Attachment N – Equal Employment Opportunity Policy Statement

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION PROGRAM AND STATE ASSURANCE WITH REGARD TO EQUAL EMPLOYMENT OPPORTUNITY AS REQUIRED BY SECTION 19 OF THE UMT ACT OF 1964

July 20, 2011

Policy Statement

The Iowa Department of Transportation's (DOT) equal employment opportunity (EEO) policy is based on the principle that equality and human dignity are the right of every individual.

The Iowa DOT adopts the 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 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 Policy Statement

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 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 Paul Trombino, III, 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 Commissions, 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.

Paul Trombino III, P.E.
Director
Iowa Department of Transportation

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

Americans with Disabilities Act of 1990
U.S. Civil Rights Act of 1964 – Title VII
Iowa Civil Rights Act of 1964 (as amended)
Title VI of the Civil Rights Act of 1964
Equal Pay Act of 1963
Age Discrimination in Employment Act of 1967
Section 504 of the Rehabilitation Act of 1973
Federal Aid Highway Act of 1968 and UMT Act of 1964
Vietnam Era Veterans Readjustment Assistance Act of 1974
Iowa Code Chapter 19B (Equal Opportunity and Affirmative Action); State of Iowa Executive Orders 4, 15, 18, 34 and 44; State of Iowa Equal Opportunity, Affirmative Action and Anti-discrimination Policy (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

To Be Posted on all Bulletin Boards

Dissemination

Managers and Supervisors shall be fully informed of the Iowa DOT's EEO policy through:

- Written communication from the Director or designee.
- Inclusion of the EEO program in Iowa DOT policies.
- Meetings held (at a minimum, semiannually such as the Supervisor Roundtables and/or the Fall Supervisors Conference) to discuss the EEO program and its implementation.

Non-supervisory staff (employees) shall be informed of the Iowa DOT's EEO policy and program through:

- Posting official EEO posters and the policy statement on bulletin boards, in the lunch room, and in the Office of Employee Services.
- Including the EEO policy in the employee handbooks, reports, and employee manuals.
- Meeting with minority and female employees to get their suggestions in implementing and refining the EEO program; and
- Presentation and discussion of the EEO program as part of the employee orientation and in all training programs.

- Both internal and external DOT vacancy announcements and advertisements contain an EEO statement. All external advertising states, "The State of Iowa is an Equal Employment Opportunity/Affirmative Action Employer. Women, minorities and persons with disabilities are encouraged to apply."

Designation of Personnel

Iowa DOT's Organizational Chart – See Addendum 1
Office of Employee Services Organizational Chart – See Addendum 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. Paul Trombino, III was hired in May 2011 as the new director for the Iowa DOT.

Todd Sadler, Director, and the Civil Rights Team consisting of Walter Reed, Executive Officer 2, Elvie Laudencia, Executive Officer 1, Scott Zalaznik, Personnel Management Specialist, and Nikita Rainey, Affirmative Action Compliance Officer 1, Office of Employee Services (OES) at the Iowa DOT, under the guidance/supervision of Lee Wilkinson, Director of the Operations and Finance Division, and the direction of Paul Trombino, III, 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 policy, federal and state laws and assure that equal opportunity is given to all applicants. She counsels applicants, employees and managers regarding AA/EEO issues; and compiles, consolidates and prepares the Internal AA/EEO Plan for review by the appropriate level of management. She conducts discrimination, harassment, and workplace environment investigations of complaints filed internally; writes summary reports of findings and conclusions, and makes recommendations to management. She investigates and writes 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. Ms. Laudencia is actively involved in the request for reasonable accommodations consultations with management relating to granting and denying those requests of employees with disabilities, as well as applicants in need of accommodations.

Utilization Analysis

Current workforce –
Availability analysis –
Calculate using whole person –

The Iowa DOT has not tracked any data in the format required under the FTA Circular 4704.1 as shown in the Sample Charts (Workforce and Employment Practices Charts) provided by the Region VII Civil Rights Officer for FTA.

The Iowa Department of Administrative Services-Human Resource Enterprise (DAS-HRE), which has the oversight responsibility of the State of Iowa's BrassRing application system and records, tracks the overall applicant flow data for the Iowa DOT. DAS-HRE has not tracked any data in the format required under the FTA Circular 4704.01.

The Iowa DOT or DAS-HRE has not tracked any data in the format required under the FTA Circular 4704.01.

Statement of Commitment

The Iowa DOT will commit to track data/information in the format required under the FTA Circular 4704.1. The State's Attorney General's office and DAS-HRE are investigating efficient ways to establish underutilization of job classifications, as well as data that will be available and accurate. Until this process is established, the Iowa DOT and/or DAS-HRE will not be able to provide any data that will be filled by recruitment, transfers, and new hires.

As a policy, the Iowa DOT as a state agency does not utilize promotional lists. All opportunities apart from lateral contract transfers are opened competitively to all applicants, internal and external. For this reason, data for jobs that will be filled by promotions will not be available. However, the Iowa DOT can keep track of current workforce with the type of appointment,
i.e., transfers, promotions, and new hires broken down by gender and ethnicity.
As a policy, the Iowa DOT as a state agency is committed to coordinating recruitment for underutilized job classifications and providing an enhanced recruitment action plan.

Assessment of Employment Practices

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 provisions of the collective bargaining agreements, and enhance the opportunities to create and sustain a diverse work force.

Both federal and state law prohibit 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/EEO Officer. The employee may also contact the Iowa Civil Rights Commission. If the employee needs accommodation due to a disability, the employee should contact the DOT's Affirmative Action/EEO Officer.

In addition, the DOT is committed to the following policies:

- Coordination of recruitment for underutilized and hard-to-fill classifications.
- Prohibition of nepotism
- Consideration of internal applicants for promotion, demotion and pay grade transfers to fill vacancies in permanent positions.
- Competition for temporary appointments when appropriate.

The Iowa DOT or DAS-HRE has not tracked any data/information in the format required under the FTA Circular 4704.01.

Statement of Commitment

The Iowa DOT will commit to track data/information in the format required under the FTA Circular 4704.1. The State's Attorney General's office and DAS-HRE are investigating efficient ways to establish underutilization of job classifications, as well as data that will be available and accurate.

Fiscal Year 2010 Progress:

I. Hiring Practices

The DOT reviewed and revised Policy 210.02 Recruitment, Selection, and Hiring Process. (Copy of Iowa DOT PPM 210.02 on Recruitment, Selection and Hiring Process is attached as Addendum 3.)

The revised policy included changes to steps in the following processes:

A. Preparing to fill a vacancy

- Review of position description questionnaire (PDQ);
- Completion of P-5 and HDJ now on the same online system; and
- Positions underutilized in more than one category require enhanced recruitment.

B. Screening and Interviewing Applicants

- Affirmative Action Officer's (AAO) approval of pre-interview screening criteria, applicant scores, and proposed list of interview questions prior to interviewing is now required when underutilization exists in more than one category; and
- Nepotism prohibition expanded to include all supervisors and lead workers in the chain of command.

C. Hiring Decision Justification and Reference Checks

The policy more clearly defines what is required to be submitted for approval prior to an offer being made. The selecting authority shall submit 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,
- justification for the recommended hire to the AAO in the Office of Employee Services (OES),
- a copy of the following documents shall also be submitted:
    - BrassRing certificate list,
    - pre-interview screening criteria and scores, if applicable,
    - interview questions,
    - interview scores/matrix,
    - PDQ/essential functions, and
    - reference check(s).

II. Recruitment

Job Postings and Advertisement/Promotion:

- The DOT continues to utilize all-applicant lists posted through the State of Iowa's employment website (DAS – BrassRing) from which most, if not all, positions are additionally posted at Iowa Workforce Development and Smartcareermove.com. At the discretion of the selecting authority, vacancies may be advertised using paid postings. These postings have been placed at Careerbuilder.com, Monster.com, and Dice.com.

- In Fiscal Year (FY) 2010, the DOT has continued its practice of utilizing running employment display ads in the Iowa Bystander, the largest statewide African American newspaper, and El Communicador, its affiliated Hispanic-American newspaper. Supplementing this has been an increased use of display ads in regional newspaper networks. This increases the DOT's exposure overall including to our state's diverse populations that may not be routinely exposed to our job posting online. The DOT will expand the use of these advertising methods in FY 2011.

- 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:

    - 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 Services
    - Women and Minorities in Construction Program Grant Coordinator
    - George Mosby – National Guard Job Connection
    - Latinos Unidos of Iowa
    - Iowa College Recruiting Network (ICRN) – member schools
    - 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, West Des Moines and 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 in which the DOT participated during FY 2010 are:

    - Iowa Latino Conference and Iowa Latino Conference Planning Committee
    - Greater Des Moines Partnership's Quarterly Multicultural Receptions
    - Iowa Juneteenth celebration festival in Des Moines
    - Iowa State University's Diversity Engineering Fair

- CelebrAsian
- Iowa Mosaic Diversity Conference
- Latinos Unidos Job Resource Fair
- Latino Heritage Festival

- Additionally, the DOT participated in the following outreach events (not all inclusive):

  - Iowa State University Fall Engineering Fair
  - University of Iowa Fall Engineering Fair
  - Iowa State University Spring Engineering Fair
  - University of Iowa Spring Engineering Fair
  - Boone High School Career Fair

Collaborative Efforts with other state agencies and entities:

- The DOT continued to participate in the quarterly Statewide Strategic Recruitment Team meetings coordinated by the Department of Administrative Services - Human Resource Enterprise (DAS-HRE).

- The DOT partnered with the Iowa Vocational Rehabilitation Services (IVRS) in FY 2010 through a Customized Training pilot. The DOT intends to pursue similar partnerships as opportunities permit.

- The DOT partnered with Iowa Department of Economic Development (IDED) to represent Iowa at the NAACP National Convention Career Fair.

Appointment of formal work teams:

- The DOT compiled a team with representation from each division to complete a formal workforce plan. The plan was presented to the DOT Management Team for approval, then submitted to DAS-HRE in July 2009.

- The DOT approved a Recruitment and Retention Plan in 2008. This plan was also put together by a team comprised of representatives from each division. The first priority of the plan is to increase exposure to currently qualified potential applicants. The DOT has enhanced its utilization of web technology to promote employment opportunities with the DOT through an employment page on the DOT website. The employment page includes links to our current job postings (through DAS). Visitors interested in employment opportunities with the DOT are able to sign up to receive updates via Really Simple Syndication (RSS) feeds and/or through Twitter. A very brief welcome video based on the DOT Vision statement and workforce guiding principles is showcased on the employment homepage. The video displays and emphasizes the diversity that exists within the DOT both in careers and people. During the last 7 months of FY 2010, the site logged 35,410 absolute unique visitors and 64,287 visits to the site. The Job Alerts email service had over 775 email subscriptions at the end of FY 2010. Due to a statewide DOT employment marketing campaign, the website has increased to over 40,000 unique visitors and surpassed the 1000 email subscriptions mark during the first month of FY 2011.

- The DOT completed the establishment of a new Civil Rights Coordinator position to manage the DOT's overall Civil Rights program, as well as the development of a community outreach program to improve access to the DOT. The new coordinator was hired in April of 2010.

III. Retention

- The DOT hired a consultant to work with managers and supervisors to evaluate the following areas of the organizational survey that was conducted in 2008:

    - Employee Interaction and Development
    - Recognition
    - Decision Making
    - Trust

    Management Team is reviewing the results to determine action steps.

- The DOT continues to conduct exit interviews with employees who leave the DOT.

- The DOT has evaluated its new employee orientation process and on-boarding. This resulted in process improvements involving a division director and OES director welcoming the employees at the beginning of the orientation. The planning and preparation to establish a formal mentoring program and on-boarding of employees continue.

IV. 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 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 Supervisor Roundtables with emphasis on human resource topics, including recruiting and diversity.

The eighth annual Supervisors Conference that was conducted in September 2010 focused on diversity/Equal Employment Opportunity/Affirmative Action, hiring practices, and other human resource topics.

SUMMARY OF EMPLOYMENT ACTIVITIES

The Iowa DOT or DAS-HRE has not tracked any data/information in the format required under the FTA Circular 4704.01.

Statement of Commitment

The Iowa DOT will commit to track data/information in the format required under the FTA Circular 4704.1. The State's Attorney General's office and DAS-HRE are investigating efficient ways to establish underutilization of job classifications, as well as data that will be available and accurate.

For purposes of this fiscal year's Assessment of Employment Practices, we are including the Summary and Workflow Analysis previously submitted to identify adverse impact analysis, barrier analysis, findings, action plan to address identified employment barriers, under-representation and/or concentration. The Iowa DOT reiterates its Statement of Commitment to support our analysis of employment practices with a statistical data and/or statistical chart in the format required under FTA

Circular 4704.1.

The charts on pages 20-23 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 classes – 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 consists 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 highlighted in red on the Adverse Impact study.

WORK FLOW ANALYSIS

<u>Gender</u>

Department Level

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 "application to referral" and "referral to interview" stages. Results from the "two standard deviation" test identified both the "application to referral" and the "referral to interview" stages should be looked at in more detail. Using the DOT as the unit of analysis, review of "four-fifths" rule results for females indicated equitable progress from the "interview to hire" stage.

Category Level

Application to Referral Stage

Using AA/EEO categories as the units of analysis, review of "four-fifths" rule results for females indicated equitable progress on the "application to referral" stage in the Officials and Administrators (01), Administrative Support (06) and Service and Maintenance (08) categories.

Using AA/EEO categories as the units of analysis, review of "four-fifths" rule results for females indicated a need for further statistical analysis for the "application to referral" stage for Professional (02), Technician (03), Protective Service: Sworn (04), and Skilled Craft (07) categories. Results from the "two standard deviation" test indicated that results in the Protective Service: Sworn (04), category were within the realm of random occurrence, while results for the Professional (02), Technician (03), and Skilled Craft (07) categories indicated the "application to referral" stage should be looked at in more detail.

Referral to Interview Stage

Using AA/EEO categories as the units 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), Professional (02), Technician (03), Protective Service: Sworn (04), Administrative Support (06), and Service and Maintenance (08) categories.

Using AA/EEO categories as the units 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 Skilled Craft (07) category. Results from the "two standard deviation" test indicated the "referral to interview" stage should be looked at in more detail.

Interview to Hire Stage

Using AA/EEO categories as the units of analysis, review of "four-fifths" rule results for females indicated equitable progress on the "interview to hire" stage in the Officials and Administrators (01), Professional (02), Technician (03) and Protective Service: Sworn (04) categories.

Using AA/EEO categories as the units 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 Administrative Support (06), Skilled Craft (07) and Service and Maintenance (08) categories. Results from the "two standard deviation test" indicated that results in the three categories were 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 except if the job classification is underutilized for minority, female and/or person with disability categories. DAS determines which candidates are selected for referral to the DOT, where a selecting authority typically utilizes a paper review of resume and supporting materials to determine interview invitations.

<u>Ethnicity</u>

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" and "interview to hire" stages.

Results from the "two standard deviation" test indicated that the "referral to interview" stage should be looked at in more detail while results for the "interview to hire" stage were within the realm of random occurrence.

Category Level

Application to Referral Stage

Using AA/EEO categories as the units of analysis, review of "four-fifths" rule results for minorities indicated equitable progress on 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 units of analysis, review of "four-fifths" rule results for minorities 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 indicated that results in the Technician (03) category were within the realm of random occurrence.

Using AA/EEO categories as the units of analysis, review of "four-fifths" rule results for minorities indicated equitable progress on the "referral to interview" stage in the Officials and Administrators (01), and Service and Maintenance (08) categories.

Using AA/EEO categories as the units of analysis, review of "four-fifths" rule results for minorities indicated a need for further statistical analysis for the "referral to interview" stage for the Professional (02), Technician (03), Protective Service: Sworn (04), Administrative Support (06) and Skilled Craft (07) categories. Results from the two "standard deviation test" indicated that results in the Professional (02), Technician (03), Administrative Support (06) and Skilled Craft (07) categories were within the realm of random occurrence, while the Protective Service: Sworn (04) category should be looked at in more detail.

Interview to Hire Stage

Using AA/EEO categories as the units of analysis, review of "four-fifths" rule results for minorities indicated equitable progress on the "interview to hire" stage in the Officials and Administrators (01), Administrative Support (06), Skilled Craft (07) and Service and Maintenance (08) categories.

Using AA/EEO categories as the units of analysis, review of "four-fifths" rule results for minorities indicated a need for further statistical analysis for the "interview to hire" stage for Professional (02), Technician (03) and Protective Service: Sworn (04) categories. Results from the "two standard deviation" test indicated that results in the Technician (03) and Protective Service: Sworn (04) were within the realm of random occurrence, while the Professional (02) category should be looked at in more detail.

Comment

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 except if the job classification is underutilized for minority, female and person with disability categories. DAS determines which candidates are selected for referral to the DOT, where a selecting 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 "application to referral" and "referral to interview" stages suggested these stages were potential barriers for employment. Two sets of analyses were conducted to investigate these finding.

Category Level

First, as reported earlier, an AA/EEO category-level analysis was performed. Review of "four-fifths" rule results for females indicated a need for further statistical analysis for the "application to referral" stage for the Professional (02), Technician (03), Protective Service: Sworn (04), and Skilled Craft (07) categories. Results from the "two standard deviation" test identified results for the Protective Service: Sworn (04) category were within the realm of random occurrence, while results for the Professional (02), Technician (03) and Skilled Craft (07) categories should be looked at in more detail.

Review of "four-fifths" rule results for females indicated a need for further statistical analysis for the "referral to interview" stage for the Skilled Craft (07) category. The "two standard deviation" test results indicated results should be looked at in more detail.

These results suggest potential barriers for employment with Professional (02), Technician (03), and Skilled Craft (07) categories within the "application to referral" stage and within the Skilled Craft (07) category within the "referral to interview" stage.

Largest Applicant Pool Analysis

Second, based on both the large number of applicants in past years as well as for the 2010 fiscal year, 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 that category. Of the 3,774 females applying for positions with the DOT, 2,570 (68.1%) applied for administrative support positions.

Results from the category 06/non-category 06 analysis showed that women applying for Administrative Support (06) positions progressed equitably through the "application to referral" stage, having passed the "four-fifths" rule. Results of the "four-fifths" and "two standard deviation" test indicated results across the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08) should be looked at in more detail.

Results from the category 06/non-category 06 analysis showed that women applying for Administrative Support (06) positions progressed equitably through the "referral to interview" stage, having passed the "four-fifths" rule. The same was found across the combined non-category 06 group.

Results from the category 06/non-category 06 analysis for the "interview to hire" stage showed that women applying for positions across the combined non-category 06 group progressed equitably, having passed the four-fifths" test. Results for Administrative Support (06) positions indicated the need for further statistical analysis, though the "two standard deviation" test indicated results were within the realm of random occurrence.

Discussion

Analyses at the AA/EEO category and largest applicant pool level were inconsistent in their support of department-level findings in regard to potential barriers to females at the "application to referral" and "referral to interview" stages.

Analysis at the AA/EEO category and largest applicant pool levels generally support the department-level findings within the "application to referral" stage. Department-level findings pointed to further investigation of the "application to referral" stage, as did the results of the category 06/non-category 06 analysis which pointed to looking further outside of category 06. The AA/EEO category analysis found multiple categories not passing the "four-fifths" rule, with the "two standard deviation" test indicating the Professional (02), Technician (03) and Skilled Craft (07) categories should be looked at in more detail.

Analysis at the AA/EEO category and largest applicant pool levels did not generally support the department-level findings within the "referral to interview" stage. Department-level findings pointed to further investigation of the "referral to interview" stage. This is in contrast to the findings of the category 06/non-category 06 analysis where, having passed the "four-fifths" rule, females were found to be progressing equitably in both cases. The AA/EEO category analyses found one category (Skilled Craft (07)) where the "four-fifths" rule and "two standard deviation" test indicated a need to be looked at in more detail.

It should be noted that in Administrative Support (06) positions, where a majority of female applicants (68.1%) sought employment at the DOT, equitable progress was made at all stages of the hiring process. The contrary results between the department-level and largest applicant pool analysis for females suggests the large number of female applicants for Administrative Support (06) positions impacted and potentially biased the department-level results. More specifically, attrition within category 06 (found to be equitable) resulted in a total of 1,072 females not progressing from the referral to interview stage. This represented 86.9 percent of females referred within the category and 62.3 percent of all females referred to the DOT in FY2010 which may have skewed the DOT-level analysis at that stage.

Findings

Given the analysis of disaggregated data, female applicants are generally progressing equitably through both the "referral to interview" and "interview to hire" stages. In terms of potential barriers to employment for females, the "application to referral" stage should be looked at in more detail. Analysis at the AA/EEO category suggests a potential barrier for females in the Skilled Craft (07) category within the "referral to interview" stage.

Corrective Action plan

The DOT recognizes that there are procedural challenges and is working with DAS-HRE in finding methods, strategies and innovative processes to improve employment process. The DOT has successfully completed its plan of a greater utilization of web technology to promote employment opportunities with the DOT by including an employment page. With the employment page included on the DOT website, and newly implemented revised Policy 210.02 Recruitment, Selection, and Hiring Process, the increased recruitment effort for vacancies that occur within classifications that are identified by DAS-HRE as requiring both Preferential and Non-preferential goals may potentially and positively impact those problematic areas identified.

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 suggested 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 of the "referral to interview" stage for the Professional (02), Technician (03), Protective Service: Sworn (04), Administrative Support (06) and Skilled Craft (07) categories.

"Two standard deviation" test results indicated the results for the Professional (02), Technician (03), Administrative Support (06) and Skilled Craft (07) were within the realm of random occurrence while those in the Protective Service: Sworn (04) category should be looked at in more detail.
These results suggest a potential barrier for employment within the Protective Service: Sworn (04) category of the "referral to interview" stage.

Largest Applicant Pool Analysis

Second, based on both the large number of applicants in past years as well as for the 2010 fiscal year, 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 that category. Of the 1,385 minorities applying for positions with the DOT, 562 (40.6%) applied for administrative support positions.

Results from the category 06/non-category 06 analysis showed that minorities applying for Administrative Support (06) positions progressed equitably through the "application to referral" stage, having passed the "four-fifths" rule. The same was found across the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08).

Results from the category 06/non-category 06 analysis at the "referral to interview" stage showed the "four-fifths" rule indicated a need for further statistical analysis. The "two standard deviation" test indicated results within category 06 were within the realm of random occurrence, while the results across the combined non-category 06 group should be looked at in more detail.

Results from the category 06/non-category 06 analysis showed that minorities applying for Administrative Support (06) positions progressed equitably through the "interview to hire" stage, having passed the "four-fifths" rule, while results of the "four-fifths" rule at this stage for the combined non-category 06 group indicated a need for further statistical analysis. The "two standard deviation" test indicated results for the combined non-category 06 group were within the realm of random occurrence.

Discussion

Analysis at the AA/EEO category and largest applicant pool levels generally support the department-level findings. Department-level findings pointed to further investigation of the "referral to interview"

stage, as did the results of the category 06/non-category 06 analysis – particularly outside of category 06. Though AA/EEO category analysis found multiple categories not passing the "four-fifths" rule, all but the results for the Protective Service: Sworn (04) category were found to be within the realm of random occurrence.

Findings

The disaggregated data analysis generally supports the department-level results. In terms of potential barriers to employment for minorities, the "referral to interview" stage should be looked at in more detail. Typically, the DOT does not have protected class information (except when a position is underutilized); selection for interview is based primarily on the materials submitted by applicants.

Corrective Action Plan

The DOT recognizes that 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:

- The DOT's newly revised Policy 210.02 Recruitment, Selection, and Hiring Process requires supervisors to involve the Affirmative Action Officer (AAO) in the pre-interview screening stage when a vacant position is underutilized in more than one category. The AAO reviews and approves the pre-interview screening criteria, applicant scores and proposed list of interviewees, and interview questions prior to interviewing.
  The DOT's plan for Fiscal Year 2011 is to expand this requirement of supervisors to involve the AAO in the pre-interviewing screening stage to *all vacant positions, underutilized or not underutilized.*

- The coordination of recruitment. When filling a position within a job classification that has been designated as underutilized for either minority or female, the selecting authority will consult with the Recruitment Officer and establish an enhanced recruitment action plan. Any additional recruitment effort will be determined by the Recruitment Officer and the selecting authority. All efforts and resources expended will be documented by the selecting authority.

- The DOT continues the planning and preparation to establish a formal mentoring program and on-boarding of employees.

- AA/EEO and diversity responsibilities are communicated to the supervisors/managers at the time of creation of a job posting when a position is to be filled. This emphasis may be demonstrated by the DOT's personnel assistants and the recruitment officer disseminating a copy of Policy 210.02 and/or other reminders.

- The creation of a Civil Rights team. The team was established with the intent of having a unified, comprehensive, and proactive approach when addressing civil rights issues. The team is responsible for implementing, monitoring and evaluating overall effectiveness of the programs. The team is responsible for community outreach, recruitment, data collection and analysis regarding civil rights issues/activities.

- With the employment page included on the DOT website, the increased recruitment effort for vacancies that occur within classifications that are identified by DAS-HRE as requiring both Preferential and Non-preferential goals may potentially and positively impact those problematic

areas identified.

The Iowa DOT reiterates its Statement of Commitment as above-written to support our analysis of employment practices with a statistical data and/or statistical chart.

FY 2010 ADVERSE IMPACT STUDY – Gender Results Summary – All Stages

FEMALES: Overall

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	3,774		(Fem/Male)	(Yes/No)		(Yes/No)	
Refer	1,722	*Apply to Refer*	79.0%	No	8.45	No	B, E
Interview	310	*Refer-Interview*	58.4%	No	8.76	No	B, C
Hire	46	*Interview-Hire*	103.0%	Yes			

FEMALES: Category 1 – Officials & Administrators

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	250		(Fem/Male)	(Yes/No)		(Yes/No)	
Refer	151	*Apply to Refer*	107.7%	Yes			
Interview	37	*Refer-Interview*	82.3%	Yes			
Hire	7	*Interview-Hire*	176.6%	Yes			

FEMALES: Category 2 – Professional.

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	454		(Fem/Male)	(Yes/No)		(Yes/No)	
Refer	183	*Apply to Refer*	79.5%	No	2.69	No	B, E
Interview	64	*Refer-Interview*	103.1%	Yes			
Hire	12	*Interview-Hire*	92.8%	Yes			

FEMALES: Category 3 – Technicians

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	260		(Fem/Male)	(Yes/No)		(Yes/No)	
Refer	50	*Apply to Refer*	51.6%	No	4.39	No	B, E
Interview	23	*Refer-Interview*	96.5%	Yes			
Hire	5	*Interview-Hire*	125.7%	Yes			

FEMALES: Category 4 – Protective Service: Sworn

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	80		(Fem/Male)	(Yes/No)		(Yes/No)	
Refer	24	*Apply to Refer*	72.5%	No	1.48	Yes	A, E
Interview	8	*Refer-Interview*	84.9%	Yes			
Hire	4	*Interview-Hire*	177.8%	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, nearly 7 out of 10 (68.1%) of all female 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 2010 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	Passed	SDs	Random?	
Apply	2,570		(Fem/Male)	(Yes/No)		(Yes/No)	D
Refer	1,233	*Apply to Refer*	107.5%	Yes			
Interview	161	*Refer-Interview*	120.9%	Yes			
Hire	17	*Interview-Hire*	58.7%	No	1.31	Yes	A

FEMALES: Category 7 – Skilled Craft

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	154		(Fem/Male)	(Yes/No)		(Yes/No)	
Refer	78	*Apply to Refer*	75.9%	No	2.41	No	B, E
Interview	14	*Refer-Interview*	57.5%	No	2.08	No	B, C
Hire	1	*Interview-Hire*	68.3%	No	0.54	Yes	A

FEMALES: Category 8 – Service & Maintenance

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	6		(Fem/Male)	(Yes/No)		(Yes/No)	
Refer	3	*Apply to Refer*	83.3%	Yes			
Interview	3	*Refer-Interview*	100%	Yes			
Hire	0	*Interview-Hire*	0%	No	0.58	Yes	A

FEMALES: Overall without Category 6 – Administrative Support

Stage	Number	Stage Progression	*80% Test*		2 Standard Deviation Test		Notes
			Ratio	*Passed*	SDs	Random?	
Apply	1,204		(Fem/Male)	*(Yes/No)*		(Yes/No)	
Refer	489	*Apply to Refer*	68.2%	No	8.08	No	B, E
Interview	149	*Refer-Interview*	92.7%	Yes			
Hire	29	*Interview-Hire*	136.2%	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, nearly 7 out of 10 (68.1%) of all female 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 2010 ADVERSE IMPACT STUDY – Minority Results Summary – All Stages

MINORITIES: Overall

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	1,385		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	663	*Apply to Refer*	87.3%	Yes			
Interview	134	*Refer-Interview*	71.2%	No	3.80	No	B, C
Hire	15	*Interview-Hire*	76.0%	No	1.04	Yes	A

MINORITIES: Category 1 – Officials & Administrators

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	89		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	49	*Apply to Refer*	95.2%	Yes			
Interview	16	*Refer-Interview*	119.4%	Yes			
Hire	2	*Interview-Hire*	93.8%	Yes			

MINORITIES: Category 2 – Professional.

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	319		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	164	*Apply to Refer*	110.2%	Yes			
Interview	45	*Refer-Interview*	76.0%	No	1.68	Yes	A, C
Hire	2	*Interview-Hire*	19.2%	No	2.56	No	B

MINORITIES: Category 3 – Technicians

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	96		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	21	*Apply to Refer*	64.8%	No	1.94	Yes	A,E
Interview	8	*Refer-Interview*	79.3%	No	0.64	Yes	A, C
Hire	1	*Interview-Hire*	68.5%	No	0.37	Yes	A

MINORITIES: Category 4 – Protective Service: Sworn

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	33		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	16	*Apply to Refer*	125.0%	Yes			
Interview	1	*Refer-Interview*	15.1%	No	2.17	No	B, C
Hire	0	*Interview-Hire*	0.0%	No	0.56	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 (40.6% 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 2010 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	Passed	SDs	Random?	
Apply	562		(Min/Maj)	(Yes/No)		(Yes/No)	**D**
Refer	245	*Apply to Refer*	91.5%	Yes			
Interview	24	*Refer-Interview*	76.0%	No	1.27	Yes	**A, C**
Hire	3	*Interview-Hire*	101.6%	Yes			

MINORITIES: Category 7 – Skilled Craft

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	282		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	166	*Apply to Refer*	88.3%	Yes			
Interview	38	*Refer-Interview*	73.1%	No	1.90	Yes	**A, C**
Hire	6	*Interview-Hire*	131.1%	Yes			

MINORITIES: Category 8 – Service & Maintenance

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	4		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	2	*Apply to Refer*	85.0%	Yes			
Interview	2	*Refer-Interview*	100%	Yes			
Hire	1	*Interview-Hire*	NA	Yes			

MINORITIES: Overall without Category 6 – Administrative Support

Stage	Number	Stage Progression	*80% Test*		2 Standard Deviation Test		Notes
			Ratio	*Passed*	SDs	Random?	
Apply	823		*(Min/Maj)*	*(Yes/No)*		(Yes/No)	
Refer	418	*Apply to Refer*	88.2%	Yes			
Interview	110	*Refer-Interview*	79.2%	No	2.37	No	B, C
Hire	12	*Interview-Hire*	72.6%	No	1.09	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 (40.6% 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

Monitoring and Reporting

1. Identify and describe the recipient's system for reporting, monitoring, and evaluating improvement. Examples: hiring, training, transfer and promotions in areas of underutilization.

Program Monitoring

In compliance with regulatory requirements, the Iowa DOT monitors its Affirmative Action Program to acknowledge its achievements, identify potential problems and devise recommendations for continual improvement to ensure that the program is successful. 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.

EEO Tracking Procedures

Iowa DOT's Recruitment, Selection and Hiring Process policy and the Iowa DAS-HRE's Applicant Screening Manual set forth our commitment to equal employment opportunity for all qualified persons. (For more information, please refer to Addendum 3, and for Applicant Screening Manual, please visit the Iowa DAS-HRE's internet page at http://das.iowa.gov/hre/documents/publications/applicant_screening_manual.pdf.) 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. Hiring goals for underutilized job classes shall be established when vacancies are anticipated and hiring opportunities exist.

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. When filling a position within a job classification that has been designated as underutilized for either minority or female by DAS-HRE Job Classes Underutilization List, the selecting authority shall consult with the Recruitment Officer in the Office of Employee Services and establish an enhanced recruitment action plan and any additional recruitment effort. (Copy of Iowa DOT's PPM 230.03 *Equal Employment Opportunity and Affirmative Action* is attached as Addendum 4.)

When a selection decision is made, the selecting authority submits a hiring decision justification (HDJ) along with documents for review and approval by the Affirmative Action Officer as required under Policy No. 230.03, *Equal Employment Opportunity and Affirmative Action*. The HDJ addresses the essential functions of the position, the screening criteria used, a comparison of applicants to the essential functions and screening criteria, and justification for the recommended hire.

Once positions are filled, applicant EEO data is tracked by DAS-HRE so it can be analyzed for the purpose of assessing our progress toward meeting our affirmative action goals and to set new goals. An applicant flow analysis is also performed. The applicant flow analysis is used to identify positions where DAS-HRE has the most difficulty attracting women and minority candidates so recruitment strategies and selection procedures can be evaluated and necessary changes made.

Training

Iowa DOT employees are provided with EEO and affirmative action training on a regular basis. The Operations and Finance Division's Office of Employee Services collaboratively works with DAS-HRE to provide EEO and affirmative action training opportunities to Iowa DOT employees.

The Iowa DOT continues to offer training to all employees. Required courses for all new employees are Preventing Sexual Harassment, Valuing Diversity, New Employee Orientation, Affirmative Action/Equal Employment Opportunity, and Communication Effectiveness.

EEO/AA policy overview is provided by the Affirmative Action Officer on a regular basis at New Employee Orientation. The overview covers Iowa DOT policy 230.03 on EEO/AA and policy 230.08 on Workplace Environment including applying affirmative action responsibilities of managers and supervisors, and how the discrimination complaints and accommodation request process works.

Employee Training Activities –

- 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 continues to require new supervisors and managers to attend two diversity courses and all other new employees to attend one.
- The DOT continues to conduct Supervisor Roundtables with an emphasis on human resource topics, including recruiting and diversity.
- The eighth annual Supervisor's Conference that was conducted in September 2010 focused on diversity/Equal Employment Opportunity/Affirmative Action, hiring practices, and other human resource topics.

Other Training Activities –

The Affirmative Action Officer and the Civil Rights Team attend training, seminars and diversity conferences to increase knowledge, skill and ability in equal employment opportunity/affirmative action and diversity.

2. Describe the recipient's periodic EEO reports collected from supervisory personnel.

DAS-HRE, who administers the EEO/AA program for the State of Iowa, periodically tracks or collects and reports each state agency, such as the Iowa DOT's diversity progress report, on a monthly basis. The diversity progress report provides an update of the Executive Branch workforce changes on a monthly basis along with a Diversity Progress Summary
for Females, Minorities and Persons with Disabilities and current Hiring Opportunities.

- The Diversity Progress Summary report documents monthly and year-to-date net changes in the State's and the Iowa DOT's workforce.

- The current Hiring Opportunities Report provides a list of current underutilized vacancies for each state agency such as the Iowa DOT. Protected class applicant counts will appear in this report only when the job class is underutilized and when protected class applicants are available on the lists. This report is useful for:

    - Indicating progress with the agency's diversity hiring efforts.
    - Monitoring the timeliness of the agency's hiring processes.
    - Assisting DAS-HRE in closing applicant lists for which hires have been made, closed, or that require no further action. If the current hiring opportunities identified are no longer active, but are not closed, each agency's personnel assistants apply final codes in the BrassRing applicant tracking system so that the appropriate requisition record can be closed by DAS-HRE. This will provide DAS-HRE with critical information to accurately monitor applicant flow and hiring outcomes.

The DAS director issues these reports to each state director/designee in order to review these reports with their hiring managers and supervisors. However, the Iowa DOT has not been receiving these reports from DAS since December 2009 and has not collected EEO reports from supervisory personnel but will make a commitment to do so in the next fiscal year.

3. Describe the recipient's process for informing senior managers/supervisors of progress and problems and how Iowa DOT solicits recommendations for corrective action.

The DAS director issues these reports to each state director/designee in order to review these reports with their hiring managers and supervisors. However, the Iowa DOT has not been receiving these reports from DAS since December 2009 and has not collected EEO reports from supervisory personnel but will make a commitment to do so in the next fiscal year. The Iowa DOT has not collected EEO reports from supervisory personnel but will make a commitment to do so in the next fiscal year.

4. Describe any meetings held for this purpose and how often those meetings occur.

The Iowa DOT's management team tracks how well minorities, females, and persons with disabilities are doing relative to employment with the Iowa DOT via performance measures that are reported to management team quarterly.

The Iowa DOT conducts Supervisor Roundtables at least twice a year with emphasis on Human Resource topics including recruiting and diversity. They also conduct an annual Supervisors Conference focused on diversity/Equal Employment Opportunity/Affirmative Action, hiring practices, and other human resource topics.

5. Describe the recipient's 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 the Office of Employee Services.

- The AAO meets with the complainant to determine if an alternative dispute 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. The investigation shall be conducted in accordance with Policy 230.09, *Investigations.*
- 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 No. 230.02, *Discipline and Other Corrective Action.*
- 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.
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, dated filed, and status of complaint.

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 in the Office of Employee Services.
- 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 the next higher level supervisor.
- If the complainant is willing to attempt an alternative dispute resolution process, the Employee Relations Officer and/or the Affirmative Action Officer shall work with

the appropriate supervisory and non-supervisory staff to determine if there is a feasible alternative dispute resolution process available and if so, facilitate the process.

- If an alternative dispute resolution is not feasible or is unsuccessful and it is determined that an investigation is necessary, the Employee Relations Officer shall work with the appropriate division director or designee to determine who will conduct the investigation. The investigation shall be conducted in accordance with Policy No. 230.09, *Investigations.*
- The Employee Relations Officer shall keep the division director or designee and the complainant informed of the status of the investigation.
- After the investigation is complete, the person conducting the investigation shall notify the Employee Relations Officer. The Employee Relations Officer shall schedule a meeting with the person conducting the investigation, other appropriate management staff, and, if applicable, the Affirmative Action Officer to review the results of the investigation. Before the meeting, the Employee Relations Officer shall provide a copy of the completed investigation report to those attending.
- If the report of the investigation documents a violation of this policy, a decision shall be made as to whether just cause exists and what level of discipline or other corrective action is warranted under DOT's Policy No. 230.02, *Discipline and Other Corrective Action*.

6. Describe the mechanisms for tracking disciplinary actions, i.e., terminations, suspensions, demotions, suspensions, 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 Department of Transportation (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 the Office of Employee Services shall coordinate all decisions and activities related to discipline or other corrective action.

II. Responsibilities
The Office of Employee Services shall:

- Review and approve investigation plans.
- 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.
- Provide information on past disciplinary practices to managers and supervisors.

- Provide periodic reports of disciplinary actions to the Affirmative Action Officer and the division directors.
- Provide information on past disciplinary practices to managers and supervisors.
- Provide periodic reports of disciplinary actions to the Affirmative Action Officer 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 the Office of Employee Services 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.

B. Determination of discipline or other corrective action

After the investigative report has been reviewed and approved:

1. The Office of Employee Services 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 Affirmative Action Officer if the infraction involves a violation of Policy No. 230.03.

2. The Office of Employee Services 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, the Office of Employee Services shall work with the appropriate division director to resolve the issue.

4. If the division director and the Office of Employee Services cannot reach agreement, the final decision shall be made by the Director of Transportation.

5. Any decision to terminate an employee shall require the approval of the Director of Transportation.

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 Employee Relations Officer in the Office of Employee Services before it is given to the affected employee. As mentioned above, the Office of Employee Services maintains records of disciplinary actions and is 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.

7. Describe how the agency informs the Regional Civil Rights Officer of their EEO complaints and the status of each complaint.

EEO complaints formally filed with external compliance agencies have been included as part of our Annual Affirmative Action Program Overview Report submitted to the Federal Highway Administration (FHWA) in Ames. The yearly report includes a list of discrimination complaints that contains:

- 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.