time or remain at work.

Note: Employees exempt from the FLSA are not eligible for time and one-half overtime. This information is in the pay plan.

- *Demotion*: The reclassification or reassignment of a permanent employee from one classification to another classification having a lower pay grade.
- *Discharge*: Involuntary termination of employment.

Final Warning - A clear notice that if the employee continues to engage in the same type of behavior or incurs further work rule violations that would normally result in some type of disciplinary action, the employee will be discharged.

Just Cause - The set of conditions that must exist before discipline is considered appropriate. A detailed discussion of the elements of just cause is found in Chapter 11 of the DAS-HRE Managers and Supervisors Manual.

References: The following may be found in the Supervisor's Toolbox on the front page of DOTNET or on the websites listed below.

Iowa Department of Administrative Services administrative rules 11 IAC Chapter 60
website: http://www.iowadot.gov/pol_leg_services/adminrules.htm

(Note: After you click on the above website, then click on the link that refers you to rules for all state agencies to find 11 IAC 60.)

DAS-HRE Managers and Supervisors Manual, Chapter 11
website: http://das.hre.iowa.gov/ms_manual.html

AFSCME Collective Bargaining Agreement, Article IV, Section 9
website: http://das.hre.iowa.gov/collective_bargaining.html

IUP Science Collective Bargaining Agreement, Article IV, Section 11
website: http://das.hre.iowa.gov/collective_bargaining.html

Forms: None

Policy and Procedure:

I. Policy

It is the policy of the State of Iowa and the Department of Transportation (DOT) that:

- The goal of discipline is to correct inefficiency or inappropriate behavior or performance.
- All employees shall be treated fairly in matters of discipline.

It is the policy of the DOT that employee relations officers in the Office of Employee Services shall coordinate all decisions and activities related to discipline or other corrective action.

II. Responsibilities

A. Employee relations officers shall:

- Review and approve investigation plans.
- Consider elements of just cause.
- Review investigation results and determine, in accordance with the procedures in section III.B., whether and what level of discipline or other corrective action is warranted.
- Maintain records of disciplinary actions.

B. Supervisors shall:

- Work with an employee relations officer to determine whether discipline or other corrective action is warranted (see Policy No. 230.09, *Investigations*).
- Notify their next higher level supervisor of investigations and possible discipline or other corrective action.
- Enforce policies and work rules of the DOT by administering discipline or taking other corrective action when necessary, in accordance with this policy.

III. Procedures

A. **Investigation.** A supervisor who becomes aware that an individual may have violated a policy or work rule must contact an employee relations officer and conduct an investigation of the incident in accordance with Policy No. 230.09, in order to determine if a violation of a policy or work rule has occurred.

B. **Determination of discipline or other corrective action.** After the investigation is completed:

1. The employee relations officer shall develop a recommendation for discipline or other corrective action and review the recommendation with the:
 - Individual conducting the investigation.
 - Assigned DAS-HRE personnel officer.
 - Appropriate DOT management staff.
2. If the supervisor disagrees with the recommendation for discipline or other corrective action, the employee relations officer shall work with the appropriate management staff to resolve the issue.
3. Any decision to discharge an employee shall require the approval of the Director of Transportation.
4. If discharge is likely warranted, the employee must be informed in person that discharge is being considered and be given the opportunity to respond to the

allegations. This is known as the *Loudermill* meeting. The employee is given an explanation of the findings of the investigation and an opportunity to present additional information that the employee wants management to consider prior to the imposition of discipline. If the decision stands after this discussion, the employee must be informed of the action in writing (see Section III.C.3.).

C. Discipline. If it is determined that discipline is warranted:

1. The employee's supervisor is responsible for implementing and supporting this determination.
2. Discipline may include, but is not limited to:
 - Written reprimand.
 - Suspension without pay.
 - Suspension with pay for an employee exempt from the FLSA (see **Definitions**).
 - Demotion.
 - Discharge.
3. The supervisor shall document the disciplinary action to be taken in a letter to the employee. The letter must be reviewed and approved by an employee relations officer before it is given to the employee. Sample letters may be found in the Supervisor's Tool Box on DOTNET. A discipline letter must include:
 - Date of the letter.
 - A statement of the discipline being imposed. Example: *This letter will serve as notice of a written reprimand effective January 5, 2012.* If the discipline is a suspension, state the number of days, the dates on which the suspension will be served, and the date and time the employee is expected to return to work, if applicable.
 - The work rule(s) violated.
 - A description of the unacceptable behavior or performance and/or policy violation(s).
 - A statement of previous discipline if it is appropriate to the current situation.
 - A statement of the consequences of future infractions.
 - A final warning, if applicable.
 - Grievance and appeal rights.
 - Typed name and handwritten signature of the supervisor issuing the discipline.

- A location for the employee to sign and date the letter, acknowledging receipt by the employee. If the employee refuses to sign, the supervisor issuing the letter shall write "Refused to sign," and date and initial the letter.

The supervisor shall give the signed original letter to the employee, retain a signed copy, and distribute signed copies.

Distribution of copies shall be made the same day the letter is given to the employee, as follows:

- Employee's union representative, if applicable.
- Personnel file copy (send to personnel assistant in the Office of Employee Services).
- DAS-HRE personnel officer.
- Employee relations officer in the Office of Employee Services.
- Next higher level supervisor.

D. Other corrective action. If it is determined that other corrective action is warranted:

1. The employee's supervisor is responsible for implementing and supporting this determination.
2. Corrective actions include, but are not limited to:
 - Counseling the employee. The employee shall be given written documentation of the discussion and the supervisor shall keep a copy. This document does not go into the employee's personnel file.
 - Requiring the employee to participate in training, periodic evaluations or other actions as needed.

IV. Conflict

If any provision of this policy conflicts with a collective bargaining agreement or Iowa Department of Administrative Services' administrative rule, the agreement or rule, as applicable, shall prevail.

Iowa DOT Policies and Procedures

Title Workplace Environment		Policy No. 230.08
Responsible Office Office of Employee Services	Related Policies and Procedures 230.01, 230.02, 230.03, 230.09	
Effective/Revision Dates 3-31-1992/7-1-2017	Approval(s) <i>See A. Wilkinson</i>	

Authority: Director of the Operations and Finance Division.

Contents: This document establishes agency policy for maintaining a work environment free of inappropriate and/or offensive behavior. It defines and prohibits actions that are inconsistent with the policy and establishes corresponding responsibilities for both supervisory and non-supervisory employees.

This document does not:

- Address sexual harassment or other inappropriate behavior related to race, religion, national origin, sex, color, creed, mental or physical disability or age. See Policy No. 230.03, *Equal Employment Opportunity and Affirmative Action*, for agency policy and the complaint procedure regarding these issues.
- Use the term "harassment" because of the specific definition of "harassment" in Iowa Code section 708.7. As defined in the Iowa Code, "harassment" is covered by the State of Iowa Violence Free Workplace Policy.

Affected Offices: All

Who to Contact for Policy Questions: Office of Employee Services; telephone 515-239-1921.

Definitions:

Alternative dispute resolution process - An informal procedure to assist parties with fashioning an agreement that mitigates areas of conflict.

Workplace environment complaint - Any oral or written report alleging a violation of this policy or a personal observation of an action that appears to violate this policy.

References:

Iowa Department of Administrative Services administrative rule 11 IAC 66.4.
website: http://www.iowadot.gov/pol_leg_services/adminrules.htm

(Note: After you click on the above website, then click on the link that refers you to rules for all state agencies to find 11 IAC 66.4.)

Department of Transportation (DOT) Work Rules *(may be found in the Supervisor's Toolbox on the front page of DOTNET)*

State of Iowa Violence Free Workplace Policy (*may be found in the Supervisor's Toolbox on the front page of DOTNET*)

Forms: None

Policy and Procedure:

I. Policy

- A. The goal of the DOT is to provide a work environment that is free of inappropriate and/or offensive behavior--one in which all employees can work productively and efficiently and be treated with dignity and respect and in a professional manner. This applies to the conduct of employees as they carry out DOT business and interact with other DOT employees, other governmental employees, contractors, consultants, vendors, and the public.
- B. Any employee who experiences or witnesses behavior believed to be inappropriate and/or offensive has the right to seek resolution of the situation without jeopardizing employment or future career opportunities.
- C. Some forms of conduct in or reasonably related to the workplace are violations of this policy and are therefore prohibited. Examples of prohibited conduct include, but are not limited to:
 1. Comments or behaviors that are derogatory, demeaning, insulting, intimidating, or mean-spirited. This includes verbal, physical, written and electronic communications, and pictorial comments or materials.
 2. Exclusion of a co-worker from the work group so as to deny the employee those resources and communications necessary to accomplish the employee's job duties.
 3. Behavior that is meant to disrupt another employee's ability to complete work assignments.
 4. False, malicious, or defamatory statements concerning co-workers or supervisors.
 5. Malicious gossip or rumors regarding co-workers, supervisors or the DOT, whether repeated or initiated.
 6. Retaliation, punishment, reprisal, or adverse treatment directed toward a person who reports conduct prohibited by this policy.
 7. Failure to cooperate with an investigation by lying or withholding information that may allow inappropriate and/or offensive behavior to continue.
 8. Granting of special privileges or learning advantages when the decision is not based on operational considerations.
 9. Use of language that is obscene or profane.

Care should be taken in the implementation of this policy to ensure that it does not violate the legitimate free speech rights of individuals.

- D. Depending on the circumstances, other forms of conduct may create an inappropriate and/or offensive work environment in violation of this policy. Such conduct includes, but is not limited to:
 - 1. Playing practical jokes or horseplay.
 - 2. Touching, hugging or kissing.
- E. The DOT will not tolerate inappropriate and/or offensive behavior directed toward its employees by an individual with whom the DOT has a contractual or business relationship, including citizens/customers. Any DOT employee who experiences or witnesses such behavior should report it to the employee's supervisor for appropriate action.
- F. The DOT will not tolerate any retaliation, punishment, reprisal, or adverse treatment directed toward a person who reports, in good faith, conduct prohibited by this policy. A DOT employee who engages in or attempts to engage in such retaliatory behavior is subject to disciplinary action up to and including discharge.

II. Responsibilities of Employees, Managers and Supervisors

- A. **Employees.** All employees of the DOT, including managers and supervisors, are responsible for maintaining a work environment in which all employees are treated with dignity and respect and in a professional manner. Employees are required to:
 - 1. Be a positive role model for co-workers.
 - 2. Tell a person who is acting in an inappropriate and/or offensive manner to stop.
 - 3. Report, in detail, all inappropriate and/or offensive behavior experienced or witnessed to a supervisor or an employee relations officer in the Office of Employee Services.
 - 4. Cooperate with an investigation by offering detailed information and responding openly, truthfully and completely to all questions.
- B. **Managers and supervisors.** In addition to the responsibilities listed above, managers and supervisors are required to:
 - 1. Base access to training opportunities and work assignments on business needs.
 - 2. Take steps to prevent inappropriate and/or offensive behavior by making a reasonable effort to:
 - a. Be aware of and sensitive to all employees' behavior.
 - b. Establish and maintain an environment that makes it comfortable for employees to report inappropriate and/or offensive behavior.

- c. Act promptly to stop observed inappropriate and/or offensive behavior or retaliatory actions without waiting for a written workplace environment complaint, and contact an employee relations officer for assistance in developing an investigation plan. See Policy No. 230.09, *Investigations*.
 3. Work with an employee relations officer to investigate and resolve inappropriate and/or offensive behavior as follows:
 - a. Notify an employee relations officer if they have observed, intervened in, or received a report of behavior that violates this policy.
 - b. When notified by an employee relations officer of a workplace environment complaint, work with the employee relations officer to investigate the complaint promptly, thoroughly and sincerely. All investigations must be conducted in accordance with Policy No. 230.09, *Investigations*.
 - c. Implement and support any discipline or other corrective action to be taken following an investigation. See Policy No. 230.02, *Discipline and Other Corrective Action*.

III. Workplace Environment Complaint Processes

A. Complaints regarding DOT employees.

1. To file a workplace environment complaint, a complainant shall report the inappropriate and/or offensive behavior in writing, including all pertinent details, to an employee relations officer.
2. The employee relations officer shall review the complaint with the immediate supervisor to obtain background and to get input on the situation. However, if the immediate supervisor is the subject of the complaint, the employee relations officer shall, instead, discuss the issue with appropriate management.
3. An investigation shall be conducted in accordance with Policy No. 230.09, *Investigations*.
4. If at any time an alternative dispute resolution process is deemed appropriate, the employee relations officer shall work with the appropriate staff and facilitate the process.
5. If the results of the investigation document a violation of a policy or work rule, a decision shall be made as to whether just cause exists and what level of discipline or other corrective action is warranted. See Policy No. 230.02, *Discipline and Other Corrective Action*, for details of this process.

B. Complaints regarding persons outside the agency.

1. Any DOT employee who experiences or witnesses inappropriate and/or offensive behavior directed toward a DOT employee by a person outside the agency should:

- a. Tell the person who is acting in an inappropriate and/or offensive manner to stop.
 - b. Report the inappropriate and/or offensive behavior to his or her immediate supervisor.
2. A supervisor who receives a report of such behavior shall contact an employee relations officer to begin an investigation consistent with Policy No. 230.09, *Investigations*.

IV. Policy Violations

Any employee is subject to potential disciplinary action for:

- A. The employee's own acts of inappropriate and/or offensive behavior in, or reasonably related to, the workplace.
- B. Failure to cooperate with an investigation of behavior prohibited by this policy.
- C. Failure to mitigate or report inappropriate and/or offensive behavior when it is reasonable to do so.

V. Required Posting

Supervisors shall post this policy on bulletin boards within their respective work areas.

VI. Conflict

If any provision of this policy conflicts with a Department of Administrative Services' administrative rule, the rule, as applicable, shall prevail.