



Iowa Department  
of Transportation



# Iowa Department of Transportation Affirmative Action Program Overview

Fiscal Year 2011

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# **PART I**

## **AFFIRMATIVE ACTION PLAN**

**SECTION 1**

**EQUAL EMPLOYMENT OPPORTUNITY**



# Iowa Department of Transportation

## **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 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.

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 Program website as well as on its Intranet. The Iowa DOT will disseminate copies of the plan to minority groups, women's organizations, community action groups, and professional organizations that are on its current list of referrals. Currently, the State of Iowa's Executive Branch AA/Diversity Plan and Report is available on the Internet and can be accessed by everyone. The Iowa DOT's diversity report published by DAS can be accessed at this link: <http://das.hre.iowa.gov/diversity-aa-eeo.html>, then click on the Quick Link: Diversity & Affirmative Action in Iowa Report, 2010. The completed and approved FY 2011 AAP will be published 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.



---

Paul Trombino III  
Director, Iowa Department of Transportation

March 29, 2012  
Date

**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



# Iowa Department of Transportation

## 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.

A handwritten signature in black ink that reads "Paul Trombino III".

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Paul Trombino III  
Director, Iowa Department of Transportation

March 29, 2012

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 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 skill 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, any part of whose compensation 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.



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Paul Trombino III  
Director, Iowa Department of Transportation

March 29, 2012

Date

## **ACCOMPLISHMENTS**

The Iowa Department of Transportation (DOT) continues to strive to achieve and maintain a diverse workforce that enhances our ability to deliver on both our mission and our vision.

### **Fiscal Year (FY) 2011 Progress:**

#### **I. Hiring Practices**

- The DOT continues to implement the revised Policy 210.02 Recruitment, Selection, and Hiring Process. (See Addendum A-1 - copy of PPM 210.) 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
    - The Affirmative Action Officer (AAO) approves pre-interview screening criteria, applicant scores, and proposed list of interview questions prior to interviewing 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 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 – Brass Ring) from which most if not all positions are additionally posted at Iowa Workforce Development and Smartcareermove.com. At the discretion of the hiring manager, vacancies may be advertised using paid postings. These postings have been placed at Careerbuilder.com, Monster.com, and Dice.com.
- 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 Service
  - Women and Minorities in Construction Program Grant Coordinator
  - 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  
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 2011 are:
  - Iowa Latino Conference and Iowa Latino Conference Planning Committee
  - Iowa State Conference On Race and Ethnicity (ISCORE)
  - Greater Des Moines Partnership's Quarterly Multicultural Receptions
  - Iowa Juneteenth celebration festival in Des Moines
  - CelebrAsian
  - 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 DAS-Human Resource Enterprise (HRE).

*Statewide Advertisement Campaign:*

- During the first quarter of FY 11, the DOT conducted a statewide print and radio campaign to promote employment opportunities and increase awareness of the DOT's employment site.
  - Two statewide newspaper display ads through Customized Newspaper Advertising (CNA) – a network of over 200 print publications throughout the state.
  - Statewide radio coverage with close to 40 thirty-second spots through RadioIowa – a network of 60 radio stations throughout the state.
  - Additional radio spots were purchased through African American-focused stations KJMC and KBBG in Des Moines and Waterloo.
  - Several other stations also ran Public Service Announcements (PSAs) free of charge
  - Display ads were also run in several Spanish and bilingual publications: Hola America, El Latino, El Heraldillo Hispano, El Comunicador, El Viento del Tropicico in addition to continuously running ads in the Iowa Bystander, Iowa's African American newspaper.
  - An 8x11 flyer was sent to 88 Iowa African American congregations throughout the state in mid-July.

### III. Retention

- The DOT's Management Team continues to review the results of the organizational survey that was conducted in 2008 to determine action steps in the following areas:
  - Employee Interaction and Development
  - Recognition
  - Decision Making
  - Trust
- 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.
- The DOT has evaluated the re-establishment of an EEO Advisory Committee whose membership would include top management officials plus rank and file employees with minority and female representatives from various job levels and departments.

#### 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 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.
- There were a total of one hundred forty-eight (148) promotions of employees for FY 2011. Twenty nine (29) or 19.6% were females and two (2) or 1.4% were minorities. (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 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 ninth annual Supervisor's Conference that was conducted in September 2011 focused on diversity, Equal Employment Opportunity/Affirmative Action – ADA/Reasonable Accommodation, and other human resource topics. The agenda for the 2011 conference is attached as Addendum A-2. In last year's Affirmative

Action Overview report, the DOT reported 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. (Refer to Addendum A -3.)

- Employees statewide continue to take training in different areas relevant to job duties and responsibilities. (Refer to Table 5C - Training statewide for FY 2011.)

## VI. Publicizing the Affirmative Action Plan (AAP)

### a. External publication:

- A Civil Rights Program website for the Iowa DOT was being developed and should be operational by March 30, 2012. The Iowa DOT intends to publicize its AAP on this website as well as on its Intranet. In addition, once the FY 2012 AAP is completed and approved, the Iowa DOT will disseminate copies of the plan to minority groups, women's organizations, community action groups, and professional organizations that are on its current list of referrals.
- Currently, the State of Iowa's Executive Branch AA/Diversity Plan and Report is available on the Internet and can be accessed by everyone. The Iowa DOT's diversity report published by DAS can be accessed at this link: <http://das.hre.iowa.gov/diversity-aa-eeo.html>, then click on the Quick Link: Diversity & Affirmative Action in Iowa Report, 2010.

### b. Internal publication:

- The completed and approved FY 2011 AAP will be published 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.

## **DEPARTMENT OVERVIEW**

### **History**

The Iowa Department of Transportation (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 35<sup>th</sup> 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 65<sup>th</sup> 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 Department of Transportation and Iowa Transportation Commission remain headquartered in Ames and continue to serve the citizens of Iowa today.

### **Geography**

Service Delivery Maps, attached as Addendum A-4, include Iowa Transportation Districts, Iowa Driver's License Issuance Sites, Location of Enforcement Scale Sites, Captain Area Map, and Investigative Unit.

### **Workforce**

There were two significant changes in top management personnel when the Iowa Department of Transportation director retired in April 2011 and a replacement was hired in May 2011, and the Information Technology division director retired in December 2010 and a replacement was appointed in May 2011. An organizational chart is shown in Addendum A-5.

The Central Office is in the city of Ames with a central administrative office for Motor Vehicle Division in Ankeny. The DOT has a gubernatorially appointed director with five division directors reporting to him, representing the Information Technology Division;

Highway Division; Motor Vehicle Division; Operations and Finance Division; and Planning, Programming, and Modal Division.

The Highway Division has employees located statewide in the Central Office, 6 district offices, 109 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, 19 driver's license stations and 10 interstate and 2 primary road system Motor Vehicle Enforcement scale sites.

The Information Technology Division; Operations and Finance Division; and Planning, Programming and Modal Division predominantly have offices in the City of Ames.

The total workforce as of June 30, 2011 was 2,849.

## **SECTION 2**

# **RESPONSIBILITY FOR IMPLEMENTATION**

## Designation of Personnel

Iowa DOT's Organizational Chart – See Addendum A-5

Office of Employee Services Organizational Chart – See Addendum A-6

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's Internal EEO Program consisting of Walter Reed, Executive Officer 2, Elvie Laudencia, Executive Officer 1, and Scott Zalaznik, Human Resources Professional 1, of the 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. Ms. Laudencia's responsibilities are: developing the written Internal AA/EEO Plan (AAP) which includes compiling, consolidating, and preparing the AAP 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; 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 regarding AA/EEO issues; conducting discrimination and harassment investigations of complaints filed internally and writing summary reports of findings, conclusions, and making recommendations to management; investigating 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; 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 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.

## **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 10 AND FY 11**

**TABLE 1A**

| DOT Workforce - Comparison to 2000 Statewide Labor Force Data  |   |  |  |            |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|--|---|--|--|------------|--------------|------------|--------|------------|--------------|------------|--------|------------|--|---|--|--|--------------|-------|-------|-------|-------|--------------------|-------|--------|-------|--------|------------------|-------|--------|-------|--------|----------------|-------|--------|-------|--------|------------------------|-------|--------|-------|--------|-----------------------|----|----|----|----|------------------|-------|--------|-------|--------|------------------|-------|-------|-------|-------|------------------|-------|--------|--------|--------|--|--|--|-------|-------|--|--|--|-------|--------|--|--|--|--------|---------|--|--|--|--------|---------|--|--|--|--------|--------|--|--|--|----|----|--|--|--|--------|--------|--|--|--|--------|--------|--|--|--|-------|--------|
| EEO Category   | FY 10   |  |  |            | FY 11        |            |        |            | FY 11        |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|  | TOTAL<br>EEs  | MIN<br>EEs   | %  | FEM<br>EEs | TOTAL<br>EEs | MIN<br>EEs | %      | FEM<br>EEs | TOTAL<br>EEs | MIN<br>EEs | %      | FEM<br>EEs |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 01 Officials/Admin   | 191   | 9  | 4.71%  | 56         | 179          | 6          | 29.32% | 54         | 30.17%       | 6          | 3.35%  | 54         |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 02 Professionals   | 561   | 28   | 4.99%  | 206        | 545          | 21         | 36.72% | 207        | 37.98%       | 21         | 3.85%  | 207        |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 03 Technicians   | 531   | 24   | 4.52%  | 126        | 499          | 22         | 23.73% | 126        | 25.25%       | 22         | 4.41%  | 126        |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 04 Protective Services   | 117   | 4  | 3.42%  | 12         | 116          | 3          | 10.26% | 13         | 11.21%       | 3          | 2.59%  | 13         |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 05 Para Professionals  | 0   | 0  | NA   | 0          | 0            | 0          | NA     | 0          | NA           | 0          | NA     | 0          |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 06 Admin Support   | 325   | 20   | 6.15%  | 293        | 284          | 2          | 90.15% | 253        | 89.08%       | 2          | 0.70%  | 253        |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 07 Skilled Craft   | 1230  | 45   | 3.66%  | 35         | 1205         | 41         | 2.85%  | 33         | 2.74%        | 41         | 3.40%  | 33         |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 08 Service/Maint   | 24  | 3  | 12.50%   | 9          | 21           | 3          | 37.50% | 7          | 33.33%       | 3          | 14.29% | 7          |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| Total  | 2979  | 133  | 4.46%  | 737        | 2849         | 98         | 24.74% | 693        | 24.32%       | 98         | 3.44%  | 693        |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| <table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:33%;"></td> <td style="width:33%; text-align: center;"><b>2000 Census Statewide<br/>Availability % by EEO<br/>Category</b></td> <td style="width:33%; text-align: center;"><b>Iowa DOT FY 11<br/>Employee % by EEO<br/>Category</b></td> <td style="width:33%; text-align: center;"><b>Underutilization =<br/>DOT % - Census %</b></td> </tr> <tr> <td>EEO Category</td> <td>MIN %</td> <td>FEM %</td> <td>MIN %</td> <td>FEM %</td> </tr> <tr> <td>01 Officials/Admin</td> <td>2.70%</td> <td>34.70%</td> <td>3.35%</td> <td>30.17%</td> </tr> <tr> <td>02 Professionals</td> <td>5.30%</td> <td>58.20%</td> <td>3.85%</td> <td>37.98%</td> </tr> <tr> <td>03 Technicians</td> <td>4.60%</td> <td>63.60%</td> <td>4.41%</td> <td>25.25%</td> </tr> <tr> <td>04 Protective Services</td> <td>6.10%</td> <td>16.90%</td> <td>2.59%</td> <td>11.21%</td> </tr> <tr> <td>05 Para Professionals</td> <td>NA</td> <td>NA</td> <td>NA</td> <td>NA</td> </tr> <tr> <td>06 Admin Support</td> <td>4.70%</td> <td>69.90%</td> <td>0.70%</td> <td>89.08%</td> </tr> <tr> <td>07 Skilled Craft</td> <td>4.10%</td> <td>7.50%</td> <td>3.40%</td> <td>2.74%</td> </tr> <tr> <td>08 Service/Maint</td> <td>9.40%</td> <td>43.00%</td> <td>14.29%</td> <td>33.33%</td> </tr> <tr> <td></td> <td></td> <td></td> <td>MIN %</td> <td>FEM %</td> </tr> <tr> <td></td> <td></td> <td></td> <td>0.65%</td> <td>-4.53%</td> </tr> <tr> <td></td> <td></td> <td></td> <td>-1.45%</td> <td>-20.22%</td> </tr> <tr> <td></td> <td></td> <td></td> <td>-0.19%</td> <td>-38.35%</td> </tr> <tr> <td></td> <td></td> <td></td> <td>-3.51%</td> <td>-5.69%</td> </tr> <tr> <td></td> <td></td> <td></td> <td>NA</td> <td>NA</td> </tr> <tr> <td></td> <td></td> <td></td> <td>-4.00%</td> <td>19.18%</td> </tr> <tr> <td></td> <td></td> <td></td> <td>-0.70%</td> <td>-4.76%</td> </tr> <tr> <td></td> <td></td> <td></td> <td>4.89%</td> <td>-9.67%</td> </tr> </table> |   |  |  |            |              |            |        |            |              |            |        |            |  | <b>2000 Census Statewide<br/>Availability % by EEO<br/>Category</b> | <b>Iowa DOT FY 11<br/>Employee % by EEO<br/>Category</b> | <b>Underutilization =<br/>DOT % - Census %</b> | EEO Category | MIN % | FEM % | MIN % | FEM % | 01 Officials/Admin | 2.70% | 34.70% | 3.35% | 30.17% | 02 Professionals | 5.30% | 58.20% | 3.85% | 37.98% | 03 Technicians | 4.60% | 63.60% | 4.41% | 25.25% | 04 Protective Services | 6.10% | 16.90% | 2.59% | 11.21% | 05 Para Professionals | NA | NA | NA | NA | 06 Admin Support | 4.70% | 69.90% | 0.70% | 89.08% | 07 Skilled Craft | 4.10% | 7.50% | 3.40% | 2.74% | 08 Service/Maint | 9.40% | 43.00% | 14.29% | 33.33% |  |  |  | MIN % | FEM % |  |  |  | 0.65% | -4.53% |  |  |  | -1.45% | -20.22% |  |  |  | -0.19% | -38.35% |  |  |  | -3.51% | -5.69% |  |  |  | NA | NA |  |  |  | -4.00% | 19.18% |  |  |  | -0.70% | -4.76% |  |  |  | 4.89% | -9.67% |
|  | <b>2000 Census Statewide<br/>Availability % by EEO<br/>Category</b> | <b>Iowa DOT FY 11<br/>Employee % by EEO<br/>Category</b> | <b>Underutilization =<br/>DOT % - Census %</b> |            |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| EEO Category   | MIN %   | FEM %  | MIN %  | FEM %      |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 01 Officials/Admin   | 2.70%   | 34.70%   | 3.35%  | 30.17%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 02 Professionals   | 5.30%   | 58.20%   | 3.85%  | 37.98%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 03 Technicians   | 4.60%   | 63.60%   | 4.41%  | 25.25%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 04 Protective Services   | 6.10%   | 16.90%   | 2.59%  | 11.21%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 05 Para Professionals  | NA  | NA   | NA   | NA         |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 06 Admin Support   | 4.70%   | 69.90%   | 0.70%  | 89.08%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 07 Skilled Craft   | 4.10%   | 7.50%  | 3.40%  | 2.74%      |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
| 08 Service/Maint   | 9.40%   | 43.00%   | 14.29%   | 33.33%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|  |   |  | MIN %  | FEM %      |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|  |   |  | 0.65%  | -4.53%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|  |   |  | -1.45%   | -20.22%    |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|  |   |  | -0.19%   | -38.35%    |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|  |   |  | -3.51%   | -5.69%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|  |   |  | NA   | NA         |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|  |   |  | -4.00%   | 19.18%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|  |   |  | -0.70%   | -4.76%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |
|  |   |  | 4.89%  | -9.67%     |              |            |        |            |              |            |        |            |  |   |  |  |              |       |       |       |       |                    |       |        |       |        |                  |       |        |       |        |                |       |        |       |        |                        |       |        |       |        |                       |    |    |    |    |                  |       |        |       |        |                  |       |       |       |       |                  |       |        |        |        |  |  |  |       |       |  |  |  |       |        |  |  |  |        |         |  |  |  |        |         |  |  |  |        |        |  |  |  |    |    |  |  |  |        |        |  |  |  |        |        |  |  |  |       |        |

**IOWA DEPARTMENT OF TRANSPORTATION**

**RECAP OF UTILIZATION FOR FY 10 AND FY 11**

**TABLE 1B**

| DOT Workforce - Comparison to 2000 Statewide Labor Force Data  |                                    |        |             |           |             |        |           |             |   |
|--|------------------------------------|--------|-------------|-----------|-------------|--------|-----------|-------------|---|
| FY 11 - FEMALE MINORITY IS COUNTED AS BOTH MINORITY AND FEMALE |                                    |        |             |           |             |        |           |             |   |
| EEO Category   | FY 11                              |        |             | FY 11     |             |        | TOTAL     |             |   |
|  | TOTAL FEM EEs inclusive of FEM-MIN | %      | FEM-MIN EEs | TOTAL EEs | FEMALE MIN. | %      | TOTAL EEs | FEMALE MIN. | % |
| 01 Officials/Admin   | 54                                 | 30.17% | 3           | 179       | 9           | 5.03%  | 54        | 30.17%      |   |
| 02 Professionals   | 207                                | 37.98% | 11          | 545       | 32          | 5.87%  | 207       | 37.98%      |   |
| 03 Technicians   | 126                                | 25.25% | 4           | 499       | 26          | 5.21%  | 126       | 25.25%      |   |
| 04 Protective Services   | 13                                 | 11.21% | 0           | 116       | 3           | 2.59%  | 13        | 11.21%      |   |
| 05 Para Professionals  | 0                                  | NA     | 0           | 0         | 0           | NA     | 0         | NA          |   |
| 06 Admin Support   | 253                                | 89.08% | 15          | 284       | 17          | 5.99%  | 253       | 89.08%      |   |
| 07 Skilled Craft   | 33                                 | 2.74%  | 0           | 1205      | 41          | 3.40%  | 33        | 2.74%       |   |
| 08 Service/Maint   | 7                                  | 33.33% | 0           | 21        | 3           | 14.29% | 7         | 33.33%      |   |
| Total  | 693                                | 24.32% | 33          | 2849      | 131         | 4.60%  | 693       | 24.32%      |   |

| 2000 Census Statewide Availability % by EEO Category |       |        |  |  |  |  |  |  |  |
|--|-------|--------|--|--|--|--|--|--|--|
| EEO Category   | MIN % | FEM %  |  |  |  |  |  |  |  |
| 01 Officials/Admin                                   | 2.70% | 34.70% |  |  |  |  |  |  |  |
| 02 Professionals                                     | 5.30% | 58.20% |  |  |  |  |  |  |  |
| 03 Technicians                                       | 4.60% | 63.60% |  |  |  |  |  |  |  |
| 04 Protective Services                               | 6.10% | 16.90% |  |  |  |  |  |  |  |
| 05 Para Professionals                                | NA    | NA     |  |  |  |  |  |  |  |
| 06 Admin Support                                     | 4.70% | 69.90% |  |  |  |  |  |  |  |
| 07 Skilled Craft                                     | 4.10% | 7.50%  |  |  |  |  |  |  |  |
| 08 Service/Maint                                     | 9.40% | 43.00% |  |  |  |  |  |  |  |

| Iowa DOT FY 11 Employee % by EEO Category |  |        |  |  |  |  |  |  |  |
|---|--|--------|--|--|--|--|--|--|--|
| EEO Category                              | TOTAL MIN % (inclusive of FEMALE MIN.) | FEM %  |  |  |  |  |  |  |  |
| 01 Officials/Admin                        | 5.03%                                  | 30.17% |  |  |  |  |  |  |  |
| 02 Professionals                          | 5.87%                                  | 37.98% |  |  |  |  |  |  |  |
| 03 Technicians                            | 5.21%                                  | 25.25% |  |  |  |  |  |  |  |
| 04 Protective Services                    | 2.59%                                  | 11.21% |  |  |  |  |  |  |  |
| 05 Para Professionals                     | NA                                     | NA     |  |  |  |  |  |  |  |
| 06 Admin Support                          | 5.99%                                  | 89.08% |  |  |  |  |  |  |  |
| 07 Skilled Craft                          | 3.40%                                  | 2.74%  |  |  |  |  |  |  |  |
| 08 Service/Maint                          | 14.29%                                 | 33.33% |  |  |  |  |  |  |  |

| Underutilization = DOT % - Census % |  |         |  |  |  |  |  |  |  |
|-------------------------------------|--|---------|--|--|--|--|--|--|--|
| EEO Category                        | TOTAL MIN % (inclusive of FEMALE MIN.) | FEM %   |  |  |  |  |  |  |  |
| 01 Officials/Admin                  | 2.33%                                  | -4.53%  |  |  |  |  |  |  |  |
| 02 Professionals                    | 0.57%                                  | -20.22% |  |  |  |  |  |  |  |
| 03 Technicians                      | 0.61%                                  | -38.35% |  |  |  |  |  |  |  |
| 04 Protective Services              | -3.51%                                 | -5.69%  |  |  |  |  |  |  |  |
| 05 Para Professionals               | NA                                     | NA      |  |  |  |  |  |  |  |
| 06 Admin Support                    | 1.29%                                  | 19.18%  |  |  |  |  |  |  |  |
| 07 Skilled Craft                    | -0.70%                                 | -4.76%  |  |  |  |  |  |  |  |
| 08 Service/Maint                    | 4.89%                                  | -9.67%  |  |  |  |  |  |  |  |

**SECTION 4**

**ANALYSIS OF PRESENT WORKFORCE**

**TABLE 2**

**WORKFORCE ANALYSIS**

**EMPLOYMENT DATA AS OF JUNE 30, 2011**

\*\*\* See Iowa DOT's Job Classifications by EEO-4 job category

| EEO-4 JOB CATEGORIES ***           | ANNUAL SALARY<br>(In thousands 000) | TOTAL<br>(COLUMNS<br>B-K) | MALE                       |       |       |   |    |   |     |   |   |   | FEMALE |                            |                            |       |                                 |  |  |
|------------------------------------|-------------------------------------|---------------------------|----------------------------|-------|-------|---|----|---|-----|---|---|---|--------|----------------------------|----------------------------|-------|---------------------------------|--|--|
|                                    |                                     |                           | NON-<br>HISPANIC<br>ORIGIN | WHITE | BLACK | C | D  | E | F   | G | H | I | J      | K                          | NON-<br>HISPANIC<br>ORIGIN | WHITE | BLACK                           | ASIAN OR<br>PACIFIC<br>ISLANDER            | AMERICAN<br>INDIAN OR<br>ALASKAN<br>NATIVE |
|                                    |                                     | A                         | B                          | BLACK | C     | D | E  | F | G   | H | I | J | K      | NON-<br>HISPANIC<br>ORIGIN | WHITE                      | BLACK | ASIAN OR<br>PACIFIC<br>ISLANDER | AMERICAN<br>INDIAN OR<br>ALASKAN<br>NATIVE |  |
| <b>OFFICIALS AND ADMINISTRATOR</b> |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 1. \$0.1-15.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 2. 16.0-19.9                       |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 3. 20.0-24.9                       |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 4. 25.0-32.9                       |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 5. 33.0-42.9                       |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 6. 43.0-54.9                       |                                     | 6                         | 4                          |       |       |   | 1  |   | 2   |   |   |   |        | 2                          |                            |       | 2                               |  |  |
| 7. 55.0-69.9                       |                                     | 133                       | 98                         | 3     | 1     | 1 | 1  |   | 29  |   |   |   |        | 29                         |                            |       | 1                               |  |  |
| 8. 70.0 PLUS                       |                                     | 179                       | 119                        | 3     | 1     | 1 | 2  | 0 | 51  | 0 | 0 | 3 |        | 51                         | 0                          | 0     | 3                               |  | 0  |
| <b>TOTAL PROFESSIONALS</b>         |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 9. \$0.1-15.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 10. 16.0-19.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 11. 20.0-24.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 12. 25.0-32.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 13. 33.0-42.9                      |                                     | 36                        | 17                         | 1     | 2     | 2 |    |   | 14  |   |   |   |        | 14                         |                            |       | 2                               |  |  |
| 14. 43.0-54.9                      |                                     | 93                        | 45                         | 1     | 1     | 1 | 1  |   | 42  |   |   |   |        | 42                         |                            |       | 2                               |  |  |
| 15. 55.0-69.9                      |                                     | 167                       | 77                         | 1     | 2     | 2 | 2  |   | 81  | 1 | 1 |   |        | 81                         | 1                          | 1     | 1                               |  | 1  |
| 16. 70.0- PLUS                     |                                     | 249                       | 178                        | 1     | 1     | 1 | 8  | 1 | 59  | 1 | 1 |   |        | 59                         | 1                          | 1     | 1                               |  | 1  |
| <b>TOTAL TECHNICIANS</b>           |                                     | 545                       | 317                        | 3     | 6     | 6 | 11 | 1 | 196 | 1 | 3 |   |        | 196                        | 1                          | 3     | 6                               |  | 1  |
| 17. \$0.1-15.9                     |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 18. 16.0-19.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 19. 20.0-24.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 20. 25.0-32.9                      |                                     | 6                         | 5                          |       |       |   |    |   | 1   |   |   |   |        | 1                          |                            |       |                                 |  |  |
| 21. 33.0-42.9                      |                                     | 42                        | 20                         | 1     | 1     | 1 | 1  |   | 17  | 1 | 1 |   |        | 17                         | 1                          | 1     |                                 |  | 1  |
| 22. 43.0-54.9                      |                                     | 192                       | 120                        | 1     | 3     | 3 | 2  | 3 | 65  |   |   |   |        | 65                         |                            |       |                                 |  | 1  |
| 23. 55.0-69.9                      |                                     | 252                       | 199                        | 6     | 6     | 6 | 1  | 3 | 39  |   |   |   |        | 39                         |                            |       |                                 |  | 1  |
| 24. 70.0- PLUS                     |                                     | 7                         | 7                          |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| <b>TOTAL PROTECTIVE SERVICE</b>    |                                     | 499                       | 351                        | 8     | 4     | 4 | 4  | 6 | 122 | 1 | 1 |   |        | 122                        | 1                          | 1     |                                 |  | 2  |
| 25. \$0.1-15.9                     |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 26. 16.0-19.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 27. 20.0-24.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 28. 25.0-32.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 29. 33.0-42.9                      |                                     | 22                        | 19                         |       |       |   |    |   | 3   |   |   |   |        | 3                          |                            |       |                                 |  |  |
| 30. 43.0-54.9                      |                                     | 32                        | 29                         |       |       |   |    |   | 3   |   |   |   |        | 3                          |                            |       |                                 |  |  |
| 31. 55.0-69.9                      |                                     | 54                        | 45                         |       | 1     | 1 |    | 1 | 7   |   |   |   |        | 7                          |                            |       |                                 |  |  |
| 32. 70.0- PLUS                     |                                     | 8                         | 7                          | 1     | 1     | 1 | 0  | 1 | 13  | 0 | 0 |   |        | 13                         | 0                          | 0     |                                 |  | 0  |
| <b>TOTAL PARA- PROFESSIONAL</b>    |                                     | 116                       | 100                        | 1     | 1     | 1 |    | 1 |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 33. \$0.1-15.9                     |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 34. 16.0-19.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 35. 20.0-24.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 36. 25.0-32.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |
| 37. 33.0-42.9                      |                                     |                           |                            |       |       |   |    |   |     |   |   |   |        |                            |                            |       |                                 |  |  |

\*\*\* See Iowa DOT's Job Classifications by EEO-4 job category

| EEO-4 JOB CATEGORIES ***      | ANNUAL SALARY<br>(In thousands 000) | TOTAL<br>(COLUMNS<br>B-K) | MALE  |     |       |    |                                 |    | FEMALE                                     |    |                            |    |          |     |                                 |   |  |    |   |
|-------------------------------|-------------------------------------|---------------------------|-------|-----|-------|----|---------------------------------|----|--|----|----------------------------|----|----------|-----|---------------------------------|---|--|----|---|
|                               |                                     |                           | WHITE |     | BLACK |    | ASIAN OR<br>PACIFIC<br>ISLANDER |    | AMERICAN<br>INDIAN OR<br>ALASKAN<br>NATIVE |    | NON-<br>HISPANIC<br>ORIGIN |    | HISPANIC |     | ASIAN OR<br>PACIFIC<br>ISLANDER |   | AMERICAN<br>INDIAN OR<br>ALASKAN<br>NATIVE |    |   |
|                               |                                     |                           | A     | B   | C     | D  | E                               | F  | G  | H  | I                          | J  | K        | L   | M                               | N | O  | P  | Q |
| <b>TOTAL</b>                  |                                     |                           | 0     | 0   | 0     | 0  | 0                               | 0  | 0  | 0  | 0                          | 0  | 0        | 0   | 0                               | 0 | 0  | 0  | 0 |
| <b>ADMINISTRATIVE SUPPORT</b> |                                     |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 38. 43.0-54.9                       |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 39. 55.0-69.9                       |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 40. 70.0- PLUS                      |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 41. \$0.1-15.9                      |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 42. 16.0-19.9                       |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 43. 20.0-24.9                       |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 44. 25.0-32.9                       |                           | 62    | 10  | 1     |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 45. 33.0-42.9                       |                           | 152   | 16  | 1     |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 46. 43.0-54.9                       |                           | 69    | 3   | 1     |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 47. 55.0-69.9                       |                           | 1     |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 48. 70.0- PLUS                      |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
| <b>TOTAL</b>                  |                                     | 284                       | 29    | 2   | 2     | 0  | 0                               | 0  | 0  | 0  | 0                          | 0  | 0        | 0   | 0                               | 0 | 0  | 0  | 0 |
| <b>SKILLED CRAFT</b>          |                                     |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 49. \$0.1-15.9                      |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 50. 16.0-19.9                       |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 51. 20.0-24.9                       |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 52. 25.0-32.9                       |                           | 91    | 88  | 1     | 1  |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 53. 33.0-42.9                       |                           | 256   | 247 | 3     |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 54. 43.0-54.9                       |                           | 748   | 696 | 7     | 7  | 3                               | 3  | 12   | 5  | 1                          | 1  | 5        | 12  | 3                               | 1 | 1  | 23 | 3 |
|                               | 55. 55.0-69.9                       |                           | 72    | 64  | 1     |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 56. 70.0- PLUS                      |                           | 38    | 36  | 1     |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
| <b>TOTAL</b>                  |                                     | 1205                      | 1131  | 12  | 12    | 8  | 3                               | 3  | 18   | 5  | 1                          | 1  | 18       | 33  | 0                               | 0 | 0  | 0  | 0 |
| <b>SERVICE MAINTENANCE</b>    |                                     |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 57. \$0.1-15.9                      |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 58. 16.0-19.9                       |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 59. 20.0-24.9                       |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 60. 25.0-32.9                       |                           | 11    | 5   | 1     |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 61. 33.0-42.9                       |                           | 10    | 6   |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 62. 43.0-54.9                       |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 63. 55.0-69.9                       |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
|                               | 64. 70.0- PLUS                      |                           |       |     |       |    |                                 |    |  |    |                            |    |          |     |                                 |   |  |    |   |
| <b>TOTAL</b>                  |                                     | 21                        | 11    | 1   | 1     | 0  | 1                               | 1  | 1  | 0  | 1                          | 1  | 1        | 7   | 0                               | 0 | 0  | 0  | 0 |
| <b>TOTAL FULL TIME</b>        |                                     | 2849                      | 2058  | 30  | 30    | 20 | 21                              | 21 | 27   | 20 | 21                         | 27 | 27       | 660 | 13                              | 5 | 11   | 11 | 4 |

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| JOB CATEGORIES                      |                            | EMPLOYMENT DATA AS OF JUNE 30, 2011 |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
|-------------------------------------|----------------------------|-------------------------------------|------------|----------|---------------------------------|----------------------------------|----------------------------|------------|----------|---------------------------------|----------------------------------|----------------------------|------------|----------|----------|----------|----------|
|                                     |                            | MALE                                |            |          |                                 |                                  |                            | FEMALE     |          |                                 |                                  |                            |            |          |          |          |          |
| ANNUAL SALARY<br>(in thousands 000) | TOTAL<br>(COLUMN<br>S B-K) | NON-<br>HISPANIC<br>ORIGIN          | BLACK<br>C | HISPANIC | ASIAN OR<br>PACIFIC<br>ISLANDER | AMERICAN<br>INDIAN OR<br>ALASKAN | NON-<br>HISPANIC<br>ORIGIN | BLACK<br>H | HISPANIC | ASIAN OR<br>PACIFIC<br>ISLANDER | AMERICAN<br>INDIAN OR<br>ALASKAN | NON-<br>HISPANIC<br>ORIGIN | BLACK<br>G | H        | I        | J        | K        |
|                                     |                            | WHITE B                             |            | D        | E                               | F                                | WHITE G                    |            |          |                                 |                                  |                            |            |          |          |          |          |
| OFFICIALS AND ADMINISTRATOR         |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 1. \$0.1-15.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 2. 16.0-19.9                        |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 3. 20.0-24.9                        |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 4. 25.0-32.9                        |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 5. 33.0-42.9                        |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 6. 43.0-54.9                        | 6                          | 4                                   |            |          |                                 |                                  |                            |            |          |                                 |                                  | 2                          |            |          |          |          |          |
| 7. 55.0-69.9                        | 40                         | 17                                  |            |          |                                 |                                  |                            |            | 1        |                                 |                                  | 20                         |            |          |          | 2        |          |
| 8. 70.0 PLUS                        | 133                        | 98                                  | 3          | 1        | 1                               |                                  | 29                         |            | 1        |                                 |                                  | 29                         |            |          | 1        |          |          |
| <b>TOTAL</b>                        | <b>179</b>                 | <b>119</b>                          | <b>3</b>   | <b>1</b> | <b>2</b>                        | <b>0</b>                         | <b>51</b>                  | <b>0</b>   | <b>0</b> | <b>0</b>                        | <b>0</b>                         | <b>3</b>                   | <b>0</b>   | <b>0</b> | <b>3</b> | <b>0</b> | <b>0</b> |
| PROFESSIONALS                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 9. \$0.1-15.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 10. 16.0-19.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 11. 20.0-24.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 12. 25.0-32.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 13. 33.0-42.9                       | 36                         | 17                                  | 1          | 2        |                                 |                                  | 14                         |            |          |                                 |                                  | 2                          |            |          |          |          |          |
| 14. 43.0-54.9                       | 93                         | 45                                  | 1          | 1        | 1                               |                                  | 42                         |            |          |                                 |                                  | 1                          |            |          |          |          |          |
| 15. 55.0-69.9                       | 167                        | 77                                  | 1          | 2        | 2                               |                                  | 81                         | 1          | 1        |                                 |                                  | 1                          |            |          |          |          | 1        |
| 16. 70.0 PLUS                       | 249                        | 178                                 | 3          | 6        | 8                               | 1                                | 59                         | 1          | 1        | 1                               |                                  | 1                          |            |          |          |          | 1        |
| <b>TOTAL</b>                        | <b>545</b>                 | <b>317</b>                          | <b>3</b>   | <b>6</b> | <b>11</b>                       | <b>1</b>                         | <b>196</b>                 | <b>1</b>   | <b>3</b> | <b>6</b>                        | <b>1</b>                         | <b>196</b>                 | <b>1</b>   | <b>3</b> | <b>6</b> | <b>1</b> | <b>1</b> |
| TECHNICIANS                         |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 17. \$0.1-15.9                      |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 18. 16.0-19.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 19. 20.0-24.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 20. 25.0-32.9                       | 6                          | 5                                   |            |          |                                 |                                  | 1                          |            |          |                                 |                                  |                            |            |          |          |          |          |
| 21. 33.0-42.9                       | 42                         | 20                                  | 1          | 1        | 1                               |                                  | 17                         | 1          | 1        |                                 |                                  |                            |            |          |          |          |          |
| 22. 43.0-54.9                       | 192                        | 120                                 | 1          | 1        | 2                               | 3                                | 65                         |            |          |                                 |                                  |                            |            |          |          |          | 1        |
| 23. 55.0-69.9                       | 252                        | 199                                 | 6          | 3        | 3                               | 3                                | 39                         |            |          |                                 |                                  |                            |            |          |          |          | 1        |
| 24. 70.0 PLUS                       | 7                          | 7                                   |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| <b>TOTAL</b>                        | <b>499</b>                 |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| PROTECTIVE SERVICE                  |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 25. \$0.1-15.9                      |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 26. 16.0-19.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 27. 20.0-24.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 28. 25.0-32.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 29. 33.0-42.9                       | 22                         | 19                                  |            |          |                                 |                                  | 3                          |            |          |                                 |                                  |                            |            |          |          |          |          |
| 30. 43.0-54.9                       | 32                         | 29                                  |            |          |                                 |                                  | 3                          |            |          |                                 |                                  |                            |            |          |          |          |          |
| 31. 55.0-69.9                       | 54                         | 45                                  |            |          | 1                               | 1                                | 7                          |            |          |                                 |                                  |                            |            |          |          |          |          |
| 32. 70.0 PLUS                       | 8                          | 7                                   | 1          |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| <b>TOTAL</b>                        | <b>116</b>                 | <b>100</b>                          | <b>1</b>   | <b>1</b> | <b>0</b>                        | <b>1</b>                         | <b>13</b>                  | <b>0</b>   | <b>0</b> | <b>0</b>                        | <b>0</b>                         | <b>0</b>                   | <b>0</b>   | <b>0</b> | <b>0</b> | <b>0</b> | <b>0</b> |
| PARA- PROFESSIONAL                  |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 33. \$0.1-15.9                      |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 34. 16.0-19.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 35. 20.0-24.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 36. 25.0-32.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 37. 33.0-42.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 38. 43.0-54.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 39. 55.0-69.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 40. 70.0 PLUS                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| <b>TOTAL</b>                        | <b>0</b>                   | <b>0</b>                            | <b>0</b>   | <b>0</b> | <b>0</b>                        | <b>0</b>                         | <b>0</b>                   | <b>0</b>   | <b>0</b> | <b>0</b>                        | <b>0</b>                         | <b>0</b>                   | <b>0</b>   | <b>0</b> | <b>0</b> | <b>0</b> | <b>0</b> |
| ADMINISTRATIVE SUPPORT              |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 41. \$0.1-15.9                      |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 42. 16.0-19.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 43. 20.0-24.9                       |                            |                                     |            |          |                                 |                                  |                            |            |          |                                 |                                  |                            |            |          |          |          |          |
| 44. 25.0-32.9                       | 62                         | 10                                  |            |          |                                 |                                  | 46                         | 4          | 1        |                                 |                                  |                            |            |          |          |          | 1        |

FEDERAL HIGHWAY ADMINISTRATION  
STATE AND LOCAL GOVERNMENT INTERNAL EMPLOYMENT DATA

| 1. EMPLOYMENT DATA AS OF JUNE 30, 2011                                   |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|--|-------------------------------------|----------------------------|----------------------------|------------|---------|----|----------|---------------------------------|----------------------------------|----------------------------|------------|---------|---|----------|---------------------------------|----------------------------------|
| JOB CATEGORIES   | ANNUAL SALARY<br>(In thousands 000) | TOTAL<br>(COLUMN<br>S B-K) | MALE                       |            |         |    |          |                                 | FEMALE                           |                            |            |         |   |          |                                 |                                  |
|  |                                     |                            | NON-<br>HISPANIC<br>ORIGIN | BLACK<br>C | WHITE B | D  | HISPANIC | ASIAN OR<br>PACIFIC<br>ISLANDER | AMERICAN<br>INDIAN OR<br>ALASKAN | NON-<br>HISPANIC<br>ORIGIN | BLACK<br>H | WHITE G | I | HISPANIC | ASIAN OR<br>PACIFIC<br>ISLANDER | AMERICAN<br>INDIAN OR<br>ALASKAN |
|  | A                                   | 152                        | 16                         | 1          |         | D  |          |                                 | E                                | F                          |            |         |   |          | J                               | K                                |
|  | 45. 33.0-42.9                       | 69                         | 3                          | 1          |         |    |          |                                 |                                  |                            |            |         |   | 1        |                                 |                                  |
|  | 46. 43.0-54.9                       | 1                          |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 | 1                                |
|  | 47. 55.0-69.9                       |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 48. 70.0- PLUS                      | 284                        | 29                         | 2          | 0       | 0  | 0        | 0                               | 0                                | 0                          | 11         | 1       | 2 | 2        | 1                               |                                  |
| <b>TOTAL</b>   |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| <b>SKILLED CRAFT</b>   |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 49. \$0.1-15.9                      |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 50. 16.0-19.9                       |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 51. 20.0-24.9                       |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 52. 25.0-32.9                       | 91                         | 88                         | 1          | 1       |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 53. 33.0-42.9                       | 256                        | 247                        | 3          |         |    |          | 1                               |                                  |                            |            |         |   |          |                                 |                                  |
|  | 54. 43.0-54.9                       | 748                        | 696                        | 7          | 7       |    |          | 3                               |                                  | 12                         | 5          |         |   |          |                                 |                                  |
|  | 55. 55.0-69.9                       | 72                         | 64                         |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 56. 70.0- PLUS                      | 38                         | 36                         | 1          |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| <b>TOTAL</b>   |                                     | 1205                       | 1131                       | 12         | 8       | 3  | 18       | 3                               | 3                                | 18                         | 33         | 0       | 0 | 0        | 0                               | 0                                |
| <b>SERVICE MAINTENANCE</b>   |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 57. \$0.1-15.9                      |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 58. 16.0-19.9                       |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 59. 20.0-24.9                       |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 60. 25.0-32.9                       | 11                         | 5                          | 1          |         |    |          | 1                               |                                  | 0                          | 4          |         |   |          |                                 |                                  |
|  | 61. 33.0-42.9                       | 10                         | 6                          |            |         |    |          |                                 |                                  | 1                          | 3          |         |   |          |                                 |                                  |
|  | 62. 43.0-54.9                       |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 63. 55.0-69.9                       |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
|  | 64. 70.0- PLUS                      | 21                         | 11                         | 1          | 0       | 1  | 1        | 1                               | 1                                | 1                          | 7          | 0       | 0 | 0        | 0                               | 0                                |
| <b>TOTAL</b>   |                                     | 2849                       | 1707                       | 22         | 16      | 17 | 21       | 17                              | 17                               | 21                         | 538        | 12      | 4 | 11       | 2                               |                                  |
| <b>65. TOTAL FULL TIME (LINES 1-64)</b>                                  |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| <b>2. OTHER THAN FULL-TIME EMPLOYEES (Including temporary employees)</b> |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 66. OFFICIALS/ADMIN  |                                     | 14                         | 12                         |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 67. PROFESSIONALS  |                                     | 1                          |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 68. TECHNICIANS  |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 69. PROTECTIVE SERVICE   |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 70. PARA-PROFESSIONAL  |                                     | 4                          | 1                          |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 71. ADMIN. SUPPORT   |                                     |                            | 40                         |            | 1       |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 72. SKILLED CRAFT  |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 73. SERVICE/MAINTENANCE  |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 74. TOTAL OTHER THAN FULL TIME (Lines 66-73)                             |                                     | 19                         | 54                         | 0          | 1       | 0  | 0        | 0                               | 0                                | 0                          | 24         | 0       | 0 | 0        | 0                               | 0                                |
| <b>3. NEW HIRES DURING FISCAL YEAR (Permanent full time only)</b>        |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 75. OFFICIALS/ADMIN  |                                     | 7                          | 6                          |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 76. PROFESSIONALS  |                                     | 41                         | 21                         | 1          | 1       | 1  |          | 1                               | 1                                |                            | 15         |         |   | 2        |                                 |                                  |
| 77. TECHNICIANS  |                                     | 18                         | 12                         | 1          |         |    |          | 1                               |                                  |                            | 3          |         | 1 |          |                                 |                                  |
| 78. PROTECTIVE SERVICE   |                                     | 11                         | 10                         |            |         |    |          |                                 |                                  |                            | 1          |         |   |          |                                 |                                  |
| 79. PARA-PROFESSIONAL  |                                     |                            |                            |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 80. ADMIN. SUPPORT   |                                     | 19                         | 1                          |            |         |    |          |                                 |                                  |                            | 18         |         |   |          |                                 |                                  |
| 81. SKILLED CRAFT  |                                     | 82                         | 82                         |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| 82. SERVICE/MAINTENANCE  |                                     | 1                          | 1                          |            |         |    |          |                                 |                                  |                            |            |         |   |          |                                 |                                  |
| <b>83. TOTAL NEW HIRES(Lines 75-82)</b>                                  |                                     | 179                        | 133                        | 2          | 1       | 2  | 0        | 2                               | 2                                | 0                          | 38         | 0       | 1 | 2        | 0                               | 0                                |

**TABLE 3 - WORKFORCE AGENCY-WIDE ANALYSIS**

EMPLOYMENT DATA AS OF JUNE 30, 2011

| JOB CATEGORIES              | TOTAL (COL. B-K) | MALE             |              |            |                           |                         | FEMALE           |           |             |                           |                            |            |              |           |             |          |             |           |             |          |             |
|-----------------------------|------------------|------------------|--------------|------------|---------------------------|-------------------------|------------------|-----------|-------------|---------------------------|----------------------------|------------|--------------|-----------|-------------|----------|-------------|-----------|-------------|----------|-------------|
|                             |                  | NON-HISPA. WHITE | BLACK        | HISPA- NIC | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN | NON-HISPA. WHITE | BLACK     | HISPA- NIC  | ASIAN OR PACIFIC ISLANDER | AMERICAN INDIAN OR ALASKAN |            |              |           |             |          |             |           |             |          |             |
| A                           | B                | C                | D            | E          | F                         | G                       | H                | I         | J           | K                         |                            |            |              |           |             |          |             |           |             |          |             |
| OFFICIALS AND ADMINISTRATOR | 179              | 119              | 66.5%        | 3          | 1.7%                      | 1                       | 0.6%             | 2         | 1.1%        | 0                         | 0.0%                       | 51         | 28.5%        | 0         | 0.0%        | 0        | 0.0%        | 3         | 1.7%        | 0        | 0.0%        |
| PROFESSIONALS               | 545              | 317              | 58.2%        | 3          | 0.6%                      | 6                       | 1.1%             | 11        | 2.0%        | 1                         | 0.2%                       | 197        | 36.1%        | 1         | 0.2%        | 3        | 1%          | 5         | 0.9%        | 1        | 0.2%        |
| TECHNICIANS                 | 499              | 351              | 70.3%        | 8          | 1.6%                      | 4                       | 0.8%             | 4         | 0.8%        | 6                         | 1.2%                       | 122        | 24.4%        | 1         | 0.2%        | 1        | 0%          | 0         | 0.0%        | 2        | 0.4%        |
| PROTECTIVE SERVICE          | 116              | 100              | 86.2%        | 1          | 0.9%                      | 1                       | 0.9%             | 0         | 0.0%        | 1                         | 0.9%                       | 13         | 11.2%        | 0         | 0.0%        | 0        | 0%          | 0         | 0.0%        | 0        | 0.0%        |
| PARA- PROFESSIONAL          | 0                | 0                | 0            | 0          | 0                         | 0                       | 0                | 0         | 0           | 0                         | 0                          | 0          | 0            | 0         | 0           | 0        | 0           | 0         | 0           | 0        | 0           |
| ADMINISTRATIVE SUPPORT      | 284              | 29               | 10.2%        | 2          | 0.7%                      | 0                       | 0.0%             | 0         | 0.0%        | 0                         | 0.0%                       | 238        | 83.8%        | 11        | 3.9%        | 1        | 0%          | 2         | 0.7%        | 1        | 0.4%        |
| SKILLED CRAFT               | 1205             | 1131             | 93.9%        | 12         | 1.0%                      | 8                       | 0.7%             | 3         | 0.2%        | 18                        | 1.5%                       | 33         | 2.7%         | 0         | 0.0%        | 0        | 0%          | 0         | 0.0%        | 0        | 0.0%        |
| SERVICE MAINTENANCI         | 21               | 11               | 52.4%        | 1          | 4.8%                      | 0                       | 0.0%             | 1         | 4.8%        | 1                         | 4.8%                       | 7          | 33.3%        | 0         | 0.0%        | 0        | 0%          | 0         | 0.0%        | 0        | 0.0%        |
| <b>TOTAL FULL TIME</b>      | <b>2849</b>      | <b>2058</b>      | <b>72.2%</b> | <b>30</b>  | <b>1.1%</b>               | <b>20</b>               | <b>0.7%</b>      | <b>21</b> | <b>0.7%</b> | <b>27</b>                 | <b>0.9%</b>                | <b>661</b> | <b>23.2%</b> | <b>13</b> | <b>0.5%</b> | <b>5</b> | <b>0.2%</b> | <b>10</b> | <b>0.4%</b> | <b>4</b> | <b>0.1%</b> |

**SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2011**

|                           | TOTAL       | MALE        | FEMALE     | TOTAL %       |
|---------------------------|-------------|-------------|------------|---------------|
| NON-HISPANIC ORIGIN/WHITE | 2719        | 2058        | 661        | 24.31%        |
| BLACK                     | 43          | 30          | 13         | 30.23%        |
| HISPANIC                  | 25          | 20          | 5          | 20.00%        |
| ASIAN OR PACIFIC ISLANDER | 31          | 21          | 10         | 32.26%        |
| AMER INDIAN OR ALASKAN    | 31          | 27          | 4          | 12.90%        |
| <b>OVERALL TOTAL</b>      | <b>2849</b> | <b>2156</b> | <b>693</b> | <b>24.32%</b> |

**WORKFORCE ANALYSIS BY DIVISION**

**EMPLOYMENT DATA AS OF JUNE 30, 2011  
TABLE 4A - DIVISION/OFFICE: DIRECTOR'S OFFICE**

| DIVISION/<br>OFFICE    | JOB CATEGORIES                 | TOTAL<br>(COL.<br>B-K) | MALE       |                               |                 |                 |   |   | FEMALE                             |                 |                 |                         |   |   |          |             |          |             |          |             |          |             |
|------------------------|--------------------------------|------------------------|------------|-------------------------------|-----------------|-----------------|---|---|------------------------------------|-----------------|-----------------|-------------------------|---|---|----------|-------------|----------|-------------|----------|-------------|----------|-------------|
|                        |                                |                        | TOTAL<br>A | NON-<br>HISPA.<br>ORIGIN<br>B | WHITE<br>%<br>C | BLACK<br>%<br>D | ASIAN OR<br>PACIFIC<br>ISLANDER<br>%<br>E | AMER.<br>INDIAN OR<br>ALASKAN<br>NATIVE<br>%<br>F | NON-<br>HISPA.<br>ORIGIN<br>%<br>G | WHITE<br>%<br>H | BLACK<br>%<br>I | HISPA-<br>NIC<br>%<br>J | ASIAN OR<br>PACIFIC<br>ISLANDER<br>%<br>K | AMER.<br>INDIAN OR<br>ALASKAN<br>NATIVE<br>%<br>L |          |             |          |             |          |             |          |             |
| DIRECTOR'S<br>OFFICE   | OFFICIALS AND<br>ADMINISTRATOR | 7                      | 2          | 28.6%                         | 1               | 14.3%           | 0   | 0.0%  | 0                                  | 0.0%            | 0               | 0.0%                    | 4   | 57.1%   | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |          |             |
|                        | PROFESSIONALS                  | 18                     | 8          | 44.4%                         | 0               | 0.0%            | 0   | 0.0%  | 0                                  | 0.0%            | 0               | 0.0%                    | 10  | 55.6%   | 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%        |          |             |
|                        | 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%        |          |             |
| 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 | 4                              | 0                      | 0.0%       | 0                             | 0.0%            | 0               | 0.0%                                      | 0   | 0.0%                               | 0               | 0.0%            | 4                       | 100%                                      | 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%     |             |
| SERVICE MAINTENANCE    | 6                              | 3                      | 50.0%      | 0                             | 0.0%            | 0               | 0.0%                                      | 1   | 16.7%                              | 0               | 0.0%            | 2                       | 33.3%                                     | 0   | 0.0%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     |             |
| <b>TOTAL FULL TIME</b> |                                | <b>35</b>              | <b>13</b>  | <b>37.1%</b>                  | <b>1</b>        | <b>2.9%</b>     | <b>0</b>                                  | <b>0.0%</b>                                       | <b>1</b>                           | <b>2.9%</b>     | <b>0</b>        | <b>0.0%</b>             | <b>20</b>                                 | <b>57.1%</b>                                      | <b>0</b> | <b>0.0%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b> | <b>0.0%</b> |

| SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2011 |           |              |               |
|--|-----------|--------------|---------------|
| TOTAL                                      | MALE      | %            | FEMALE %      |
| NON-HISPANIC ORIGIN/WHITE                  | 33        | 39.4%        | 60.61%        |
| BLACK                                      | 1         | 100.0%       | 0.00%         |
| HISPANIC                                   | 0         | 0.0%         | 0.00%         |
| ASIAN OR PACIFIC ISLANDER                  | 1         | 100.0%       | 0.00%         |
| AMER INDIAN OR ALASKAN                     | 0         | 0.0%         | 0.00%         |
| <b>TOTAL</b>                               | <b>35</b> | <b>42.9%</b> | <b>57.14%</b> |



WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2011  
TABLE 4C - DIVISION/OFFICE: HIGHWAY

| DIVISION | JOB CATEGORIES              | TOTAL (COL. B-K) | MALE              |                           |                                |                   |                           | FEMALE                         |             |                           |             |            |              |          |             |          |             |          |             |          |             |
|----------|-----------------------------|------------------|-------------------|---------------------------|--------------------------------|-------------------|---------------------------|--------------------------------|-------------|---------------------------|-------------|------------|--------------|----------|-------------|----------|-------------|----------|-------------|----------|-------------|
|          |                             |                  | NON-HISPA. ORIGIN | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE | NON-HISPA. ORIGIN | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE | HISPA-NIC   | ASIAN OR PACIFIC ISLANDER | HISPA-NIC   |            |              |          |             |          |             |          |             |          |             |
|          |                             |                  | WHITE             | BLACK                     | %                              | D                 | %                         | E                              | %           | F                         | %           | G          | %            | H        | %           | I        | %           | J        | %           | K        | %           |
| HIGHWAY  | OFFICIALS AND ADMINISTRATOR | 106              | 87                | 1                         | 82.1%                          | 0                 | 0.9%                      | 1                              | 0.9%        | 0                         | 0.0%        | 1          | 0.9%         | 16       | 15.1%       | 0        | 0.0%        | 1        | 0.9%        | 0        | 0.0%        |
|          | PROFESSIONALS               | 253              | 175               | 1                         | 69.2%                          | 1                 | 0.4%                      | 9                              | 3.6%        | 0                         | 0.0%        | 61         | 24.1%        | 0        | 0.0%        | 2        | 1%          | 3        | 1.2%        | 1        | 0.4%        |
|          | TECHNICIANS                 | 425              | 336               | 8                         | 79.1%                          | 3                 | 0.7%                      | 3                              | 0.7%        | 6                         | 1.4%        | 67         | 15.8%        | 1        | 0.2%        | 0        | 0%          | 0        | 0.0%        | 1        | 0.2%        |
|          | 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%        |
|          | 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      | 67               | 0                 | 1                         | 0.0%                           | 1                 | 1.5%                      | 0                              | 0.0%        | 0                         | 0.0%        | 63         | 94.0%        | 1        | 1.5%        | 0        | 0%          | 1        | 1.5%        | 1        | 1.5%        |
|          | SKILLED CRAFT               | 1150             | 1080              | 12                        | 93.9%                          | 12                | 1.0%                      | 3                              | 0.3%        | 18                        | 1.6%        | 29         | 2.5%         | 0        | 0.0%        | 0        | 0%          | 0        | 0.0%        | 0        | 0.0%        |
|          | SERVICE MAINTENANCE         | 1                | 1                 | 0                         | 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%        |
|          | <b>TOTAL FULL TIME</b>      | <b>2002</b>      | <b>1679</b>       | <b>23</b>                 | <b>83.9%</b>                   | <b>23</b>         | <b>1.1%</b>               | <b>16</b>                      | <b>0.8%</b> | <b>24</b>                 | <b>1.2%</b> | <b>236</b> | <b>11.8%</b> | <b>2</b> | <b>0.1%</b> | <b>2</b> | <b>0.1%</b> | <b>5</b> | <b>0.2%</b> | <b>3</b> | <b>0.1%</b> |

| SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2011 |             |             |               |
|--|-------------|-------------|---------------|
| TOTAL                                      | MALE        | %           | FEMALE        |
| NON-HISPANIC ORIGIN/WHITE                  | 1679        | 87.7%       | 236           |
|  |             |             | 12.32%        |
| BLACK                                      | 23          | 92.0%       | 2             |
|  |             |             | 8.00%         |
| HISPANIC                                   | 14          | 85.7%       | 2             |
|  |             |             | 14.29%        |
| ASIAN OR PACIFIC ISLANDER                  | 21          | 76.2%       | 5             |
|  |             |             | 23.81%        |
| AMER INDIAN OR ALASKAN                     | 27          | 88.9%       | 3             |
|  |             |             | 11.11%        |
| <b>TOTAL</b>                               | <b>2002</b> | <b>1754</b> | <b>87.6%</b>  |
|  |             | <b>248</b>  | <b>12.39%</b> |
|  |             |             | <b>100%</b>   |

**WORKFORCE ANALYSIS BY DIVISION**

**EMPLOYMENT DATA AS OF JUNE 30, 2011  
TABLE 4D - DIVISION/OFFICE: MOTOR VEHICLE**

| DIVISION      | JOB CATEGORIES              | TOTAL (COL. B-K) | MALE              |                           |                                |                   |          |             | FEMALE                    |                                |                   |             |            |                           |                                |             |          |             |          |             |          |             |
|---------------|-----------------------------|------------------|-------------------|---------------------------|--------------------------------|-------------------|----------|-------------|---------------------------|--------------------------------|-------------------|-------------|------------|---------------------------|--------------------------------|-------------|----------|-------------|----------|-------------|----------|-------------|
|               |                             |                  | NON-HISPA. ORIGIN | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE | NON-HISPA. ORIGIN | BLACK    | HISPA-NIC   | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE | NON-HISPA. ORIGIN | BLACK       | HISPA-NIC  | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE |             |          |             |          |             |          |             |
|               |                             | A                | B                 | %                         | C                              | %                 | D        | %           | E                         | %                              | F                 | %           | G          | %                         | H                              | %           | I        | %           | J        | %           | K        | %           |
| MOTOR VEHICLE | OFFICIALS AND ADMINISTRATOR | 21               | 8                 | 38.1%                     | 0                              | 0.0%              | 0        | 0.0%        | 1                         | 4.8%                           | 0                 | 0.0%        | 12         | 57.1%                     | 0                              | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |
|               | PROFESSIONALS               | 57               | 11                | 19.3%                     | 0                              | 0.0%              | 0        | 0.0%        | 0                         | 0.0%                           | 0                 | 0.0%        | 45         | 78.9%                     | 1                              | 1.8%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |
|               | TECHNICIANS                 | 44               | 2                 | 4.5%                      | 0                              | 0.0%              | 1        | 2.3%        | 1                         | 2.3%                           | 0                 | 0.0%        | 39         | 88.6%                     | 0                              | 0.0%        | 1        | 2%          | 0        | 0.0%        | 0        | 0.0%        |
|               | PROTECTIVE SERVICE          | 116              | 100               | 100.0%                    | 1                              | 0.9%              | 1        | 0.9%        | 0                         | 0.0%                           | 1                 | 0.9%        | 13         | 11.2%                     | 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      | 180              | 19                | 10.6%                     | 1                              | 0.6%              | 0        | 0.0%        | 0                         | 0.0%                           | 0                 | 0.0%        | 148        | 82.2%                     | 10                             | 5.6%        | 1        | 1%          | 1        | 0.6%        | 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%        |
|               | 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%        |
|               | <b>TOTAL FULL TIME</b>      | <b>418</b>       | <b>140</b>        | <b>33.5%</b>              | <b>2</b>                       | <b>0.5%</b>       | <b>2</b> | <b>0.5%</b> | <b>2</b>                  | <b>0.5%</b>                    | <b>1</b>          | <b>0.2%</b> | <b>257</b> | <b>61.5%</b>              | <b>11</b>                      | <b>2.6%</b> | <b>2</b> | <b>0.5%</b> | <b>1</b> | <b>0.2%</b> | <b>0</b> | <b>0.0%</b> |

| SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2011 |            |            |               |
|--|------------|------------|---------------|
| TOTAL                                      | MALE       | %          | FEMALE        |
| NON-HISPANIC ORIGIN/WHITE                  | 140        | 35.3%      | 257           |
|  |            |            | 64.74%        |
|  |            |            | 100%          |
| BLACK                                      | 2          | 15.4%      | 11            |
|  |            |            | 84.62%        |
|  |            |            | 100%          |
| HISPANIC                                   | 4          | 2          | 50.00%        |
|  |            |            | 100%          |
| ASIAN OR PACIFIC ISLANDER                  | 3          | 2          | 66.7%         |
|  |            |            | 33.33%        |
|  |            |            | 100%          |
| AMER INDIAN OR ALASKAN                     | 1          | 1          | 100.0%        |
|  |            |            | 0             |
|  |            |            | 0.00%         |
| <b>TOTAL</b>                               | <b>418</b> | <b>147</b> | <b>35.2%</b>  |
|  |            |            | <b>271</b>    |
|  |            |            | <b>64.83%</b> |
|  |            |            | <b>100%</b>   |

**WORKFORCE ANALYSIS BY DIVISION**

**EMPLOYMENT DATA AS OF JUNE 30, 2011  
TABLE 4E - DIVISION/OFFICE: OPERATIONS AND FINANCE**

| DIVISION               | JOB CATEGORIES              | TOTAL (COL. B-K)  |               | MALE         |          |             |          |             |          |             |          |             |          | FEMALE      |           |              |          |             |          |             |          |             |          |             |          |             |
|------------------------|-----------------------------|-------------------|---------------|--------------|----------|-------------|----------|-------------|----------|-------------|----------|-------------|----------|-------------|-----------|--------------|----------|-------------|----------|-------------|----------|-------------|----------|-------------|----------|-------------|
|                        |                             | NON-HISPA. ORIGIN | HISPA. ORIGIN | WHITE        | BLACK    | A           | B        | %           | C        | %           | D        | %           | E        | %           | F         | %            | G        | %           | H        | %           | I        | %           | J        | %           | K        | %           |
| OPERATIONS AND FINANCE | OFFICIALS AND ADMINISTRATOR | 20                | 10            | 50.0%        | 1        | 5.0%        | 1        | 5.0%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0         | 0.0%         | 6        | 30.0%       | 0        | 0.0%        | 0        | 0.0%        | 2        | 10.0%       | 0        | 0.0%        |
|                        | PROFESSIONALS               | 46                | 24            | 52.2%        | 1        | 2.2%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0         | 0.0%         | 21       | 45.7%       | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |
|                        | TECHNICIANS                 | 15                | 2             | 13.3%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0         | 0.0%         | 12       | 80.0%       | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 1        | 6.7%        |
|                        | 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%        |
| 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         |
| ADMINISTRATIVE SUPPORT | 24                          | 10                | 41.7%         | 0            | 0.0%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%      | 14           | 58.3%    | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     |             |
| SKILLED CRAFT          | 40                          | 37                | 92.5%         | 0            | 0.0%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%      | 3            | 7.5%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     |             |
| SERVICE MAINTENANCE    | 14                          | 7                 | 50.0%         | 1            | 7.1%     | 0           | 0.0%     | 0           | 0.0%     | 1           | 7.1%     | 0           | 0.0%     | 1           | 7.1%      | 5            | 35.7%    | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     | 0           | 0.0%     |             |
| <b>TOTAL FULL TIME</b> |                             | <b>159</b>        | <b>90</b>     | <b>56.6%</b> | <b>3</b> | <b>1.9%</b> | <b>1</b> | <b>0.6%</b> | <b>0</b> | <b>0.0%</b> | <b>1</b> | <b>0.6%</b> | <b>0</b> | <b>0.0%</b> | <b>61</b> | <b>38.4%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b> | <b>0.0%</b> | <b>2</b> | <b>1.3%</b> | <b>1</b> | <b>0.6%</b> |

| SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2011 |           |           |               |
|--|-----------|-----------|---------------|
| TOTAL                                      | MALE      | FEMALE    | %             |
| NON-HISPANIC ORIGIN/WHITE                  | 90        | 61        | 40.40%        |
| BLACK                                      | 3         | 0         | 0.00%         |
| HISPANIC                                   | 1         | 0         | 0.00%         |
| ASIAN OR PACIFIC ISLANDER                  | 0         | 2         | 100.00%       |
| AMER INDIAN OR ALASKAN                     | 1         | 1         | 50.00%        |
| <b>TOTAL</b>                               | <b>95</b> | <b>64</b> | <b>40.25%</b> |

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2011

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

| DIVISION                        | JOB CATEGORIES                          | TOTAL (COL. B-K) | MALE              |                           |                                |                   |                           |                                | FEMALE    |                           |                                |             |                           |                                |          |             |          |             |          |             |          |             |
|---------------------------------|---|------------------|-------------------|---------------------------|--------------------------------|-------------------|---------------------------|--------------------------------|-----------|---------------------------|--------------------------------|-------------|---------------------------|--------------------------------|----------|-------------|----------|-------------|----------|-------------|----------|-------------|
|                                 |   |                  | NON-HISPA. ORIGIN | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE | NON-HISPA. ORIGIN | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE | HISPA-NIC | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE | HISPA-NIC   | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE |          |             |          |             |          |             |          |             |
|                                 |   | A                | B                 | %                         | C                              | %                 | D                         | %                              | E         | %                         | F                              | %           | G                         | %                              | H        | %           | I        | %           | J        | %           | K        | %           |
| PLANNING, PROGRAMMING AND MODAL | OFFICIALS AND PROGRAMMING ADMINISTRATOR | 17               | 7                 | 41.2%                     | 0                              | 0.0%              | 0                         | 0.0%                           | 0         | 0.0%                      | 0                              | 0.0%        | 10                        | 58.8%                          | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |
|                                 | PROFESSIONALS                           | 58               | 33                | 56.9%                     | 0                              | 0.0%              | 3                         | 5.2%                           | 0         | 0.0%                      | 1                              | 1.7%        | 19                        | 32.8%                          | 0        | 0.0%        | 1        | 2%          | 1        | 1.7%        | 0        | 0.0%        |
|                                 | TECHNICIANS                             | 13               | 10                | 76.9%                     | 0                              | 0.0%              | 0                         | 0.0%                           | 0         | 0.0%                      | 0                              | 0.0%        | 3                         | 23.1%                          | 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%        |
| 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          |   | 3                | 0                 | 0.0%                      | 0                              | 0.0%              | 0                         | 0.0%                           | 0         | 0.0%                      | 0                              | 0.0%        | 3                         | 100.0%                         | 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%        |
| 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%        |
| <b>TOTAL FULL TIME</b>          |   | <b>91</b>        | <b>50</b>         | <b>54.9%</b>              | <b>0</b>                       | <b>0.0%</b>       | <b>3</b>                  | <b>3.3%</b>                    | <b>0</b>  | <b>0.0%</b>               | <b>1</b>                       | <b>1.1%</b> | <b>35</b>                 | <b>38.5%</b>                   | <b>0</b> | <b>0.0%</b> | <b>1</b> | <b>1.1%</b> | <b>1</b> | <b>1.1%</b> | <b>0</b> | <b>0.0%</b> |

| SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2011 |           |           |              |
|--|-----------|-----------|--------------|
| TOTAL                                      | MALE      | FEMALE    |              |
| NON-HISPANIC ORIGIN/WHITE                  | 85        | 50        | 58.8%        |
| BLACK                                      | 0         | 0         | 0.0%         |
| HISPANIC                                   | 4         | 3         | 75.0%        |
| ASIAN OR PACIFIC ISLANDER                  | 1         | 0         | 0.0%         |
| AMER INDIAN OR ALASKAN                     | 1         | 1         | 100.0%       |
| <b>TOTAL</b>                               | <b>91</b> | <b>54</b> | <b>59.3%</b> |

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2011  
TABLE4G - DIVISION/OFFICE: INFORMATION TECHNOLOGY

| DIVISION               | JOB CATEGORIES         | TOTAL (COL. B-K) | MALE              |       |       |      |     |                           | FEMALE                         |                   |       |       |     |        |                           |                                |     |      |     |      |     |      |     |      |
|------------------------|------------------------|------------------|-------------------|-------|-------|------|-----|---------------------------|--------------------------------|-------------------|-------|-------|-----|--------|---------------------------|--------------------------------|-----|------|-----|------|-----|------|-----|------|
|                        |                        |                  | NON-HISPA. ORIGIN | WHITE | BLACK | D    | E   | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE | NON-HISPA. ORIGIN | WHITE | BLACK | H   | I      | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE |     |      |     |      |     |      |     |      |
| A                      | B                      | %                | C                 | %     | %     | %    | %   | %                         | %                              | %                 | %     | %     | %   | %      | %                         | %                              |     |      |     |      |     |      |     |      |
| INFORMATION TECHNOLOGY | ADMINISTRATOR          | 8                | 5                 | 62.5% | 0     | 0.0% | 0   | 0.0%                      | 0                              | 0.0%              | 0     | 0.0%  | 0   | 0.0%   | 0                         | 0.0%                           | 0   | 0.0% |     |      |     |      |     |      |
|                        | PROFESSIONALS          | 113              | 66                | 58.4% | 1     | 0.9% | 2   | 1.8%                      | 2                              | 1.8%              | 0     | 0.0%  | 40  | 35.4%  | 0                         | 0.0%                           | 2   | 1.8% | 0   | 0.0% |     |      |     |      |
|                        | TECHNICIANS            | 2                | 1                 | 50.0% | 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% |     |      |
|                        | 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% |     |      |
|                        | 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 |      |
|                        | ADMINISTRATIVE SUPPORT | 5                | 0                 | 0.0%  | 0     | 0.0% | 0   | 0.0%                      | 0                              | 0.0%              | 0     | 0.0%  | 5   | 100.0% | 0                         | 0.0%                           | 0   | 0.0% | 0   | 0.0% | 0   | 0.0% | 0   | 0.0% |
|                        | SKILLED CRAFT          | 15               | 14                | 0.0%  | 0     | 0.0% | 0   | 0.0%                      | 0                              | 0.0%              | 0     | 0.0%  | 1   | 6.7%   | 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        | 143              | 86                | 60.1% | 1     | 0.7% | 2   | 1.4%                      | 2                              | 1.4%              | 2     | 1.4%  | 50  | 35.0%  | 0                         | 0.0%                           | 2   | 1.4% | 0   | 0.0% | 0   | 0.0% | 0   | 0.0% |

| SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2011 |      |        |        |
|--|------|--------|--------|
| TOTAL                                      | MALE | %      | FEMALE |
| NON-HISPANIC ORIGIN/WHITE                  | 86   | 63.2%  | 50     |
| BLACK                                      | 1    | 100.0% | 0      |
| HISPANIC                                   | 2    | 100.0% | 0      |
| ASIAN OR PACIFIC ISLANDER                  | 4    | 50.0%  | 2      |
| AMER INDIAN OR ALASKAN                     | 0    | 0.0%   | 0      |
| TOTAL                                      | 143  | 63.6%  | 52     |

**SUMMARY OF WORKFORCE BY DIVISION/OFFICE**  
**EMPLOYMENT DATA AS OF JUNE 30, 2011**  
**TABLE 4H**

| <b>DIVISION/OFFICE</b>          | <b>TOTAL</b> | <b>MALE</b> | <b>%</b>     | <b>FEMALE</b> | <b>%</b>      |
|---------------------------------|--------------|-------------|--------------|---------------|---------------|
| DIRECTOR'S OFFICE               | 35           | 15          | 42.9%        | 20            | 57.14%        |
| GENERAL COUNSEL                 | 1            | 0           | 0.0%         | 1             | 100.00%       |
| HIGHWAY DIVISION                | 2002         | 1754        | 87.6%        | 248           | 12.39%        |
| MOTOR VEHICLE DIVISION          | 418          | 147         | 35.2%        | 271           | 64.83%        |
| OPERATIONS & FINANCE DIV        | 159          | 95          | 59.7%        | 64            | 40.25%        |
| PLANNING, PROGRAMMING AND MODAL | 91           | 54          | 59.3%        | 37            | 40.66%        |
| INFORMATION ECHNOLOGY           | 143          | 91          | 63.6%        | 52            | 36.36%        |
| <b>TOTAL</b>                    | <b>2849</b>  | <b>2156</b> | <b>75.7%</b> | <b>693</b>    | <b>24.32%</b> |

**PERSONNEL ACTIVITIES**

**TABLE 5A - NEW HIRES AGENCY-WIDE - FY 2011 end JUNE 30, 2011**

| JOB CATEGORIES              | TOTAL NON- (COL. B-K) |              | MALE         |          |             |          |                           |                                |                   |          |             |           | FEMALE       |                           |                                |          |             |          |             |          |             |  |
|-----------------------------|-----------------------|--------------|--------------|----------|-------------|----------|---------------------------|--------------------------------|-------------------|----------|-------------|-----------|--------------|---------------------------|--------------------------------|----------|-------------|----------|-------------|----------|-------------|--|
|                             | NON- HISP. ORIGIN     | HISP. ORIGIN | WHITE %      | BLACK %  | D %         | E %      | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE | NON- HISP. ORIGIN | WHITE %  | BLACK %     | H %       | I %          | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE |          |             |          |             |          |             |  |
| OFFICIALS AND ADMINISTRATOR | 7                     | 6            | 85.7%        | 0        | 0.0%        | 0        | 0.0%                      | 0                              | 0.0%              | 0        | 0.0%        | 1         | 14.3%        | 0                         | 0.0%                           | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |  |
| PROFESSIONALS               | 41                    | 21           | 51.2%        | 1        | 2.4%        | 1        | 2.4%                      | 1                              | 2.4%              | 0        | 0.0%        | 15        | 36.6%        | 0                         | 0.0%                           | 0        | 0.0%        | 2        | 4.9%        | 0        | 0.0%        |  |
| TECHNICIANS                 | 18                    | 12           | 66.7%        | 1        | 5.6%        | 0        | 0.0%                      | 1                              | 5.6%              | 0        | 0.0%        | 3         | 16.7%        | 0                         | 0.0%                           | 1        | 6%          | 0        | 0.0%        | 0        | 0.0%        |  |
| PROTECTIVE SERVICE          | 11                    | 10           | 90.9%        | 0        | 0.0%        | 0        | 0.0%                      | 0                              | 0.0%              | 0        | 0.0%        | 1         | 9.1%         | 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      | 19                    | 1            | 5.3%         | 0        | 0.0%        | 0        | 0.0%                      | 0                              | 0.0%              | 0        | 0.0%        | 18        | 94.7%        | 0                         | 0.0%                           | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |  |
| SKILLED CRAFT               | 82                    | 82           | 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%        |  |
| 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%        |  |
| <b>TOTAL FULL TIME</b>      | <b>179</b>            | <b>133</b>   | <b>74.3%</b> | <b>2</b> | <b>1.1%</b> | <b>1</b> | <b>0.56%</b>              | <b>2</b>                       | <b>1.1%</b>       | <b>0</b> | <b>0.0%</b> | <b>38</b> | <b>21.2%</b> | <b>0</b>                  | <b>0.0%</b>                    | <b>1</b> | <b>0.6%</b> | <b>2</b> | <b>1.1%</b> | <b>0</b> | <b>0.0%</b> |  |

| SUMMARY OF NEW HIRES - JUNE 30, 2011 |            |            |              |
|--------------------------------------|------------|------------|--------------|
| TOTAL                                | MALE       | FEMALE     |              |
| NON-HISPANIC ORIGIN/WHITE            | 171        | 133        | 77.8%        |
| BLACK                                | 2          | 2          | 100.0%       |
| HISPANIC                             | 2          | 1          | 50.0%        |
| ASIAN OR PACIFIC ISLANDER            | 4          | 2          | 50.0%        |
| AMER INDIAN OR ALASKAN               | 0          | 0          | 0.0%         |
| <b>TOTAL</b>                         | <b>179</b> | <b>138</b> | <b>77.1%</b> |

PERSONNEL ACTIVITIES  
 TABLE 5B - PROMOTIONS AGENCY-WIDE - FY 2011 end JUNE 30, 2011

| JOB CATEGORIES              | TOTAL NON-<br>(COL. HISPA.<br>B-K) ORIGIN | MALE       |                               |            |                    | FEMALE                               |  |                               |              |                     |                                      |  |             |           |              |          |             |          |             |
|-----------------------------|---|------------|-------------------------------|------------|--------------------|--------------------------------------|--|-------------------------------|--------------|---------------------|--------------------------------------|--|-------------|-----------|--------------|----------|-------------|----------|-------------|
|                             |   | WHITE<br>A | NON-<br>HISPA.<br>ORIGIN<br>B | BLACK<br>C | HISPA-<br>NIC<br>D | ASIAN OR<br>PACIFIC<br>ISLANDER<br>E | AMER.<br>INDIAN OR<br>ALASKAN<br>NATIVE<br>F | NON-<br>HISPA.<br>ORIGIN<br>G | BLACK<br>H   | HISPA -<br>NIC<br>I | ASIAN OR<br>PACIFIC<br>ISLANDER<br>J | AMERI.<br>INDIAN<br>OR<br>ALASKAN<br>NATIVE<br>K | %           |           |              |          |             |          |             |
| OFFICIALS AND ADMINISTRATOR | 10  | 7          | 70.0%                         | 0          | 0.0%               | 0                                    | 0.0%   | 0                             | 0.0%         | 0                   | 0.0%                                 | 3  | 30.0%       | 0         | 0.0%         | 0        | 0.0%        | 0        | 0.0%        |
| PROFESSIONALS               | 31  | 21         | 67.7%                         | 0          | 0.0%               | 0                                    | 0.0%   | 0                             | 0.0%         | 0                   | 0.0%                                 | 10   | 32.3%       | 0         | 0.0%         | 0        | 0.0%        | 0        | 0.0%        |
| TECHNICIANS                 | 44  | 35         | 79.5%                         | 0          | 0.0%               | 0                                    | 0.0%   | 0                             | 0.0%         | 0                   | 0.0%                                 | 9  | 20.5%       | 0         | 0.0%         | 0        | 0.0%        | 0        | 0.0%        |
| PROTECTIVE SERVICE          | 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%        |
| 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      | 7   | 0          | 0.0%                          | 0          | 0.0%               | 0                                    | 0.0%   | 0                             | 0.0%         | 0                   | 0.0%                                 | 7  | 100.0%      | 0         | 0.0%         | 0        | 0.0%        | 0        | 0.0%        |
| SKILLED CRAFT               | 52  | 50         | 96.2%                         | 0          | 0.0%               | 0                                    | 0.0%   | 0                             | 0.0%         | 1                   | 1.9%                                 | 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%        |
| <b>TOTAL FULL TIME</b>      | <b>148</b>                                | <b>117</b> | <b>79.1%</b>                  | <b>0</b>   | <b>0.0%</b>        | <b>0</b>                             | <b>0.00%</b>                                 | <b>0</b>                      | <b>0.00%</b> | <b>1</b>            | <b>0.7%</b>                          | <b>1</b>   | <b>0.7%</b> | <b>29</b> | <b>19.6%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b> | <b>0.0%</b> |

| SUMMARY OF PROMOTIONS - JUNE 30, 2011 |            |            |              |               |
|---------------------------------------|------------|------------|--------------|---------------|
| TOTAL                                 | MALE       | MALE %     | FEMALE       | TOTAL %       |
| NON-HISPANIC ORIGIN/WHITE             | 146        | 117        | 80.1%        | 19.86%        |
| BLACK                                 | 0          | 0          | 0.0%         | 0.00%         |
| HISPANIC                              | 0          | 0          | 0.0%         | 0.00%         |
| ASIAN OR PACIFIC ISLANDER             | 1          | 1          | 100.0%       | 100%          |
| AMER INDIAN OR ALASKAN                | 1          | 1          | 100.0%       | 100%          |
| <b>TOTAL</b>                          | <b>148</b> | <b>119</b> | <b>80.4%</b> | <b>19.59%</b> |

PERSONNEL ACTIVITIES  
 TABLE 5C - TRAINING AGENCY-WIDE - FY 2011 end JUNE 30, 2011

| JOB CATEGORIES              | PERSONNEL ACTIVITIES                      |             |            |           |           |           |               |                                 |   |                          |            |            |          | Count of Employees |          |               |                                 |
|-----------------------------|---|-------------|------------|-----------|-----------|-----------|---------------|---------------------------------|---|--------------------------|------------|------------|----------|--------------------|----------|---------------|---------------------------------|
|                             | MALE                                      |             |            |           |           |           | FEMALE        |                                 |   |                          |            |            |          |                    |          |               |                                 |
|                             | TOTAL NON-<br>(COL. HISPA.<br>B-K) ORIGIN | WHITE<br>A  | BLACK<br>B | C         | D         | E         | HISPA-<br>NIC | ASIAN OR<br>PACIFIC<br>ISLANDER | AMER.<br>INDIAN OR<br>ALASKAN<br>NATIVE | NON-<br>HISPA.<br>ORIGIN | WHITE<br>G | BLACK<br>H |          |                    | I        | HISPA-<br>NIC | ASIAN OR<br>PACIFIC<br>ISLANDER |
| OFFICIALS AND ADMINISTRATOR | 628                                       | 490         | 5          | 2         | 8         | 0         | 0             | 111                             | 0                                       | 0                        | 0          | 0          | 0        | 12                 | 0        | 0             | 167                             |
| PROFESSIONALS               | 722                                       | 426         | 3          | 13        | 16        | 1         | 254           | 3                               | 2                                       | 3                        | 1          | 0          | 0        | 0                  | 0        | 301           |                                 |
| TECHNICIANS                 | 1515                                      | 1127        | 18         | 17        | 9         | 15        | 318           | 1                               | 1                                       | 0                        | 0          | 0          | 0        | 0                  | 0        | 388           |                                 |
| PROTECTIVE SERVICE          | 89  | 72          | 4          | 0         | 0         | 0         | 13            | 0                               | 0                                       | 0                        | 0          | 0          | 0        | 0                  | 0        | 37            |                                 |
| 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           |                                 |
| ADMINISTRATIVE SUPPORT      | 426                                       | 29          | 1          | 0         | 0         | 0         | 384           | 7                               | 1                                       | 2                        | 2          | 0          | 0        | 0                  | 0        | 213           |                                 |
| SKILLED CRAFT               | 6411                                      | 6076        | 45         | 37        | 2         | 71        | 180           | 0                               | 0                                       | 0                        | 0          | 0          | 0        | 0                  | 0        | 1145          |                                 |
| SERVICE MAINTENANCE         | 50  | 27          | 3          | 0         | 3         | 0         | 17            | 0                               | 0                                       | 0                        | 0          | 0          | 0        | 0                  | 0        | 12            |                                 |
| <b>TOTAL</b>                | <b>9841</b>                               | <b>8247</b> | <b>79</b>  | <b>69</b> | <b>38</b> | <b>87</b> | <b>1277</b>   | <b>11</b>                       | <b>4</b>                                | <b>17</b>                | <b>12</b>  | <b>0</b>   | <b>0</b> | <b>0</b>           | <b>0</b> | <b>2263</b>   |                                 |

NOTE: TOTAL COUNT IS BASED ON TRAINING ATTENDED DURING FISCAL YEAR (FY) 2011.  
 EMPLOYEE MAYBE COUNTED MORE THAN ONCE BASED ON THE NUMBER OF TRAINING ATTAINED DURING THE FY.

TABLE 5D - TERMINATIONS AGENCY-WIDE - FY 2011 end JUNE 30, 2011 PERSONNEL ACTIVITIES

| JOB CATEGORIES              | MALE                     |                  |              |            |             |          |              |                                 |   |          | FEMALE      |                          |                |          |             |                                 |   |          |             |  |
|-----------------------------|--------------------------|------------------|--------------|------------|-------------|----------|--------------|---------------------------------|---|----------|-------------|--------------------------|----------------|----------|-------------|---------------------------------|---|----------|-------------|--|
|                             | TOTAL NON-<br>(COL. B-K) | HISPA.<br>ORIGIN | WHITE<br>A   | BLACK<br>B | %<br>C      | D        | %<br>E       | ASIAN OR<br>PACIFIC<br>ISLANDER | AMER.<br>INDIAN OR<br>ALASKAN<br>NATIVE | F        | %<br>G      | NON-<br>HISPA.<br>ORIGIN | HISPA -<br>NIC | I        | %<br>J      | ASIAN OR<br>PACIFIC<br>ISLANDER | AMERL.<br>INDIAN<br>OR<br>ALASKAN<br>NATIVE | K        | %<br>K      |  |
| OFFICIALS AND ADMINISTRATOR | 7                        | 6                | 85.7%        | 0          | 0.0%        | 0        | 0.0%         | 0                               | 0.0%                                    | 0        | 0.0%        | 1                        | 14.3%          | 0        | 0.0%        | 0                               | 0.0%  | 0        | 0.0%        |  |
| PROFESSIONALS               | 23                       | 19               | 82.6%        | 0          | 0.0%        | 0        | 0.0%         | 0                               | 0.0%                                    | 0        | 0.0%        | 4                        | 17.4%          | 0        | 0.0%        | 0                               | 0.0%  | 0        | 0.0%        |  |
| TECHNICIANS                 | 10                       | 7                | 70.0%        | 0          | 0.0%        | 0        | 0.0%         | 0                               | 0.0%                                    | 0        | 0.0%        | 3                        | 30.0%          | 0        | 0.0%        | 0                               | 0.0%  | 0        | 0.0%        |  |
| PROTECTIVE SERVICE          | 4                        | 3                | 75.0%        | 1          | 25.0%       | 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      | 21                       | 1                | 4.8%         | 0          | 0.0%        | 0        | 0.0%         | 0                               | 0.0%                                    | 0        | 0.0%        | 20                       | 95.2%          | 0        | 0.0%        | 0                               | 0.0%  | 0        | 0.0%        |  |
| SKILLED CRAFT               | 38                       | 35               | 92.1%        | 0          | 0.0%        | 0        | 0.0%         | 1                               | 2.6%                                    | 1        | 0.0%        | 1                        | 2.6%           | 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%        |  |
| <b>TOTAL FULL TIME</b>      | <b>103</b>               | <b>71</b>        | <b>68.9%</b> | <b>1</b>   | <b>1.0%</b> | <b>0</b> | <b>0.00%</b> | <b>1</b>                        | <b>1.0%</b>                             | <b>1</b> | <b>1.0%</b> | <b>29</b>                | <b>28.2%</b>   | <b>0</b> | <b>0.0%</b> | <b>0</b>                        | <b>0.0%</b>                                 | <b>0</b> | <b>0.0%</b> |  |

| SUMMARY OF TERMINATIONS - JUNE 30, 2011 |           |           |             |
|---|-----------|-----------|-------------|
| TOTAL                                   | MALE      | FEMALE    |             |
| NON-HISPANIC ORIGIN/WHITE               | 71        | 29        | 100%        |
| BLACK                                   | 1         | 0         | 0%          |
| HISPANIC                                | 1         | 0         | 0%          |
| ASIAN OR PACIFIC ISLANDER               | 1         | 0         | 100%        |
| AMER INDIAN OR ALASKAN                  | 0         | 0         | 0%          |
| <b>TOTAL</b>                            | <b>74</b> | <b>29</b> | <b>100%</b> |

TABLE 5E - DEMOTIONS AGENCY-WIDE - FY 2011 end JUNE 30, 2011  
PERSONNEL ACTIVITIES

| JOB CATEGORIES              | MALE                                      |            |              |          |                    |          | FEMALE                          |   |             |          |                          |            |             |          |                                 |  |             |          |             |
|-----------------------------|---|------------|--------------|----------|--------------------|----------|---------------------------------|---|-------------|----------|--------------------------|------------|-------------|----------|---------------------------------|--|-------------|----------|-------------|
|                             | TOTAL NON-<br>(COL. HISPA.<br>B-K) ORIGIN | WHITE<br>A | BLACK<br>B   | %<br>C   | HISPA-<br>NIC<br>D | %<br>E   | ASIAN OR<br>PACIFIC<br>ISLANDER | AMER.<br>INDIAN OR<br>ALASKAN<br>NATIVE | F           | %<br>G   | NON-<br>HISPA.<br>ORIGIN | WHITE<br>H | BLACK<br>I  | %<br>J   | ASIAN OR<br>PACIFIC<br>ISLANDER | AMER.<br>INDIAN<br>OR<br>ALASKAN<br>NATIVE | K           | %<br>L   |             |
| OFFICIALS AND ADMINISTRATOR | 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%        |
| 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                 | 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        | 0.0%        |
| PROTECTIVE SERVICE          | 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%        |
| 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      | 1   | 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%        |
| SKILLED CRAFT               | 12  | 12         | 0.0%         | 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%        |
| <b>TOTAL FULL TIME</b>      | <b>17</b>                                 | <b>16</b>  | <b>94.1%</b> | <b>0</b> | <b>0.0%</b>        | <b>0</b> | <b>0.0%</b>                     | <b>0</b>                                | <b>0.0%</b> | <b>0</b> | <b>0.0%</b>              | <b>1</b>   | <b>5.9%</b> | <b>0</b> | <b>0.0%</b>                     | <b>0</b>                                   | <b>0.0%</b> | <b>0</b> | <b>0.0%</b> |

| SUMMARY OF DEMOTIONS - JUNE 30, 2011 |           |              |                |
|--------------------------------------|-----------|--------------|----------------|
| TOTAL                                | MALE      | %            | FEMALE         |
| NON-HISPANIC ORIGIN/WHITE            | 17        | 94.1%        | 1 5.88%        |
| BLACK                                | 0         | 0.0%         | 0 0.00%        |
| HISPANIC                             | 0         | 0.0%         | 0 0.00%        |
| ASIAN OR PACIFIC ISLANDER            | 0         | 0.0%         | 0 0.00%        |
| AMER INDIAN OR ALASKAN               | 0         | 0.0%         | 0 0.00%        |
| <b>TOTAL</b>                         | <b>17</b> | <b>94.1%</b> | <b>1 5.88%</b> |

TABLE 5F - RECLASSIFICATIONS AGENCY-WIDE - FY 2011 end JUNE 30, 2011  
PERSONNEL ACTIVITIES

| JOB CATEGORIES              | MALE                                      |           |              |          |             |          |               |          |                                 |          | FEMALE                                  |           |                          |          |                |          |                                 |          |   |          |             |
|-----------------------------|---|-----------|--------------|----------|-------------|----------|---------------|----------|---------------------------------|----------|---|-----------|--------------------------|----------|----------------|----------|---------------------------------|----------|---|----------|-------------|
|                             | TOTAL NON-<br>(COL. HISPA.<br>B-K) ORIGIN |           | WHITE        |          | BLACK       |          | HISPA-<br>NIC |          | ASIAN OR<br>PACIFIC<br>ISLANDER |          | AMER.<br>INDIAN OR<br>ALASKAN<br>NATIVE |           | NON-<br>HISPA.<br>ORIGIN |          | HISPA -<br>NIC |          | ASIAN OR<br>PACIFIC<br>ISLANDER |          | AMERL.<br>INDIAN<br>OR<br>ALASKAN<br>NATIVE |          |             |
|                             | A   | B         | %            | C        | %           | D        | %             | E        | %                               | F        | %                                       | G         | %                        | H        | %              | I        | %                               | J        | %   | K        | %           |
| OFFICIALS AND ADMINISTRATOR | 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%        |
| PROFESSIONALS               | 17  | 10        | 58.8%        | 0        | 0.0%        | 0        | 0.0%          | 0        | 0.0%                            | 0        | 0.0%                                    | 7         | 41.2%                    | 0        | 0.0%           | 0        | 0.0%                            | 0        | 0.0%  | 0        | 0.0%        |
| TECHNICIANS                 | 5   | 4         | 80.0%        | 0        | 0.0%        | 0        | 0.0%          | 0        | 0.0%                            | 0        | 0.0%                                    | 1         | 20.0%                    | 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%        |
| 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      | 4   | 0         | 0.0%         | 0        | 0.0%        | 0        | 0.0%          | 0        | 0.0%                            | 0        | 0.0%                                    | 4         | 100.0%                   | 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%        |
| 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%        |
| <b>TOTAL FULL TIME</b>      | <b>30</b>                                 | <b>17</b> | <b>56.7%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b> | <b>0.0%</b>   | <b>0</b> | <b>0.0%</b>                     | <b>0</b> | <b>0.0%</b>                             | <b>13</b> | <b>43.3%</b>             | <b>0</b> | <b>0.0%</b>    | <b>0</b> | <b>0.0%</b>                     | <b>0</b> | <b>0.0%</b>                                 | <b>0</b> | <b>0.0%</b> |

| SUMMARY OF RECLASSIFICATIONS - JUNE 30, 2011 |           |              |               |
|--|-----------|--------------|---------------|
| TOTAL  | MALE      | %            | FEMALE        |
| NON-HISPANIC ORIGIN/WHITE                    | 17        | 56.7%        | 13            |
| BLACK  | 0         | 0.0%         | 0             |
| HISPANIC                                     | 0         | 0.0%         | 0             |
| ASIAN OR PACIFIC ISLANDER                    | 0         | 0.0%         | 0             |
| AMER INDIAN OR ALASKAN                       | 0         | 0.0%         | 0             |
| <b>TOTAL</b>                                 | <b>30</b> | <b>56.7%</b> | <b>13</b>     |
|  |           |              | <b>43.33%</b> |
|  |           |              | <b>100%</b>   |

TABLE 5G - TRANSFERS AGENCY-WIDE - FY 2011 end JUNE 30, 2011  
PERSONNEL ACTIVITIES

| JOB CATEGORIES              | TOTAL NON- (COL. B-K) ORIGIN |          |              |          | MALE        |          |             |                           | FEMALE                         |                    |              |          |             |                           |                                |
|-----------------------------|------------------------------|----------|--------------|----------|-------------|----------|-------------|---------------------------|--------------------------------|--------------------|--------------|----------|-------------|---------------------------|--------------------------------|
|                             | A                            | B        | %            | %        | WHITE       | BLACK    | HISPA- NIC  | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE | NON- HISPA. ORIGIN | WHITE        | BLACK    | HISPA- NIC  | ASIAN OR PACIFIC ISLANDER | AMER. INDIAN OR ALASKAN NATIVE |
| OFFICIALS AND ADMINISTRATOR | 2                            | 2        | 100.0%       | 0        | 0.0%        | 0        | 0.0%        | 0                         | 0.0%                           | 0                  | 0.0%         | 0        | 0.0%        | 0                         | 0.0%                           |
| PROFESSIONALS               | 5                            | 2        | 40.0%        | 0        | 0.0%        | 0        | 0.0%        | 0                         | 0.0%                           | 3                  | 60.0%        | 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%                           |
| 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      | 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%                           |
| SERVICE MAINTENANCE         | 0                            | 0        | 0.0%         | 0        | 0.0%        | 0        | 0.0%        | 0                         | 0.0%                           | 0                  | 0.0%         | 0        | 0.0%        | 0                         | 0.0%                           |
| <b>TOTAL FULL TIME</b>      | <b>7</b>                     | <b>4</b> | <b>57.1%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b>                  | <b>0.0%</b>                    | <b>3</b>           | <b>42.9%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b>                  | <b>0.0%</b>                    |

| SUMMARY OF TRANSFERS - JUNE 30, 2011 |          |          |              |
|--------------------------------------|----------|----------|--------------|
| TOTAL                                | MALE     | %        | FEMALE %     |
| NON-HISPANIC ORIGIN/WHITE            | 7        | 4        | 57.1%        |
| BLACK                                | 0        | 0        | 0.0%         |
| HISPANIC                             | 0        | 0        | 0.0%         |
| ASIAN OR PACIFIC ISLANDER            | 0        | 0        | 0.0%         |
| AMER INDIAN OR ALASKAN               | 0        | 0        | 0.0%         |
| <b>TOTAL</b>                         | <b>7</b> | <b>4</b> | <b>57.1%</b> |

**DISCIPLINARY ACTIONS AGENCYWIDE**

FISCAL YEAR 2011 which ended JUNE 30, 2011  
TABLE 5H

| JOB CATEGORIES                 | TOTAL NON-<br>(COL. HISPA.<br>B-K) ORIGIN | MALE      |              |          |             |               |             | FEMALE                          |             |   |             |                          |              |               |             |                                 |             |   |             |          |             |
|--------------------------------|---|-----------|--------------|----------|-------------|---------------|-------------|---------------------------------|-------------|---|-------------|--------------------------|--------------|---------------|-------------|---------------------------------|-------------|---|-------------|----------|-------------|
|                                |   | WHITE     |              | BLACK    |             | HISPA-<br>NIC |             | ASIAN OR<br>PACIFIC<br>ISLANDER |             | AMER.<br>INDIAN OR<br>ALASKAN<br>NATIVE |             | NON-<br>HISPA.<br>ORIGIN |              | HISPA-<br>NIC |             | ASIAN OR<br>PACIFIC<br>ISLANDER |             | AMER.<br>INDIAN OR<br>ALASKAN<br>NATIVE |             |          |             |
|                                |   | A         | B            | %        | C           | %             | D           | %                               | E           | %                                       | F           | %                        | G            | %             | H           | %                               | I           | %                                       | J           | %        | K           |
| OFFICIALS AND<br>ADMINISTRATOR | 0   | 0         | 0.0%         | 0        | 0.0%        | 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                  | 6   | 4         | 66.7%        | 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%        |
| TECHNICIANS                    | 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                                       | 0.0%        | 0        | 0.0%        |
| PROTECTIVE SERVICE             | 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%        |
| 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         | 7   | 2         | 28.6%        | 0        | 0.0%        | 0             | 0.0%        | 0                               | 0.0%        | 0                                       | 0.0%        | 5                        | 71.4%        | 0             | 0.0%        | 0                               | 0.0%        | 0                                       | 0.0%        | 0        | 0.0%        |
| SKILLED CRAFT                  | 11  | 10        | 100.0%       | 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%        |
| 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%        |
| <b>TOTAL FULL TIME</b>         | <b>27</b>                                 | <b>19</b> | <b>70.4%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b>      | <b>0.0%</b> | <b>0</b>                        | <b>0.0%</b> | <b>0</b>                                | <b>0.0%</b> | <b>8</b>                 | <b>29.6%</b> | <b>0</b>      | <b>0.0%</b> | <b>0</b>                        | <b>0.0%</b> | <b>0</b>                                | <b>0.0%</b> | <b>0</b> | <b>0.0%</b> |

| SUMMARY OF DISCIPLINARY ACTIONS - JUNE 30, 2011 |           |              |               |
|---|-----------|--------------|---------------|
| TOTAL   | MALE      | %            | FEMALE        |
| NON-HISPANIC ORIGIN/WHITE                       | 19        | 70.4%        | 29.63%        |
| BLACK   | 0         | 0.0%         | 0.00%         |
| HISPANIC  | 0         | 0.0%         | 0.00%         |
| ASIAN OR PACIFIC ISLANDER                       | 0         | 0.0%         | 0.00%         |
| AMER INDIAN OR ALASKAN                          | 0         | 0.0%         | 0.00%         |
| <b>TOTAL</b>                                    | <b>27</b> | <b>70.4%</b> | <b>29.63%</b> |



**SECTION 5**

**SETTING GOALS AND TIMETABLES**

## **Short and long-range objectives**

The following pages are Table 7A – Transportation AA Form D – Hiring Goals & Timetable, Table 7B - DOT's FY 2011 and FY 2012 Hiring Goals for Targeted Underutilized Job Classes, and DOT Job Class Underutilization List as of July 8, 2010.

As informational background of the Iowa DOT's short- and long-term objectives, priorities and target dates for achieving goals and progress, its FY 2009 – FY 2013 employment goals were included in the Affirmative Action Program/Plan (AAP) Overview Report for Fiscal Year 2008 submitted to the FHWA. The AAP was prepared by DAS-HRE in conjunction with its newly implemented approach to setting goals for FY 2009 through 2013 (see Table 7A). The AA Form D 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 is 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. The underutilization of Persons with Disabilities was calculated differently. The total hiring goal was 15 without specifically referencing any EEO-4 category. As a result, the Hiring Goals and Timetable report set a Balanced Workforce Year for the end of FY 2013.

DAS-HRE required the Iowa DOT to submit incremental annual hiring goals. Except for FY 2012 AA goals, the Iowa DOT has been establishing its incremental annual hiring goals. Nevertheless, the Iowa DOT has carried over its FY 2011 goals to FY 2012 (see Table 7B). As mentioned in our status report of efforts submitted to FHWA in December of 2011, the Iowa Attorney General's office and DAS-HRE are investigating efficient ways to collect and review underutilization of job classifications. Until this process is established, the Iowa DOT and/or DAS-HRE will not be able to provide short and long-range objectives with priorities and target dates for achieving goals and progress.

**TABLE 7A**

**TRANSPORTATION**

**AA FORM D - HIRING GOALS AND TIMETABLE - FIVE YEAR PLAN**

Fiscal Year 2009 (JUNE 27, 2008 - JUNE 25, 2009)

| EEO-4 CATEGORY            | SECTION 1               |                |                         |            | SECTION 2                 |                |                           |            | SECTION 3                 |                |                           |            |                         |                |                         |
|---------------------------|-------------------------|----------------|-------------------------|------------|---------------------------|----------------|---------------------------|------------|---------------------------|----------------|---------------------------|------------|-------------------------|----------------|-------------------------|
|                           | FEMALES                 |                | MINORITIES              |            | PERSONS WITH DISABILITIES |                | PERSONS WITH DISABILITIES |            | PERSONS WITH DISABILITIES |                | PERSONS WITH DISABILITIES |            |                         |                |                         |
|                           | A.                      | B.             | C.                      | D.         | A.                        | B.             | C.                        | D.         | A.                        | B.             | C.                        | D.         |                         |                |                         |
| TOTAL # UU                | TOTAL # PROJECTED HIRES | HIRING GOAL(S) | BALANCED WORKFORCE YEAR | TOTAL # UU | TOTAL # PROJECTED HIRES   | HIRING GOAL(S) | BALANCED WORKFORCE YEAR   | TOTAL # UU | TOTAL # PROJECTED HIRES   | HIRING GOAL(S) | BALANCED WORKFORCE YEAR   | TOTAL # UU | TOTAL # PROJECTED HIRES | HIRING GOAL(S) | BALANCED WORKFORCE YEAR |
| 1. Official/Admin.        | NU                      |                |                         |            | NU                        |                |                           |            |                           |                |                           |            |                         |                |                         |
| 2. Professional           | 3                       | 22             | 1                       | 2013       | 6                         |                |                           |            |                           |                |                           |            |                         |                |                         |
| 3. Technical              | 25                      | 10             | 5                       | 2013       | 6                         | 10             | 2                         | 2013       |                           |                |                           |            |                         |                |                         |
| 4. Protective Service     | 30                      | 7              | 6                       | 2013       | 12                        | 7              | 3                         | 2013       |                           |                |                           |            |                         |                |                         |
| 5. ParaProfessional       | NA                      |                |                         |            |                           |                |                           |            |                           |                |                           |            |                         |                |                         |
| 6. Administrative Support | 1                       |                |                         |            | 2                         |                |                           |            |                           |                |                           |            |                         |                |                         |
| 7. Skilled Craft          | 5                       | 51             | 1                       | 2013       | 34                        |                |                           |            |                           |                |                           |            |                         |                |                         |
| 8. Service/Maintenance    | 1                       | 3              | 1                       | 2013       | 2                         |                |                           |            |                           |                |                           |            |                         |                |                         |
| <b>TOTAL</b>              | <b>65</b>               | <b>93</b>      | <b>14</b>               |            | <b>62</b>                 | <b>17</b>      | <b>5</b>                  |            | <b>75</b>                 | <b>125</b>     | <b>15</b>                 |            | <b>15</b>               | <b>2013</b>    |                         |

NU= Not Underutilized  
 NA = No Employees in this EEO-4 Category

Department Approval \_\_\_\_\_  
 DAS-HRE Approval \_\_\_\_\_

Source: prepared by DAS-HRE 09-05-2008

**TABLE 7B**

| <b>DOT'S Hiring Goals for Targeted Underutilized (UU) Job Classes FY 2011 and FY 2012 for***</b> |  |   |   |   |   |                          |  |
|--|--|---|---|---|---|--------------------------|--|
| <b>EEO CATEGORY</b>  | <b>JOB CLASS</b>   | <b>MALES (PN)</b>   | <b>GOAL</b>   | <b>MINORITY (PN)</b>  | <b>GOAL</b>   | <b>GOAL (CATEGORY F)</b> | <b>PERSONS with DISABILITIES</b>                         |
| 1. Official/Admin.   | None   | No  | No  | No  | No  |                          | Workforce Aggregate - All Job Classes are Underutilized. |
| 2. Professional  | Accountant/Auditor 1<br>Geologist 2<br>Information Specialist 3  | Yes<br>Yes<br>Yes   | 2<br>1<br>1   |   |   |                          |  |
| 3. Technical   | Construction Tech Asst<br>Construction Tech Senior<br>Design Tech Specialist<br>Design Technician<br>Engineering Operations Technician<br>Engineering Technician Senior<br>Engineering Technician Senior<br>Materials Fabrication Inspection 1<br>Materials Fabrication Inspection 2<br>Materials Tech 4<br>Materials Tech 4<br>Materials Tech 5<br>Materials Tech 5 | Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes | 1<br>1<br>1<br>2<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1 | Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes | 1<br>1<br>1<br>2<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1 | 1                        |  |
| 4. Protective Service  | Motor Vehicle Investigator<br>Motor Vehicle Officer  | Yes<br>Yes  | 1<br>1  | Yes<br>Yes  | 1<br>1  | 1                        |  |
| 6. Administrative Support  | None   | No  | No  | No  | No  |                          |  |
| 7. Skilled Craft   | Comm Tech 2<br>Equipment Operator Sr<br>Garage Operations Assistant<br>Highway Maintenance Supervisor<br>Highway Tech Associate<br>Highway Tech<br>Highway Tech Senior   | Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes<br>Yes   | 1<br>2<br>2<br>1<br>6<br>2<br>2                               |   |   | 2                        |  |
| 8. Service/Maintenance   |  | No  | No  | No  | No  |                          |  |
| <b>TOTALS</b>  | <b>40</b>  |   | <b>27</b>   |   | <b>3</b>  | <b>10</b>                |  |

**Note:** EEO Category 5 is not used by the State. PN - Preferential UU \*\* - No Specific Category (GOAL either Female or Min. Dis) \*\*\* = FY 2011 goals were carried over to FY 2012. There were no Job Class Underutilization Lists issued by the Iowa Department of Administrative Services-Human Resources Enterprise (DAS-HRE) for the Executive Branch of the State of Iowa in the last three quarters of FY 2011. There was no Job Class Underutilization List issued in the beginning of Fiscal Year 2012. The last job class underutilization list issued by DAS-HRE for the Iowa DOT was for the pay period which ended July 8, 2010. The issuance or establishment of Job Class Underutilization was suspended for all Executive branches in the State of Iowa pending the determination of a new methodology for establishing underutilization. DAS-HRE anticipates that a new methodology will be established for Fiscal Year 2013.



| EEO<br>CAT | OCC<br>CODE | JOB<br>CLASS       | JOB CLASS TITLE | CURRENT<br>UU                   | HIRING GOALS BOFY |    |    |
|------------|-------------|--------------------|-----------------|---------------------------------|-------------------|----|----|
|            |             |                    |                 |                                 | F                 | M  |    |
| 6          | 2           | 570                | 90709           | ADMIN ASSISTANT 2               | M                 |    | NP |
| 7          | 2           | 202                | 03313           | AFFIRMATIVE ACTION COMPL OFF 1  | *                 |    |    |
| 8          | 2           | 082                | 00723           | BUDGET ANALYST 3                | *                 |    |    |
| 9          | 2           | 172                | 04414           | CHEMIST                         | *                 |    |    |
| 10         | 2           | 211                | 00641           | COMPLIANCE OFFICER 2            | B                 | PN | NP |
| 11         | 2           | 500                | 06303           | DRIVER LICENSE SUPERVISOR 1     | M                 |    | NP |
| 12         | 2           | 500                | 06304           | DRIVER LICENSE SUPERVISOR 2     | M                 |    | NP |
| 13         | 2           | 210                | 06302           | DRIVERS LICENSE HEARING OFFICER | *                 |    |    |
| 14         | 2           | 174                | 04516           | ENVIRONMENTAL PROGRAM SUPV      | *                 |    |    |
| 15         | 2           | 174                | 04519           | ENVIRONMENTAL SPECIALIST SENIOR | *                 |    |    |
| 16         | 2           | 146                | 04256           | FACILITIES ENGINEER 1           | *                 |    |    |
| 17         | 2           | 080                | 00327           | FIELD AUDITOR                   | B                 | PN | NP |
| 18         | 2           | 174                | 04407           | GEOLOGIST 3                     | *                 |    |    |
| 19         | 2           | 263                | 08518           | GRAPHIC ARTIST                  | *                 |    |    |
| 20         | 2           | 240                | 01337           | HISTORICAL PROGRAM SPECIALIST   | *                 |    |    |
| 21         | 2           | 062                | 00756           | HUMAN RESOURCES PROFESSIONAL 1  | B                 | PN | NP |
| 22         | 2           | 282                | 00751           | INFO SPECIALIST 2               | M                 |    | NP |
| 23         | 2           | 282                | 00754           | INFO SPECIALIST 3               | M                 |    | NP |
| 24         | 2           | 101                | 00119           | INFO TECH SPECIALIST 2          | B                 | PN | NP |
| 25         | 2           | 101                | 00120           | INFO TECH SPECIALIST 3          | B                 | PN | NP |
| 26         | 2           | 100                | 00121           | INFO TECH SPECIALIST 4          | M                 |    | NP |
| 27         | 2           | 100                | 00122           | INFO TECH SPECIALIST 5          | M                 |    | NP |
| 28         | 2           | 054                | 00453           | INSURANCE PROGRAM SPECIALIST    | *                 |    |    |
| 29         | 2           | 071                | 00734           | MANAGEMENT ANALYST 2            | *                 |    |    |
| 30         | 2           | 071                | 00736           | MANAGEMENT ANALYST 3            | *                 |    |    |
| 31         | 2           | 071                | 00737           | MANAGEMENT ANALYST 4            | *                 |    |    |
| 32         | 2           | 184                | 04022           | PROGRAM PLANNER 2               | *                 |    |    |
| 33         | 2           | 184                | 04023           | PROGRAM PLANNER 3               | *                 |    |    |
| 34         | 2           | 500                | 00780           | PUBLIC SERVICE SUPERVISOR 3     | M                 |    | NP |
| 35         | 2           | 053                | 00211           | PURCHASING AGENT 2              | B                 | PN | NP |
| 36         | 2           | 053                | 00212           | PURCHASING AGENT 3              | B                 | PN | NP |
| 37         | 2           | 080                | 00344           | REVENUE AUDITOR 3               | B                 | PN | NP |
| 38         | 2           | 081                | 04111           | RIGHT OF WAY AGENT 2            | *                 |    |    |
| 39         | 2           | 081                | 04112           | RIGHT OF WAY AGENT 3            | *                 |    |    |
| 40         | 2           | 081                | 04113           | RIGHT OF WAY AGENT 4            | *                 |    |    |
| 41         | 2           | 130                | 04236           | ROADSIDE DEVELOPMENT SPEC 2     | M                 |    | NP |
| 42         | 2           | 130                | 04237           | ROADSIDE DEVELOPMENT SPEC 3     | M                 |    | NP |
| 43         | 2           | 136                | 04245           | SENIOR TRANSPORTATION ENGIN     | *                 |    |    |
| 44         | 2           | 124                | 00744           | STATISTICAL RESEARCH ANALYST 2  | *                 |    |    |
| 45         | 2           | 141                | 04779           | TELECOMMUNICATIONS DESIGN SPEC  | *                 |    |    |
| 46         | 2           | 062                | 00763           | TRAINING SPECIALIST 1           | B                 | PN | NP |
| 47         | 2           | 062                | 00768           | TRAINING SPECIALIST 2           | B                 | PN | NP |
| 48         | 2           | 136                | 04243           | TRANSPORTATION ENGINEER         | *                 |    |    |
| 49         | 2           | 136                | 04219           | TRANSPORTATION ENGINEER INTERN  | *                 |    |    |
| 50         | 2           | 136                | 04244           | TRANSPORTATION ENG SPECIALIST   | *                 |    |    |
| 51         | 2           | 184                | 04049           | TRANSPORTATION PLANNER 1        | *                 |    |    |
| 52         | 2           | 184                | 04051           | TRANSPORTATION PLANNER 2        | *                 |    |    |
| 53         | 2           | 184                | 04052           | TRANSPORTATION PLANNER 3        | *                 |    |    |
| 54         | 2           | 184                | 04054           | TRANSPORTATION PLANNER 4        | *                 |    |    |
|            | <b>3</b>    | <b>TECHNICIANS</b> |                 |                                 |                   |    |    |
| 1          | 3           | 512                | 00290           | ACCOUNTING TECHNICIAN 1         | M                 |    | PN |
| 2          | 3           | 512                | 00292           | ACCOUNTING TECHNICIAN 2         | M                 |    | PN |
| 3          | 3           | 512                | 00294           | ACCOUNTING TECHNICIAN 3         | *                 |    |    |
| 4          | 3           | 154                | 04363           | ARCHITECTURAL TECHNICIAN 1      | F                 | PN |    |
| 5          | 3           | 154                | 04364           | ARCHITECTURAL TECHNICIAN 2      | F                 | PN |    |

| EEO<br>CAT                      | OCC<br>CODE | JOB<br>CLASS | JOB CLASS TITLE | CURRENT<br>UU                   | HIRING GOALS BOFY |    |    |
|---------------------------------|-------------|--------------|-----------------|---------------------------------|-------------------|----|----|
|                                 |             |              |                 |                                 | F                 | M  |    |
| 6                               | 3           | 193          | 04308           | ASST SOILS PARTY CHIEF          | B                 | PN | PN |
| 7                               | 3           | 131          | 04325           | ASST SURVEY PARTY CHIEF         | F                 | PN |    |
| 8                               | 3           | 666          | 08133           | BRIDGE INSPECTOR 1              | F                 | PN |    |
| 9                               | 3           | 666          | 08137           | BRIDGE INSPECTOR 2              | F                 | PN |    |
| 10                              | 3           | 156          | 04320           | CONSTRUCTION TECHNICIAN         | M                 |    | PN |
| 11                              | 3           | 156          | 04319           | CONSTRUCTION TECHNICIAN ASST    | M                 |    | PN |
| 12                              | 3           | 156          | 04321           | CONSTRUCTION TECHNICIAN SENIOR  | M                 |    | PN |
| 13                              | 3           | 154          | 04371           | DESIGN TECHNICIAN               | F                 | PN |    |
| 14                              | 3           | 154          | 04370           | DESIGN TECHNICIAN ASSOCIATE     | *                 |    |    |
| 15                              | 3           | 154          | 04372           | DESIGN TECHNICIAN SPECIALIST    | F                 | PN |    |
| 16                              | 3           | 522          | 06300           | DRIVERS LICENSE EXAMINER        | *                 |    |    |
| 17                              | 3           | 155          | 04742           | ELECTRONIC ENGINEER TECHNICIAN  | B                 | PN | PN |
| 18                              | 3           | 155          | 04385           | ENGINEERING OPERATIONS TECH     | B                 | PN | PN |
| 19                              | 3           | 155          | 04323           | ENGINEERING TECHNICIAN SENIOR   | B                 | PN | PN |
| 20                              | 3           | 536          | 00772           | HUMAN RESOURCES ASSOCIATE       | M                 |    | PN |
| 21                              | 3           | 131          | 04240           | LAND SURVEYOR                   | F                 | PN |    |
| 22                              | 3           | 131          | 04241           | LAND SURVEYOR SENIOR            | F                 | PN |    |
| 23                              | 3           | 874          | 04343           | MATERIALS FABRICATION INSPEC 1  | B                 | PN | PN |
| 24                              | 3           | 874          | 04344           | MATERIALS FABRICATION INSPEC 2  | B                 | PN | PN |
| 25                              | 3           | 874          | 04342           | MATERIALS TECHNICIAN 3          | B                 | PN | PN |
| 26                              | 3           | 874          | 04345           | MATERIALS TECHNICIAN 4          | B                 | PN | PN |
| 27                              | 3           | 874          | 04353           | MATERIALS TECHNICIAN 5          | B                 | PN | PN |
| 28                              | 3           | 155          | 04006           | PLANNING AIDE 2                 | M                 |    | PN |
| 29                              | 3           | 193          | 04310           | SOILS PARTY CHIEF               | B                 | PN | PN |
| 30                              | 3           | 131          | 04326           | SURVEY PARTY CHIEF              | F                 | PN |    |
| 31                              | 3           | 131          | 04330           | SURVEYS MANAGER                 | F                 | PN |    |
| 32                              | 3           | 941          | 00684           | TRACK INSPECTOR                 | *                 |    |    |
| <b>4 PROTECTIVE SWORN</b>       |             |              |                 |                                 |                   |    |    |
| 1                               | 4           | 384          | 86362           | MOTOR VEHICLE CAPTAIN           | B                 | PN | PN |
| 2                               | 4           | 385          | 86364           | MOTOR VEHICLE COMMANDER INVEST  | F                 | PN |    |
| 3                               | 4           | 385          | 86365           | MOTOR VEHICLE COMMANDER UNIFORM | F                 | PN |    |
| 4                               | 4           | 384          | 86340           | MOTOR VEHICLE INVESTIGATOR      | B                 | PN | PN |
| 5                               | 4           | 384          | 86360           | MOTOR VEHICLE OFFICER           | B                 | PN | PN |
| 6                               | 4           | 385          | 86361           | MOTOR VEHICLE SERGEANT          | F                 | PN |    |
| <b>6 ADMINISTRATIVE SUPPORT</b> |             |              |                 |                                 |                   |    |    |
| 1                               | 6           | 512          | 00305           | ACCOUNTING CLERK 1              | M                 |    | NP |
| 2                               | 6           | 512          | 00306           | ACCOUNTING CLERK 2              | M                 |    | NP |
| 3                               | 6           | 512          | 00307           | ACCOUNTING CLERK 3              | M                 |    | NP |
| 4                               | 6           | 586          | 00017           | CLERK-ADVANCED                  | *                 |    |    |
| 5                               | 6           | 586          | 00018           | CLERK-SPECIALIST                | *                 |    |    |
| 6                               | 6           | 522          | 06298           | DRIVERS LICENSE CLERK           | *                 |    |    |
| 7                               | 6           | 522          | 06299           | DRIVERS LICENSE CLERK-SENIOR    | *                 |    |    |
| 8                               | 6           | 586          | 04380           | ENGINEERING OFFICE ASST 1       | *                 |    |    |
| 9                               | 6           | 586          | 04381           | ENGINEERING OFFICE ASST 2       | M                 |    | NP |
| 10                              | 6           | 570          | 15005           | EXEC SECRETARY                  | M                 |    | NP |
| 11                              | 6           | 514          | 00770           | HUMAN RESOURCES TECHNICAL ASST  | *                 |    |    |
| 12                              | 6           | 580          | 00115           | INFO TECH SUPPORT WORKER 2      | *                 |    |    |
| 13                              | 6           | 580          | 00116           | INFO TECH SUPPORT WORKER 3      | *                 |    |    |
| 14                              | 6           | 585          | 00260           | MAIL CLERK 1                    | *                 |    |    |
| 15                              | 6           | 585          | 00261           | MAIL CLERK 2                    | *                 |    |    |
| 16                              | 6           | 590          | 00083           | MICROFILM OPERATOR 3            | *                 |    |    |
| 17                              | 6           | 562          | 08140           | PARTS WORKER                    | B                 | NA | NP |
| 18                              | 6           | 515          | 00205           | PURCHASING ASST                 | *                 |    |    |
| 19                              | 6           | 540          | 00006           | RECEPTIONIST                    | *                 |    |    |

|    | EEO      | OCC                            | JOB   | JOB CLASS TITLE                 | CURRENT | HIRING GOALS BOFY |    |
|----|----------|--------------------------------|-------|---------------------------------|---------|-------------------|----|
|    | CAT      | CODE                           | CLASS |                                 | UU      | F                 | M  |
| 20 | 6        | 593                            | 04107 | RIGHT OF WAY AIDE 3             | M       |                   | NP |
| 21 | 6        | 593                            | 04108 | RIGHT OF WAY AIDE 4             | M       |                   | NP |
| 22 | 6        | 570                            | 00025 | SECRETARY 1                     | *       |                   |    |
| 23 | 6        | 570                            | 00026 | SECRETARY 2                     | *       |                   |    |
| 24 | 6        | 570                            | 15002 | SECRETARY 3                     | M       |                   | NP |
| 25 | 6        | 562                            | 00237 | STOREKEEPER 3                   | B       | NA                | NP |
| 26 | 6        | 582                            | 00013 | TYPIST-ADVANCED                 | M       |                   | NP |
|    | <b>7</b> | <b>SKILLED CRAFT</b>           |       |                                 |         |                   |    |
| 1  | 7        | 761                            | 08365 | AUTOMOTIVE SERVICE WORKER       | *       |                   |    |
| 2  | 7        | 700                            | 08385 | AUTOMOTIVE SHOP SUPERVISOR      | F       | PN                |    |
| 3  | 7        | 702                            | 04736 | COMMUNICATIONS TECHNICIAN 2     | B       | PN                | NP |
| 4  | 7        | 702                            | 04737 | COMMUNICATIONS TECHNICIAN 3     | B       | PN                | NP |
| 5  | 7        | 620                            | 04322 | CONSTRUCTION TECHNICIAN SUPRVSR | B       | PN                | NP |
| 6  | 7        | 721                            | 08390 | DISTRICT MECHANIC               | M       |                   | NP |
| 7  | 7        | 635                            | 08028 | ELECTRICAL MAINTENANCE SPEC     | B       | PN                | NP |
| 8  | 7        | 635                            | 08326 | ELECTRICIAN                     | B       | PN                | NP |
| 9  | 7        | 673                            | 08113 | EQUIPMENT OPERATOR SENIOR       | B       | PN                | NP |
| 10 | 7        | 734                            | 08012 | FACILITIES MAINTENANCE COORD    | B       | PN                | NP |
| 11 | 7        | 673                            | 08115 | GARAGE OPERATIONS ASSISTANT     | B       | PN                | NP |
| 12 | 7        | 700                            | 08117 | HIGHWAY MAINTENANCE SUPERVISOR  | F       | PN                |    |
| 13 | 7        | 673                            | 08122 | HIGHWAY TECHNICIAN              | B       | PN                | NP |
| 14 | 7        | 673                            | 08121 | HIGHWAY TECHNICIAN ASSOCIATE    | M       |                   | NP |
| 15 | 7        | 673                            | 08123 | HIGHWAY TECHNICIAN SR           | B       | PN                | NP |
| 16 | 7        | 754                            | 08635 | LOCKSMITH                       | *       |                   |    |
| 17 | 7        | 803                            | 08305 | MACHINIST                       | *       |                   |    |
| 18 | 7        | 734                            | 08016 | MAINTENANCE REPAIRER            | B       | PN                | NP |
| 19 | 7        | 721                            | 08375 | MECHANIC                        | M       |                   | NP |
| 20 | 7        | 861                            | 08416 | POWER PLANT ENGINEER 3          | *       |                   |    |
| 21 | 7        | 775                            | 08347 | SIGN FABRICATOR 2               | B       | PN                | NP |
| 22 | 7        | 160                            | 04312 | SOILS PARTY SUPERVISOR          | *       |                   |    |
| 23 | 7        | 814                            | 08310 | WELDER                          | *       |                   |    |
|    | <b>8</b> | <b>SERVICE AND MAINTENANCE</b> |       |                                 |         |                   |    |
| 1  | 8        | 422                            | 07005 | CUSTODIAL WORKER                | *       |                   |    |
| 2  | 8        | 734                            | 08006 | MAINTENANCE WORKER 2            | *       |                   |    |
| 3  | 8        | 826                            | 08526 | REPRODUCTION EQUIPMENT OPER 2   | *       |                   |    |
| 4  | 8        | 826                            | 08530 | REPRO EQUIPMENT LEADER          | *       |                   |    |
| 5  | 8        | 915                            | 08210 | TRANSPORT DRIVER                | *       |                   |    |

## **SECTION 6**

# **MANAGER AND SUPERVISORS AFFIRMATIVE ACTION RESPONSIBILITIES 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. 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 A-7.)

**SECTION 7**

**RE-EVALUATING JOB DESCRIPTIONS  
AND HIRING CRITERIA**

## Hiring Practices

- The DOT reviewed and revised Policy 210.02 Recruitment, Selection, and Hiring Process. 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).

## **SECTION 8**

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

## Recruitment

### *Job Postings and Advertisement/Promotion:*

- The DOT continues to utilize All-Applicant lists posted through the State of Iowa's employment website (DAS – Brass Ring) from which most if not all positions are additionally posted at Iowa Workforce Development and Smartcareermove.com. At the discretion of the hiring manager, vacancies may be advertised using paid postings. These postings have been placed at Careerbuilder.com, Monster.com, and Dice.com.
- 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 Service
  - Women and Minorities in Construction Program Grant Coordinator
  - 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
    - 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 2011 are:
  - Iowa Latino Conference and Iowa Latino Conference Planning Committee
  - Iowa State Conference On Race and Ethnicity (ISCORE)
  - Greater Des Moines Partnership's Quarterly Multicultural Receptions
  - Iowa Juneteenth celebration festival in Des Moines
  - CelebrAsian
  - 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 DAS-Human Resource Enterprise (HRE).

*Statewide Advertisement Campaign:*

- During the first quarter of FY 11, the DOT conducted a statewide print and radio campaign to promote employment opportunities and increase awareness of the DOT's employment site.
  - Two statewide newspaper display ads through Customized Newspaper Advertising (CNA) – a network of over 200 print publications throughout the state.
  - Statewide radio coverage with close to 40 thirty-second spots through RadioIowa – a network of 60 radio stations throughout the state.
  - Additional radio spots were purchased through African American-focused stations KJMC and KBBG in Des Moines and Waterloo.
  - Several other stations also ran Public Service Announcements (PSAs) free of charge.
  - Display ads were also run in several Spanish and bilingual publications: Hola America, El Latino, El Heraldillo Hispano, El Comunicador, El Viento del Tropicico in addition to continuously running ads in the Iowa Bystander, Iowa's African American newspaper.
  - An 8x11 flyer was sent to 88 Iowa African American congregations throughout the state in mid-July.
- The development and recent creation of a Civil Rights webpage on the DOT website would help in accelerating the DOT's efforts for transparency, community outreach, and providing access of external and internal customers to the DOT's EEO/Affirmative Action plan to minorities, women, community action groups, and professional organizations.

**SECTION 9**

**RETENTION, PROMOTION AND  
TRAINING PROGRAMS**

## **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
  - TrustManagement 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.

## **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 DOT employees, both permanent and temporary, who apply, 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.

## **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 ninth annual Supervisor's Conference that was conducted in September 2011 focused on diversity, Equal Employment Opportunity/Affirmative Action – ADA/Reasonable Accommodation, and other human resource topics. (Refer to Addendum A-2.) In last year's Affirmative Action Overview report, the DOT reported 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. (Refer to Addendum A-3.)
- Employees statewide have taken one or more training in different areas relevant to their job duties and responsibilities. (Refer to Table 5C.)

**SECTION 10**

**SYSTEM OF MONITORING AND  
MEASURING PROGRESS**

## 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.

The Iowa DOT does an annual evaluation which illustrates Iowa DOT program measures and effectiveness. The FY 2011 AAP/Program evaluation will focus on reviewing appointments, promotions, reallocations, demotions, terminations, disciplinary actions and training opportunities.

The Hiring Decision Justification (HDJ) System assists in the implementation and monitoring of internal audit and reporting systems to measure program effectiveness.

## 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 visit the Iowa DAS-HRE's internet page at [http://das.iowa.gov/hre/documents/publications/applicant\\_screening\\_manual.pdf](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.

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. The adverse impact analysis data was provided by DAS and is based on all applicant flow information for applicants and positions filled during this fiscal year.

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.

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*. (Refer to Addendum A-7.) 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.

## **SUMMARY OF EMPLOYMENT ACTIVITIES**

The charts following this Summary 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 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 highlighted 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” stage. 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 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 unit of analysis, review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “application to referral” stage for the Technician (03) category. Results from the “two standard deviation” test indicated that results in the Technician (03) category within the “application to referral” stage should be looked at in more detail.

##### *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), Technician (03), 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 “referral to interview” stage in the Professional (02), Protective Service: Sworn (04), Skilled Craft (07) and Service and Maintenance (08) categories. Results from the “two standard deviation” test indicated that results in the Professional (02) and Skilled Craft (07) categories within the “referral to interview” stage 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 Professional (02), Technician (03), Protective Service: Sworn (04), 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 Administrators (01), 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 area 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 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” 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 unit of analysis, review of “four-fifths” rule results for minorities indicated equitable progress on the “application to referral” stage in the Professional (02), Protective Service: Sworn (04), Administrative Support (06), and Skilled Craft (07) 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 “application to referral” stage in the Officials and Administrators (01), Technician (03), and Service and Maintenance (08) categories. Results from the “two standard deviation” test indicated that results in the Officials and Administrators (01) and Service and Maintenance (08) categories were within the realm of random occurrence, while Technician (03) category should be looked at in more detail.

#### *Referral to Interview Stage*

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated equitable progress within the “referral to interview” stage in none of the 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 within the “referral to interview” stage in all of the categories. Results from the “two standard deviation” test indicated that results in the Officials and Administrators (01), Technician (03), Protective Service: Sworn (04), Administrative Support (06), and Service and Maintenance (08) categories were within the realm of random occurrence, while the Professional (02) and Skilled Craft (07) categories 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 on the “interview to hire” stage in the Administrative Support (06) category. No minorities were interviewed for positions in the Maintenance (08) category.

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 “interview to hire” stage in the Officials and Administrators (01), 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 Officials and Administrators (01), Professional (02), Technician (03), Protective Service: Sworn (04), and Skilled Craft (07) 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 area 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 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 suggested this stage was a potential barrier for employment. Two sets of analyses were conducted to investigate these findings.

#### Category Level

Review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “application to referral” stage for the Technician (03) category. The “two standard deviation” test results indicated results 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 Professional (02), Protective Service: Sworn (04), Skilled Craft (07), and Service and Maintenance (08) categories. Results from the “two standard deviation” test identified results for the Protective Service: Sworn (04) and Service and Maintenance (08) categories were within the realm of random occurrence, while results for the Professional (02) 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 “interview to hire” stage for the Officials and Administrators (01), Skilled Craft (07) and Service and Maintenance (08) categories. Results from the “two standard deviation” test identified results within all three categories were within the realm of random occurrence.

These results suggest potential barriers for employment for women in the Technician (03) category within the “application to referral stage” and in the Professional (02) and Skilled Craft (07) categories in the “referral to interview” stage.

#### Largest Applicant Pool Analysis

Based on both the large number of applicants in past years as well as for the 2011 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 4,442 females applying for positions with the DOT, 2,771 (62.4%) 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. The same result was found for women applying for positions across the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08).

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. Review of “four-fifths” rule results for women applying for non-category 06 positions indicated the need for further statistical analysis. Results from the “two standard deviation” test identified results for the non-category 06 group should be looked at in more detail.

Results from the category 06 / non-category 06 analysis for the “interview to hire” stage showed that women interviewing for positions across the combined non-category 06 group progressed equitably, having passed the “four-fifths” test. The same results were found for women interviewing for Administrative Support (06) positions.

### Discussion

Analyses at the AA/EEO category and largest applicant pool level showed variation but were generally supportive of department-level findings in regard to potential barriers to females.

Analysis at the AA/EEO category and largest applicant pool levels generally support the department-level findings within the “application to referral” and “interview to hire” stages. 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 within the “application to referral” and “interview to hire” stages found several categories not passing the “four-fifths” rule, with the “two standard deviation” test indicating only the Technician (03) category within the “application to referral” stage should be looked at in more detail.

Analysis at the AA/EEO category and largest applicant pool generally supports the department-level findings within the “referral to interview” stage. Department-level findings pointed to further investigation of the “referral to interview” stage and the category-level review identified the need for further investigation within the Professional (2) and Skilled Craft (07) categories. This is matched with similar findings across the non-category 06 group at this stage. Contrasting this are the results for Administrative Support (06) where progress was found to be equitable for females.

It should be noted that in Administrative Support (06) positions, where a majority of female applicants (62.4%) 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 may have impacted and potentially biased the department-level results. More specifically, attrition within category 06 (found to be equitable) resulted in a total of 2,304 females not progressing from the referral to interview stage. This represented 92.9 percent of females referred within category 06 and 62.7 percent of all females referred to the DOT in FY2011 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 “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. Analysis at the AA/EEO category suggests a potential barrier for females in the Technician (03) category within the “application to referral” stage.

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 Process, the increased recruitment effort for vacancies that occur within classifications that are identified by DAS-HRE as requiring both Preferential and Nonpreferential 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

Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis within the “application to referral” stage for the Officials and Administrators (01), Technician (03), and Maintenance (08) categories. The “two standard deviation” test results indicated results for the Officials and Administrators (01) and Service and Maintenance (08) categories were within the realm of random occurrence while the results within the Technician (03) category should be looked at in more detail.

Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis within the “referral to interview” stage for all categories. “Two standard deviation” test results indicated results in the Officials and Administrators (01), Technician (03), Protective Service: Sworn (04), Administrative Support (06), and Service and Maintenance (08) categories were within the realm of random occurrence while the results for the Professional (02) and Skilled Craft (07) categories should be looked at in more detail.

Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis within the “interview to hire” stage for the Officials and Administrators (01), Professional (02), Technician (03), Protective Service: Sworn (04) and Skilled Craft (07) categories. Results from the “two standard deviation” test identified results within all five categories were within the realm of random occurrence.

These results suggest a potential barrier for employment within the Protective Service: Sworn (04) category of the “application to referral” stage and the Professional (02) and Skilled Craft (07) categories within the “referral to interview” stage.

### Largest Applicant Pool Analysis

Based on both the large number of applicants in past years as well as for the 2011 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 1,593 minorities applying for positions with the DOT, 545 (34.2%) 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 for both groups. 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 into 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 within the “application to referral” and “interview to hire” stages, all but the results for the Technician (03) category within the “application to referral” stage 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 with minorities 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. Analysis at the AA/EEO category suggests a potential barrier for minorities in the Technician (03) category within the “application to referral” stage. 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.

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 implemented 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 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 shall 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 shall be documented by the selecting authority.
- AA/EEO and diversity responsibilities are communicated to the supervisors/managers when a position is to be filled and a job posting is created. This emphasis may be performed through the DOTs' personnel assistants and the recruitment officer by disseminating a copy of the Policy 210.02 and/or other reminders.
- The creation of a civil rights team. The team had established a unified, comprehensive, and proactive approach when addressing civil rights issues. The team is responsible for implementing, monitoring and evaluating global effectiveness of the programs. The team is responsible for community outreach, recruitment and 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 Nonpreferential goals may potentially and positively impact those problematic areas identified. In addition, the development and recent creation of a Civil Rights webpage on the DOT website would help in accelerating the DOT's efforts for transparency, community outreach, and publicizing the Affirmative Action plan to minorities, women, community action groups, and professional organizations.

**FY 2011 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     | 4,442  |                        | (Fem/Male) | (Yes/No) |                           |         |       |
| Refer     | 3,677  | <i>Apply to Refer</i>  | 105.0%     | Yes      |                           |         |       |
| Interview | 377    | <i>Refer-Interview</i> | 47.2%      | No       | 13.43                     | No      | B, C  |
| Hire      | 68     | <i>Interview-Hire</i>  | 105.2%     | Yes      |                           |         |       |

FEMALES: Category 1 – Officials & Administrators

| Stage     | Number | Stage Progression      | 80% Test   |          | 2 Standard Deviation Test |         | Notes |
|-----------|--------|------------------------|------------|----------|---------------------------|---------|-------|
|           |        |                        | Ratio      | Passed   | SDs                       | Random? |       |
| Apply     | 89     |                        | (Fem/Male) | (Yes/No) |                           |         |       |
| Refer     | 68     | <i>Apply to Refer</i>  | 96.5%      | Yes      |                           |         |       |
| Interview | 24     | <i>Refer-Interview</i> | 85.4%      | Yes      |                           |         |       |
| Hire      | 2      | <i>Interview-Hire</i>  | 57.5%      | No       | 0.72                      | Yes     | A     |

FEMALES: Category 2 – Professional.

| Stage     | Number | Stage Progression      | 80% Test   |          | 2 Standard Deviation Test |         | Notes |
|-----------|--------|------------------------|------------|----------|---------------------------|---------|-------|
|           |        |                        | Ratio      | Passed   | SDs                       | Random? |       |
| Apply     | 997    |                        | (Fem/Male) | (Yes/No) |                           |         |       |
| Refer     | 786    | <i>Apply to Refer</i>  | 112.5%     | Yes      |                           |         |       |
| Interview | 110    | <i>Refer-Interview</i> | 53.2%      | No       | 5.66                      | No      | B     |
| Hire      | 24     | <i>Interview-Hire</i>  | 131.9%     | Yes      |                           |         |       |

FEMALES: Category 3 – Technicians

| Stage     | Number | Stage Progression      | 80% Test   |          | 2 Standard Deviation Test |         | Notes |
|-----------|--------|------------------------|------------|----------|---------------------------|---------|-------|
|           |        |                        | Ratio      | Passed   | SDs                       | Random? |       |
| Apply     | 270    |                        | (Fem/Male) | (Yes/No) |                           |         |       |
| Refer     | 79     | <i>Apply to Refer</i>  | 51.8%      | No       | 5.64                      | No      | B, E  |
| Interview | 40     | <i>Refer-Interview</i> | 129.3%     | Yes      |                           |         |       |
| Hire      | 12     | <i>Interview-Hire</i>  | 160.4%     | 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) |                           |         |       |
| Refer     | 74     | <i>Apply to Refer</i>  | 99.4%      | Yes      |                           |         |       |
| Interview | 3      | <i>Refer-Interview</i> | 35.3%      | No       | 1.82                      | Yes     | A     |
| Hire      | 1      | <i>Interview-Hire</i>  | 88.9%      | Yes      |                           |         |       |

| <b>Note</b> | <b>Comment</b>   |
|-------------|--|
| <b>A</b>    | Results fail the 80% test but passed the 2 standard deviation test.  |
| <b>B</b>    | Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.         |
| <b>C</b>    | Given protected class status (PCS) is typically unknown to DOT at this stage.                                      |
| <b>D</b>    | A bubble of female applicants, over 6 out of 10 (62.4%) of all female applicants applied for Category 6 positions. |
| <b>E</b>    | Iowa Department of Administrative Services (outside agency) has sole control of this stage.                        |
|             | Passes Test  |
|             | Fails Test   |

## FY 2011 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<br>(Fem/Male) | Passed<br>(Yes/No) | SDs                       | Random?<br>(Yes/No) |       |
| Apply     | 2,771  |                        |                     |                    |                           |                     | D     |
| Refer     | 2,480  | <i>Apply to Refer</i>  | 98.2%               | Yes                |                           |                     |       |
| Interview | 176    | <i>Refer-Interview</i> | 206.0%              | Yes                |                           |                     |       |
| Hire      | 26     | <i>Interview-Hire</i>  | 458.0%              | Yes                |                           |                     |       |

### FEMALES: Category 7 – Skilled Craft

| Stage     | Number | Stage Progression      | 80% Test            |                    | 2 Standard Deviation Test |                     | Notes |
|-----------|--------|------------------------|---------------------|--------------------|---------------------------|---------------------|-------|
|           |        |                        | Ratio<br>(Fem/Male) | Passed<br>(Yes/No) | SDs                       | Random?<br>(Yes/No) |       |
| Apply     | 228    |                        |                     |                    |                           |                     |       |
| Refer     | 186    | <i>Apply to Refer</i>  | 97.5%               | Yes                |                           |                     |       |
| Interview | 23     | <i>Refer-Interview</i> | 57.2%               | No                 | 2.68                      | No                  | B, C  |
| Hire      | 3      | <i>Interview-Hire</i>  | 78.6%               | No                 | 0.41                      | Yes                 | A     |

### FEMALES: Category 8 – Service & Maintenance

| Stage     | Number | Stage Progression      | 80% Test            |                    | 2 Standard Deviation Test |                     | Notes |
|-----------|--------|------------------------|---------------------|--------------------|---------------------------|---------------------|-------|
|           |        |                        | Ratio<br>(Fem/Male) | Passed<br>(Yes/No) | SDs                       | Random?<br>(Yes/No) |       |
| Apply     | 7      |                        |                     |                    |                           |                     |       |
| Refer     | 4      | <i>Apply to Refer</i>  | 123.8%              | Yes                |                           |                     |       |
| Interview | 1      | <i>Refer-Interview</i> | 60.0%               | No                 | 0.47                      | Yes                 | A     |
| Hire      | 0      | <i>Interview-Hire</i>  | 0%                  | No                 | 0.45                      | Yes                 | A     |

### FEMALES: Overall without Category 6 – Administrative Support

| Stage     | Number | Stage Progression      | 80% Test            |                    | 2 Standard Deviation Test |                     | Notes |
|-----------|--------|------------------------|---------------------|--------------------|---------------------------|---------------------|-------|
|           |        |                        | Ratio<br>(Fem/Male) | Passed<br>(Yes/No) | SDs                       | Random?<br>(Yes/No) |       |
| Apply     | 1,671  |                        |                     |                    |                           |                     |       |
| Refer     | 1,197  | <i>Apply to Refer</i>  | 92.6%               | Yes                |                           |                     |       |
| Interview | 201    | <i>Refer-Interview</i> | 69.1%               | No                 | 4.96                      | No                  | B     |
| Hire      | 42     | <i>Interview-Hire</i>  | 120.0%              | 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, over 6 out of 10 (62.4%) 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 2011 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     | 1,593  |                        | (Min/Maj) | (Yes/No) |                           |         |       |
| Refer     | 1,220  | <i>Apply to Refer</i>  | 95.1%     | Yes      |                           |         |       |
| Interview | 121    | <i>Refer-Interview</i> | 52.5%     | No       | 6.99                      | No      | B, C  |
| Hire      | 13     | <i>Interview-Hire</i>  | 60.6%     | No       | 1.79                      | Yes     | A     |

MINORITIES: Category 1 – Officials & Administrators

| Stage     | Number | Stage Progression      | 80% Test  |          | 2 Standard Deviation Test |         | Notes |
|-----------|--------|------------------------|-----------|----------|---------------------------|---------|-------|
|           |        |                        | Ratio     | Passed   | SDs                       | Random? |       |
| Apply     | 24     |                        | (Min/Maj) | (Yes/No) |                           |         |       |
| Refer     | 15     | <i>Apply to Refer</i>  | 78.4%     | No       | 0.91                      | Yes     | A     |
| Interview | 3      | <i>Refer-Interview</i> | 48.9%     | No       | 1.25                      | Yes     | A     |
| Hire      | 0      | <i>Interview-Hire</i>  | 0.0%      | No       | 0.63                      | Yes     | A     |

MINORITIES: Category 2 – Professional.

| Stage     | Number | Stage Progression      | 80% Test  |          | 2 Standard Deviation Test |         | Notes |
|-----------|--------|------------------------|-----------|----------|---------------------------|---------|-------|
|           |        |                        | Ratio     | Passed   | SDs                       | Random? |       |
| Apply     | 478    |                        | (Min/Maj) | (Yes/No) |                           |         |       |
| Refer     | 354    | <i>Apply to Refer</i>  | 100.7%    | Yes      |                           |         |       |
| Interview | 54     | <i>Refer-Interview</i> | 68.4%     | No       | 2.60                      | No      | B, C  |
| Hire      | 6      | <i>Interview-Hire</i>  | 57.7%     | No       | 1.30                      | Yes     | A     |

MINORITIES: Category 3 – Technicians

| Stage     | Number | Stage Progression      | 80% Test  |          | 2 Standard Deviation Test |         | Notes |
|-----------|--------|------------------------|-----------|----------|---------------------------|---------|-------|
|           |        |                        | Ratio     | Passed   | SDs                       | Random? |       |
| Apply     | 186    |                        | (Min/Maj) | (Yes/No) |                           |         |       |
| Refer     | 66     | <i>Apply to Refer</i>  | 65.9%     | No       | 3.27                      | No      | B,E   |
| Interview | 21     | <i>Refer-Interview</i> | 77.5%     | No       | 1.13                      | Yes     | A, C  |
| Hire      | 3      | <i>Interview-Hire</i>  | 69.6%     | No       | 0.62                      | Yes     | A     |

MINORITIES: Category 4 – Protective Service: Sworn

| Stage     | Number | Stage Progression      | 80% Test  |          | 2 Standard Deviation Test |         | Notes |
|-----------|--------|------------------------|-----------|----------|---------------------------|---------|-------|
|           |        |                        | Ratio     | Passed   | SDs                       | Random? |       |
| Apply     | 37     |                        | (Min/Maj) | (Yes/No) |                           |         |       |
| Refer     | 31     | <i>Apply to Refer</i>  | 89.4%     | Yes      |                           |         |       |
| Interview | 1      | <i>Refer-Interview</i> | 30.0%     | No       | 1.26                      | Yes     | A, C  |
| Hire      | 0      | <i>Interview-Hire</i>  | 0.0%      | No       | 0.62                      | Yes     | A     |

| <b>Note</b> | <b>Comment</b>   |
|-------------|--|
| <b>A</b>    | Results fail the 80% test but passed the 2 standard deviation test.  |
| <b>B</b>    | Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail. |
| <b>C</b>    | Given protected class status (PCS) is typically unknown to DOT at this stage.                              |
| <b>D</b>    | A bubble of minority applicants (34.2% of all minority applicants) applied for Category 6 positions.       |
| <b>E</b>    | Iowa Department of Administrative Services (outside agency) has sole control of this stage.                |
|             | Passes Test  |
|             | Fails Test   |

**FY 2011 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<br>(Min/Maj) | Passed<br>(Yes/No) | SDs                       | Random?<br>(Yes/No) |       |
| Apply     | 545    |                        |                    |                    |                           |                     | D     |
| Refer     | 491    | <i>Apply to Refer</i>  | 100.2%             | Yes                |                           |                     |       |
| Interview | 21     | <i>Refer-Interview</i> | 66.4%              | No                 | 1.79                      | Yes                 | A, C  |
| Hire      | 3      | <i>Interview-Hire</i>  | 110.7%             | Yes                |                           |                     |       |

MINORITIES: Category 7 – Skilled Craft

| Stage     | Number | Stage Progression      | 80% Test           |                    | 2 Standard Deviation Test |                     | Notes |
|-----------|--------|------------------------|--------------------|--------------------|---------------------------|---------------------|-------|
|           |        |                        | Ratio<br>(Min/Maj) | Passed<br>(Yes/No) | SDs                       | Random?<br>(Yes/No) |       |
| Apply     | 319    |                        |                    |                    |                           |                     |       |
| Refer     | 262    | <i>Apply to Refer</i>  | 98.2%              | Yes                |                           |                     |       |
| Interview | 21     | <i>Refer-Interview</i> | 36.3%              | No                 | 4.79                      | No                  | B, C  |
| Hire      | 1      | <i>Interview-Hire</i>  | 28.4%              | No                 | 1.34                      | Yes                 |       |

MINORITIES: Category 8 – Service & Maintenance

| Stage     | Number | Stage Progression      | 80% Test           |                    | 2 Standard Deviation Test |                     | Notes |
|-----------|--------|------------------------|--------------------|--------------------|---------------------------|---------------------|-------|
|           |        |                        | Ratio<br>(Min/Maj) | Passed<br>(Yes/No) | SDs                       | Random?<br>(Yes/No) |       |
| Apply     | 4      |                        |                    |                    |                           |                     |       |
| Refer     | 1      | <i>Apply to Refer</i>  | 48.3%              | No                 | 0.72                      | Yes                 | B     |
| Interview | 0      | <i>Refer-Interview</i> | 0.0%               | No                 | 0.63                      | Yes                 | B     |
| Hire      | 0      | <i>Interview-Hire</i>  | NA                 | Yes                |                           |                     |       |

MINORITIES: Overall without Category 6 – Administrative Support

| Stage     | Number | Stage Progression      | 80% Test           |                    | 2 Standard Deviation Test |                     | Notes |
|-----------|--------|------------------------|--------------------|--------------------|---------------------------|---------------------|-------|
|           |        |                        | Ratio<br>(Min/Maj) | Passed<br>(Yes/No) | SDs                       | Random?<br>(Yes/No) |       |
| Apply     | 1,048  |                        |                    |                    |                           |                     |       |
| Refer     | 729    | <i>Apply to Refer</i>  | 90.1%              | Yes                |                           |                     |       |
| Interview | 100    | <i>Refer-Interview</i> | 56.9%              | No                 | 5.55                      | No                  | B, C  |
| Hire      | 10     | <i>Interview-Hire</i>  | 54.7%              | No                 | 1.91                      | 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 (34.2% 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 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. 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, dated filed, and status of complaint.

EEO complaints formally filed with external compliance agencies are tracked using an Excel spreadsheet and is readily available for reporting. The Excel data 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.

### 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 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*.

**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.

TABLE 8

| FY 2011 which ended June 30, 2011 |        | EEO COMPLAINT ANALYSIS REPORT |                    |  |           |                                 |                               |        |                    |             |           |     |            |                 |                   |           |             |                 |                      |
|-----------------------------------|--------|-------------------------------|--------------------|--|-----------|---------------------------------|-------------------------------|--------|--------------------|-------------|-----------|-----|------------|-----------------|-------------------|-----------|-------------|-----------------|----------------------|
| Race                              | Gender | Division                      | Allegations/Issues | AGENCY FILED WITH  |           |                                 |                               |        |                    | Complainant | Race der. | Age | Disability | National Origin | Sexual Harassment | Political | Retaliation | Others          | Investigating Entity |
|                                   |        |                               |                    | Iowa Civil Rights Comm.  | EEOC      | Cedar Rapids Civil Rights Comm. | Des Moines Human Rights Comm. | US DOT | Internal Applicant |             |           |     |            |                 |                   |           |             |                 |                      |
| 1                                 | W      | M                             | Highway            | Employment, Retaliation, Denied Accommodation, Other: Bad faith recruitment and notification | 4/27/2011 | 4/27/2011                       |                               |        |                    |             | X         | X   | X          |                 |                   |           |             | DOT-OES-<br>AAO |                      |
| 2                                 | B      | M                             |                    | Employment, denied service and failure to hire based on Race (Black)                         |           |                                 |                               |        | External Applicant | X           |           |     |            |                 |                   |           |             | DOT-OES-<br>AAO |                      |
| 3                                 | B      | F                             |                    | Employment, denied service and failure to hire based on Race (Black)                         | 3/17/2011 | 3/17/2011                       |                               |        | External Applicant | X           |           |     |            |                 |                   |           |             | DOT-OES-<br>AAO |                      |
| 4                                 | W      | M                             | Motor Vehicle      | Public Accommodation and harassment based on Physical Disability                             |           | 3/16/2011                       |                               |        | Customer           |             |           | X   |            |                 |                   |           |             | DOT-OES-<br>AAO |                      |
| 5                                 | W      |                               | Motor Vehicle      | Retaliation (Amended Complaint); Public Accommodation/ Gender                                | 1/13/2011 | 11/18/10                        |                               |        | Customer           |             | X         |     |            |                 |                   | X         |             | DOT-OES-<br>AAO |                      |
| 7                                 | W      | F                             | HD-Dist 6          | Employment discrimination and harassment based   |           | 8/21/2009                       |                               |        |                    |             |           |     |            |                 |                   |           |             | DOT-OES-<br>AAO |                      |
| 9                                 | W      | M                             | Motor Vehicle      | Employment Discrimination based on Physical and Mental Disability, Terminated                |           | 10/12/2010                      |                               |        |                    |             |           |     |            |                 |                   |           |             | DOT-OES-<br>AAO |                      |

|    | Race | Gender | Division      | Allegations/Issues  | AGENCY FILED WITH                              |  |                                 |                               |        |                    | Complainant | Race | Gender | Age | Disability | National Origin | Sexual Harassment | Political | Retaliation | Others   | Status                  | Investigating Entity |
|----|------|--------|---------------|---|--|--|---------------------------------|-------------------------------|--------|--------------------|-------------|------|--------|-----|------------|-----------------|-------------------|-----------|-------------|--|-------------------------|----------------------|
|    |      |        |               |   | Iowa Civil Rights Comm.                        | EEOC   | Cedar Rapids Civil Rights Comm. | Des Moines Human Rights Comm. | US DOT |                    |             |      |        |     |            |                 |                   |           |             |  |                         |                      |
| 11 | W    | M      | HD-Dist 6     | Employment Discrimination; Denied Accommodation because of Disability (Mental), Forced to Quit/Retire; Terminated | 7/5/2010 (Reopening only to 2/22/10 complaint) | 7/5/2010 (Reopening only to 2/22/10 complaint) |                                 |                               |        |                    |             |      |        | X   |            |                 |                   |           |             | Closed. No discrimination found. ICRC's memo dated 6/16/2011 confirmed its decision that reopening not warranted.  | DOT-OES-<br>AAO         |                      |
| 12 | W    | F      | HD-Dist 6     | Retaliation based on her sex (Amended Complaint)  |  | 7/26/2011 (Amended Complaint)                  |                                 |                               |        |                    |             | X    |        |     |            |                 |                   |           |             | Position Statement Submitted to Cedar Rapids CRC on 11/30/2011 by email.   | DOT-OES-<br>AAO         |                      |
| 13 | W    | F      | HD-Dist 6     | Disparate treatment based on her sex  |  | 1/25/2011                                      |                                 |                               |        |                    |             | X    |        |     |            |                 |                   |           |             | Position Statement Submitted to Cedar Rapids CRC on 2/24/2011  | DOT-OES-<br>AAO         |                      |
| 14 | W    | M      | MVD           | Public Accommodation, Discrimination based on sex, sexual orientation, race and disability                        |  |  | 9/23/2010                       |                               |        | Customer           | X           |      | X      |     |            |                 |                   | X         |             | Closed. No discrimination found. Des Moines Human Rights Comm issued its "Final Order" administratively closing its investigation into the complaint on 03-04-2011.                                      | DOT-OES-<br>AAO         |                      |
| 15 | A    | M      |               | Discrimination under Title VII, ADA based on race, national origin, disability, retaliation.                      | 7/15/2010                                      |  |                                 |                               |        | External Applicant | X           |      | X      |     |            |                 |                   | X         |             | Closed. No discrimination found. EEOC closed its file on 1/31/2011. EEOC stated that the complainant filed an unperfected charge--and No action is required at this time until a perfect charge follows. | DOT-OES-<br>AAO         |                      |
| 6  | W    | M      | Motor Vehicle | Public Accommodation based on disability  |  |  |                                 |                               | #####  | Customer           |             |      |        | X   |            |                 |                   |           |             | USDOT-NHTSA concluded there was no unlawful discrimination based on disability (letter received 3/2011).   | DOT-<br>MVD-OE<br>S-AAO |                      |

LEGEND: W = WHITE; A = ASIAN; M = MALE; F = FEMALE

## **Exit Interview**

The DOT continues to seek input from all permanent employees who leave the department regarding their experience working with the DOT and to determine if patterns of discrimination exist. The office of Employee Services conducts telephonic exit interviews with former employees, compiles annual results of the data and forwards any recommendations to appropriate management.

92 employees left the DOT in FY 2011

40 resignations: other job (18), personal (16), moved (4),  
stay at home (1), school (1)

19 retirements

16 dismissals

12 health/medical or death

5 transfers

23 females: 23 white

69 males: 66 white, 1 black, 2 declined to respond

All former employees reached by phone willingly participated in the telephonic interviews.

There were 39 former employees that responded to the exit interview questionnaire in FY 2011.

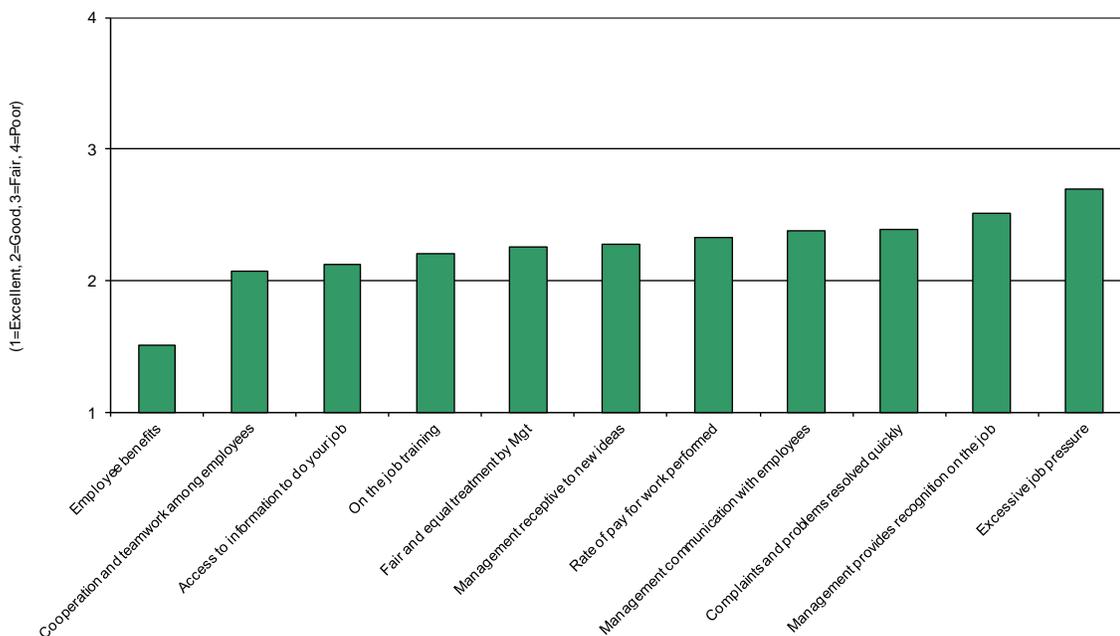
The following two charts illustrate employee responses to the exit interview - Average of Employee Responses and Average of Female and Male responses.

The first chart gives an average of all employee responses to the questions and the second chart compares female and male responses to the questions.

The higher number indicates more people identified an area as less satisfying while working at the DOT. An average of employee responses has been sorted to show the areas of concern in ascending order. Excessive job pressure shows to be the main concern for departing employees. As indicated in the AAP report for FY 2010, 465 employees left the DOT in FY 2010 with the majority retiring from employment. Because of economic factors, the DOT has been authorized to hire only in critical vacant positions or was required to re-evaluate job vacancies prior to submitting hiring justification. Additionally, with some organizational realignment, employees may experience increased workload, duties and responsibilities which may be contributory to excessive job pressure.

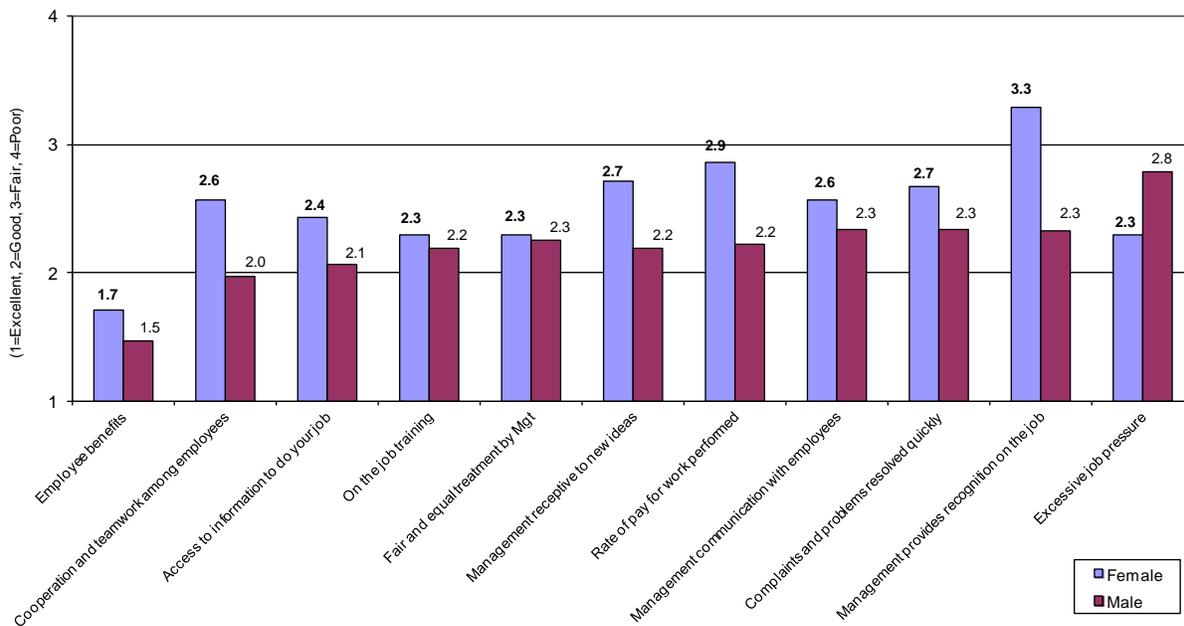
### How would you rate the DOT in each of the following areas?

Average of Employee Responses - FY 2011 Exit Interviews (sorted)



### How would you rate the DOT in each of the following areas?

Average of Female and Male Responses - FY 2011 Exit Interviews (sorted)



## **ACTION ITEMS ACCOMPLISHMENT REPORT FOR FY 11**

**Action Item 1            Development of Internal EEO/AA Program/Plan (AAP) consistent with the requirements of 23 CFR 230.30 Subpart C Appendix A - Part II B and C.**

**Accomplishments:** The DOT submitted its status report of efforts and progress relating to its Internal EEO/AA Program and was accepted by the Federal Highway Administration.

**Action Item 2            Enhance Publication of the AAP**

**Accomplishments:**

a. External publication:

- A Civil Rights Program website for the Iowa DOT is being developed and should be operational by March 30, 2012. The Iowa DOT intends to publicize its AAP on this website as well as on its Intranet. In addition, once the FY 2012 AAP is completed and approved, the Iowa DOT will disseminate copies of the plan to minority groups, women's organizations, community action groups, and professional organizations that are on its current list of referrals.
- Currently, the State of Iowa's Executive Branch AA/Diversity Plan and Report is available on the Internet and can be accessed by everyone. The Iowa DOT's diversity report published by DAS can be accessed at this link: <http://das.hre.iowa.gov/diversity-aa-eeo.html>, then click on the Quick Link: "Diversity & Affirmative Action in Iowa Report, 2010"

b. Internal publication:

- The completed and approved FY 2011 AAP will be published 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.

**Action Item 2      Refine adverse impact analysis.**

**Accomplishments:** There has been a delay in implementing any permanent changes due to factors that are not within DOT control. DAS has implemented new software for the application process and has been transitioning to the new format for applicant flow data. We continue working with DAS to expedite the process and incorporate best practices from FHWA.

**Action Item 3      Improve data collection on exit interview forms.**

**Accomplishments:** The updated process established since FY 2007 to generate greater participation in exit interviews continues. An OES staff person administers telephonically the pre-established questionnaire used for many years at the DOT.

As indicated in the last AA Program Report, the lack of opportunity for advancement continues to be the main concern for departing employees. The Iowa DOT has taken steps to address the issue including:

- Kaizen of DOT's Hiring Process
- Utilization of promotional registry
- On boarding and Mentoring Proposal Plan
- Training
- Follow-up of departing employee to determine concerns/issues or complaint and basis, and if further investigation is warranted.

The DOT has evaluated the re-establishment of an EEO Advisory Committee whose membership would include top management officials, rank and file employees with minority and female representatives from various job levels and departments.

**Action Item 4      Diversity Implementation Plan**

**Accomplishments:** The DOT submitted its Diversity-AA Progress plan for Fiscal Year 2011 to DAS which included an update of activities and progress in the areas of recruitment, retention, hiring practices and training.

The creation of a civil rights team. The team had established a unified, comprehensive, and proactive approach when addressing civil rights issues. The team is responsible for implementing,

monitoring and evaluating global effectiveness of the programs. The team is responsible for community outreach, recruitment and 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 may potentially and positively impact the DOT's diversity initiatives and efforts. In addition, the development and recent creation of a Civil Rights webpage on the DOT website would help in accelerating the DOT's efforts for transparency, community outreach, and publicizing the Affirmative Action plan to minorities, women, community action groups, and professional organizations.

**PART II**  
**ADDENDA**



|   |  |   |
|---|--|---|
| Title<br><b>Recruitment/Selection/Hiring Process</b>  |  | Policy No.<br><b>210.02</b>   |
| Responsible Office<br><br>Office of Employee Services |  | Related Policies and Procedures<br><br>120.09, 210.06, 230.03, 230.10 |
| Effective/Revision Dates<br>12-5-05/1-28-10           | Approval(s)<br><i>See A. Wilkinson</i> |   |

**Authority:** Director of the Operations and Finance Division.

**Contents:** This policy describes the recruitment/selection/hiring process as well as the DOT's commitment regarding these processes.

**Affected Offices:** All

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

**Definitions:**

*All-applicant list* – A list provided by the Department of Administrative Services – Human Resources Enterprise of all applicants who have met the minimum qualifications for the job class in which the vacancy exists.

*Chain of command* – Any position within the oversight or responsibility of a manager/supervisor (i.e., division directors have oversight or responsibility for all positions within their division; district engineers have oversight or responsibility for all positions within their district; office directors have oversight or responsibility for all positions within their office).

*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, first cousins, corresponding relatives of the employee’s spouse, and other persons who are members of the employee’s household.

*Pay grade transfer* – The movement of an employee from a position in a job class to a vacant position for which the employee qualifies in the same or different job class in the same pay grade. A transfer may include a change in duties, work location, days of work or hours of work. A transfer may be voluntary at the request of the employee, or involuntary at the discretion of the selecting authority.

*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.

*Seasonal appointment* – A temporary appointment to any position made between the pay period, which includes April 15, and the pay period which includes October 15, of each year. This temporary appointment expires no later than the last day of the pay period that includes October 15. See 11 IAC 57.7(8A) for details.

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

*Temporary appointment* – Non-permanent employment for a limited period of time. See 11 IAC 57.4(8A) for additional information.

**References:**

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

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

AFSCME and IUP collective bargaining agreements, Article VII

Iowa Department of Administrative Services-Human Resources Enterprise's Applicant Screening Manual

Iowa Department of Administrative Services-Human Resources Enterprise's Managers and Supervisors Manual, Chapter 4

Iowa Department of Administrative Services-Human Resources Enterprise's Steps in the Hiring Process Chart

**Forms:**

131042 – *Request for Reasonable Accommodation (Department of Administrative Services)*

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

131049 – *Reference Check*

140009 – *Hiring Decision Justification (HDJ)/Applicant Interview Report*

CFN552-0072 – *Application for State Employment*

P-1, *Report of Personnel Action*

P-5, *Hiring Authority*

**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.

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. If the employee needs accommodation due to a disability, the employee should contact the DOT's Affirmative Action 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.

## **I. Preparing to Fill a Vacancy**

### **A. Review of Position Description Questionnaire (PDQ)**

1. All positions must have a current PDQ in the PDQ system (located in the Operations and Finance Applications Menu) prior to posting the vacancy.
2. When a vacancy occurs, the selecting authority should review the job duties of the position to ensure the duties meet the current needs of the DOT.
3. If the PDQ is accurate, the selecting authority shall proceed and complete the P-5. If the PDQ is inaccurate, the selecting authority shall submit an updated PDQ and/or request reclassification (see Policy No. 210.06, *Classification*).
4. If the selecting authority determines that, based on the duties of the position, a selective certification is needed, the selecting authority should contact the Office of Employee Services' classification team.
5. Use of a selective certification on a job posting must appear on the class specifications for the position. A selective certification must have a nexus to the job as demonstrated by the PDQ. A request for a new selective certification must be sent to the Office of Employee Services' classification team.

### **B. Completion of P-5, Hiring Authority**

1. The selecting authority or designee shall enter the P-5 into the P-5/HDJ system. (Instructions are in the Supervisor's Toolbox on DOTNET and in the help menu of the application.) The language used in the P-5 should reflect the posting language the selecting authority wishes to have placed on the Department of Administrative Services' Web site. (The DOT's Recruitment Officer is available to assist selecting authorities in constructing this language.)
2. For contract-covered positions, the P-5 must be submitted to the personnel assistant in the Office of Employee Services no later than noon on Thursday for the vacancy to be posted the next week.
3. Once the P-5 has been approved at the personnel assistant level, if the position is contract covered, the vacancy will be posted for contract transfer in accordance with the applicable collective bargaining agreement prior to posting to the Department of Administrative Services' Web site and the DOT's Web site. If the position is a noncontract-covered position, it will be posted directly to the Department of Administrative Services' Web site and the DOT's Web site. The Office of Employee Services shall also publish an internal weekly posting containing a list of the contract transfer postings and a list of current available vacancies that have been posted on the Department of Administrative Services' Web site.
4. An all-applicant list shall be specified on the P-5. Division directors may, with written justification, request approval from the Office of Employee Services to waive the use of an all-applicant list.

### **C. Coordination of Recruitment**

1. When filling a position within a job classification that has been designated as underutilized for either minority or female on the P-5, the selecting authority shall

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 shall be documented by the selecting authority and placed as an attachment in the P-5/HDJ system.

2. The Office of Employee Services shall notify the Iowa Vocational Rehabilitation Services and the Department of the Blind of positions designated as underutilized for disability. The Office of Employee Services will add additional agencies and Web sites as opportunity provides.
3. For all other positions, the Recruitment Officer is available for consultation at the discretion of the selecting authority.
4. Recruitment services offered include, but are not limited to:
  - a. Researching specialized, technical, and diversity-related associations or Web sites for potential advertising opportunities.
  - b. Coordinating and/or placing ads or postings. All costs will be paid by the selecting authority's cost center or as determined by the DOT's Management Team.
  - c. Assisting with the development of text for vacancy announcements.
5. All recruitment materials shall state that the DOT is an equal opportunity employer and encourage women, minorities and persons with disabilities to apply.
6. Offices receiving requests for DOT participation in a recruitment event such as a job fair shall provide notice of the event to the Recruitment Officer. This will allow the Recruitment Officer to track outreach efforts, provide recommendations on other resources and possibly participate in the effort if need be.

D. Receipt of List of Eligible Applicants

Upon completion of the posting period and after the Department of Administrative Services – Human Resources Enterprise has determined the applicants meet the minimum requirements, a list of eligible applicants will be issued and sent to the assigned personnel assistant. The personnel assistant shall in turn place the list in the P-5/HDJ system, create the hiring decision justification in the P-5/HDJ system and send the selecting authority the E-link to the applicants that have been placed on the list.

## **II. Screening and Interviewing Applicants**

A. Procedures

The selecting authority shall ensure all of the following steps are completed:

1. Review information in the Supervisor's Tool Box on DOTNET, including the Steps in the Hiring Process chart, Applicant Screening Manual and Chapter 4 of the Managers and Supervisors Manual.
2. Provide applicants with the following information before they are asked to respond during the screening or interview phase:

- a. A PDQ. This document must include a purpose of position, essential functions, competencies and any special requirements that appear on the classification.
  - b. A copy of the class specification.
  - c. The salary range for the position being filled.
3. Establish pre-interview screening 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.
  4. When a vacant position is underutilized in more than one category, submit the pre-interview screening criteria, applicant scores, and the proposed list of interview questions to the Affirmative Action Officer for approval, prior to interviewing.
  5. Use a selection team in the hiring process. The selecting authority should participate as a member of the selection team and must participate in the final selection of the candidate. At least one of the team members must have attended the Department of Administrative Services' PDS course, From Interview to Hire.
  6. 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 responds **yes** to this question, and the applicant cannot accept permanent employment based on his/her I-9 status, the applicant cannot be hired.
    - b. "Can you perform the essential functions of the position with or without reasonable accommodation?"
 

Note: If the applicant responds **yes** to this question, but states that he or she needs a reasonable accommodation, the selecting authority should provide the applicant with a copy of Form 131042. The selecting authority shall not make further inquiry into the applicant's disability. This form should be sent by the applicant directly to the DOT's Affirmative Action Officer. If this applicant is selected, the selecting authority should contact the Affirmative Action Officer. The Affirmative Action Officer shall then review the request for reasonable accommodation, if one has been submitted.
    - c. "How specifically did you become aware of this opportunity?"
  7. Notify applicants of the state's nonsmoking laws.

B. Consideration of Internal Applicants

1. 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.
2. Qualified DOT employees, both permanent and temporary, who apply, shall not be screened out solely on the basis of current work location, home location or salary.

3. 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.

C. 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 anyone in the chain of command above or below the position, that selecting authority shall immediately notify the selecting authority's next higher level supervisor/manager and the Office of Employee Services. The selecting authority shall ensure that the applicant is disqualified from further consideration for employment for this position under this policy.
3. No employee shall serve on the selection team when an applicant is a member of his/her immediate family.
4. An employee in a supervisory position shall not directly supervise a member of his/her immediate family.
5. Employees assigned as lead workers, while not supervisors, shall not serve as a leadworker for an immediate family member.

D. Time Off for Job Interviews

1. DOT 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.

E. Temporary/Seasonal Appointments

1. Organizational units that routinely plan to make temporary appointments or seasonal appointments shall develop a consistent and documented selection process. The Office of Employee Services is available to provide assistance.
2. Persons placed in noncontract temporary appointments shall not be allowed to work more than a total of 780 hours in a fiscal year.

3. Persons placed in contract-covered temporary appointments shall not be allowed to work more than a total of 700 hours in a fiscal year.

### **III. Hiring Decision Justification**

- A. A hiring decision justification (HDJ) must be submitted for all proposed hires with the exception of positions filled by contract transfers or temporary positions.
- B. The selecting authority shall enter all information into the P-5/HDJ system for review by the Affirmative Action Officer. If the HDJ is approved by the Affirmative Action Officer, an event notice will be sent to the selecting authority.
- C. When a selection decision is made, the selecting authority shall submit Form 140009, *Hiring Decision Justification/Applicant Interview Report*, and a written narrative addressing the essential functions of the position, screening criteria utilized, a comparison of applicants interviewed to the essential functions, screening criteria based on the answers provided during the interview, and justification for the recommended hire to the Affirmative Action Officer in the Office of Employee Services, for approval as required under Policy No. 230.03, *Equal Employment Opportunity and Affirmative Action*. In addition, a copy of the following documents shall also be submitted: (1) BrassRing certificate list, (2) pre-interview screening criteria and scores, if applicable, (3) interview questions, (4) interview scores/matrix, (5) PDQ/essential functions, (6) reference check(s), and (7) E-mail approval for the hire from the appropriate authority in the division (e.g., district engineer, division director).
- D. The selecting authority must ensure all of the following steps are completed:
  1. Document all interview questions and answer criteria consistently to each applicant.
  2. Include two completed reference checks. When possible, submit two supervisory references. If the applicant is self-employed, submit two business references. For internal applicants, one supervisory reference check is sufficient. If any of the final applicants are current state employees, the selecting authority shall contact the current state agency to request review of the applicant's personnel file. Reference checks must be completed for every hire, except contract transfers.
  3. 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. See Policy No. 210.05, *Loss of License or Certificate*.
  4. Maintain the following documentation for a period of 3 years: all cover letters, resumes, applications, applicant lists, reference checks, selection criteria, scoring matrix, interview questions, interview notes, correspondence with applicants, and HDJ materials.
  5. Provide notice to all applicants after the selected applicant has accepted the job offer.

### **IV. Background Checks Required by the REAL ID Act of 2005**

#### **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. The background check shall include the validation of references from prior employment, a name-based and fingerprint-based criminal history records check, and employment eligibility verification otherwise required by law.

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, 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, supervisor, telecommunication design specialist, training specialist 1 and 2, transportation division director, and typist advanced.

#### B. Validation of References from Prior Employment

If not already completed as part of the reference check required by Section III.D.2 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 Department recognizes that some employers will only verify employment and the dates of employment, but encourages diligent and respectful inquiry.

#### C. Criminal History Records Check

1. The criminal history records check is a name-based and fingerprint-based criminal history records check using the FBI's National Crime Information Center (NCIC) and the Integrated Automated Fingerprint Identification (IAFIS) database and state repository records on each applicant for a covered position to determine if the applicant has been convicted of any of the following disqualifying crimes:
  - a. 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 in Section IV.C.1.a of this policy.
  - (11) Attempt to commit the crimes in Sections IV.C.1.a.1 to IV.C.1.a.4 of this policy.
  - (12) Conspiracy or attempt to commit the crimes in Sections IV.c.1.a.5 to IV.C.1.a.10 of this policy.
- b. 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 7 years preceding the expected date of employment in the covered position; or the applicant was released from incarceration for the crime within the 5 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 described in Sections IV.C.1.a. or IV.C.1.b of this policy. 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 in Section IV.C.1.a.10 of this policy.
  - (15) Conspiracy or attempt to commit the crimes described in paragraphs "1" to "14" immediately above.
- c. 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.
- d. 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 crime referenced in this section, the applicant shall be disqualified as required in this section.

## 2. Notice

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 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.

During preparation of the P-5, the selecting authority should review the PDQ for the covered position to assure that successful completion of the background check is listed as an essential function 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 background check as an essential function.

### 3. Process

- a. Once an applicant has been selected for employment in a covered position, the selecting authority shall obtain from the Office of Motor Vehicle Enforcement a fingerprint packet, and submit that packet to the selected applicant. The packet must include a consent and disclosure form, a fingerprint instruction sheet, a fingerprint card, and an Office of Motor Vehicle Enforcement self-addressed envelope. The instructions shall direct the selected applicant to complete the consent form and to present the fingerprint card for completion by a certified technician at the local law enforcement agency of the selected applicant's choice, and to request the local law enforcement agency return the completed consent form and fingerprint card to the Office of Motor Vehicle Enforcement, by regular U.S. mail using the self-addressed envelope provided.
- b. Upon receipt of a properly completed consent form and fingerprint card, the Office of Motor Vehicle Enforcement shall forward the selected applicant's fingerprint card and accompanying documents to the Iowa Division of Criminal Investigations for completion of the criminal history records check.
- c. The Office of Motor Vehicle Enforcement shall arrange for personal pick-up of the results of the criminal background check by Office of Motor Vehicle Enforcement staff and shall forward those results to the selecting authority by sealed, confidential envelope.
- d. 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 is a permanent disqualifying criminal offense or an interim disqualifying criminal offense.
- e. The Department 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 Department for completion of the fingerprint card, and requires the applicant to advance pay that cost, the Department will reimburse the selected applicant upon submission of a valid invoice or receipt showing advance payment of that cost.

D. 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).

E. Disqualification

1. If results of the criminal history records check reveal a permanent disqualifying criminal offense or an interim 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.
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 7 days in which to contest the disqualification by providing information sufficient to show that the reason for disqualification is inaccurate.

**V. 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 personnel officer from the 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. (See Policy No. 210.07, *Pay, Pay Increases and Special Assignments*, for information on advanced appointment rates.)
- 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 selecting authority shall prepare a proposed offer of employment letter and submit it to the Office of Employee Services prior to distribution. The assigned personnel assistant in Employee Services shall approve an offer of employment letter prior to it being sent to the selected applicant. The letter shall include the following information, at a minimum:
  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 drug and alcohol pre-employment test for positions requiring a commercial driver's license (CDL).
    - b. Passing a pre-employment, post-offer physical for positions requiring a CDL and for Motor Vehicle Enforcement officer positions.
    - c. Obtaining a CDL with the proper endorsements within 14 days of the date of hire, if applicable.
    - d. Completing a promotional probationary period, if applicable.
    - e. Meeting residency requirements, as necessary.
    - f. Completing educational requirements within established time frames.
    - g. Meeting other requirements, as necessary.
    - h. Maintaining a valid work permit for noncitizens.
    - i. Passing a polygraph examination for Motor Vehicle Enforcement officer positions.
    - j. Passing an Iowa Law Enforcement Academy physical test for Motor Vehicle Enforcement officer positions.
  4. Requirement to bring social security card, or if applicable, a federal identification number on the employee's first day for payroll processing.
- D. The selecting authority shall ensure that the list of applicants within the P-5/HDJ system is coded and approved upon acceptance of an employment offer by the final applicant, which will notify the assigned personnel assistant that the information may be entered into the State of Iowa's BrassRing employment system.
- E. The supervisor is responsible for ensuring that a new hire P-1 is created to place the employee on the payroll. The new hire P-1 and all supporting documentation must be received by the personnel assistant in the Office of Employee Services by the beginning of the pay period in which the hire takes effect. New hire P-1s will not be processed until step D above is completed.
- F. Original appointments, reemployments, and reinstatements may be made effective any day of the pay period.
- G. If the new hire is currently an employee of an executive branch agency of the State of Iowa (including the DOT), the starting date must be the first day of the pay period.

## **VI. 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.

# Schedule

## TUESDAY, SEPT. 27 – RAMADA, MERLE HAY ROAD, DES MOINES

|                        |  |
|------------------------|--|
| 8 a.m. – 8:30 a.m.     | <b>Registration</b>  |
| 8:30 a.m. – 8:45 a.m.  | <b>Motor vehicle enforcement color guard presentation of flags and Pledge of Allegiance</b><br><b>Welcome</b> – Hale Strasser, chair, training sessions planning committee |
| 8:45 a.m. – 9:05 a.m.  | <b>Welcome to the training sessions</b> – Iowa DOT Director Paul Trombino III, P.E.  |
| 9:05 a.m. – 10:35 a.m. | <b>Communication, Customer Service and Accountability</b> , Jeff Havens ( <i>Main Ballroom</i> )   |
| 10:35 a.m. – 11 a.m.   | <b>Break</b> ( <i>North Lobby</i> )  |
| 11 a.m. – Noon         | <b>Breakout sessions</b>   |
| Noon – 1 p.m.          | <b>Lunch buffet</b> ( <i>North Lobby</i> )   |
| 1 p.m. – 2 p.m.        | <b>Breakout sessions</b>   |
| 2:10 p.m. – 3:10 p.m.  | <b>Breakout sessions</b>   |
| 3:10 p.m. – 3:30 p.m.  | <b>Break</b> ( <i>North Lobby</i> )  |
| 3:30 p.m. – 4:30 p.m.  | <b>Breakout sessions</b>   |

## BREAKOUT SESSIONS

|                             |  |
|-----------------------------|--|
| Breakout 1 – NE Ballroom    | <b>Conflict Management: Strategies for Handling Difficult Personality Types</b><br>Brenda Clark Hamilton                                   |
| Breakout 2 – SE Ballroom    | <b>Resource Management: Ethics and Conflicts of Interest</b><br>David Gorham   |
| Breakout 3 – West Ballroom  | <b>Managing for the Future: A conversation with the Management Team</b><br>Iowa DOT Management Team  |
| Breakout 4 – Salons A and B | <b>Resource Management: FMLA, ADA and Workers Compensation – What you need to know</b><br>Leah Berbano, Elvie Laudencia and Tiffany Marlow |

▶ Attend breakout sessions according to your name tag color.

|                       | GREEN                        | RED        | BLUE       | ORANGE     |
|-----------------------|------------------------------|------------|------------|------------|
| 11 a.m. – Noon        | Breakout 1                   | Breakout 2 | Breakout 3 | Breakout 4 |
| 1 p.m. – 2 p.m.       | Breakout 2                   | Breakout 3 | Breakout 4 | Breakout 1 |
| 2:10 p.m. – 3:10 p.m. | Breakout 3                   | Breakout 4 | Breakout 1 | Breakout 2 |
| 3:10 p.m. – 3:30 p.m. | Break ( <i>North Lobby</i> ) |            |            |            |
| 3:30 p.m. – 4:30 p.m. | Breakout 4                   | Breakout 1 | Breakout 2 | Breakout 3 |

## WEDNESDAY, SEPT. 28 – RAMADA, MERLE HAY ROAD, DES MOINES

|                         |  |
|-------------------------|--|
| 8:30 a.m. – 9:40 a.m.   | <b>Time and E-mail Resource Management</b><br>Randy Dean                 |
| 9:40 a.m. – 10:05 a.m.  | Break  |
| 10:05 a.m. – 11:15 a.m. | <b>Team Building, Cooperation and Facilitating Change</b><br>Aaron Davis |
| 11:15 a.m. – 11:30 a.m. | <b>Closing Remarks</b><br>Iowa DOT Director Paul Trombino III, P.E.      |

# Conference agenda

## WEDNESDAY, SEPT. 29 – Adventureland Inn, Altoona

|                        |   |
|------------------------|---|
| 8 a.m. – 8:30 a.m.     | Registration  |
| 8:30 a.m. – 8:45 a.m.  | Motor vehicle enforcement color guard presentation of flags, Pledge of Allegiance and singing of the National Anthem ( <b>Phil Meraz and David Putz</b> )<br>Welcome – <b>Marty Sankey</b> , chair, conference planning committee |
| 8:45 a.m. – 9:05 a.m.  | <b>Director Nancy Richardson</b> – Welcome to the conference  |
| 9:05 a.m. – 10:35 a.m. | Speaker, <b>Jon Stetson</b> – <i>Invest in Your Intuition</i>   |
| 10:35 a.m. – 11 a.m.   | Break (second floor balcony)  |
| 11 a.m. – Noon         | Breakout sessions   |
| Noon – 1 p.m.          | Lunch (Parkview and West Courtyard)   |
| 1 p.m. – 2 p.m.        | Breakout sessions   |
| 2:10 p.m. – 3:10 p.m.  | Breakout sessions   |
| 3:10 p.m. – 3:30 p.m.  | Break (second floor balcony)  |
| 3:30 p.m. – 4:30 p.m.  | Breakout sessions   |

## BREAKOUT SESSIONS

Breakout 1 – Room 3 – **Andre Koen**, *Diversity 101: A New Paradigm*

Breakout 2 – Room 6 – **Richard Stanley**, *Memory Power Tools*

Breakout 3 – Room 8 – **David Gorham**, *Document Lessons Learned*

Breakout 4 – Room 7 – **Walter Reed, Elvie Laudencia and Scott Zalaznik**, *Office of Employee Services - Update on department efforts and progress in the areas of SERIP, diversity/EEO/AA, changes within the selection/hiring process (Policy 210.02), and the Title VI program*



Attend breakout sessions according to your name tag color

|                       | GREEN                        | RED        | BLUE       | ORANGE     |
|-----------------------|------------------------------|------------|------------|------------|
| 11 a.m. – Noon        | Breakout 1                   | Breakout 2 | Breakout 3 | Breakout 4 |
| 1 p.m. – 2 p.m.       | Breakout 2                   | Breakout 3 | Breakout 4 | Breakout 1 |
| 2:10 p.m. – 3:10 p.m. | Breakout 3                   | Breakout 4 | Breakout 1 | Breakout 2 |
| 3:10 p.m. – 3:30 p.m. | Break (second floor balcony) |            |            |            |
| 3:30 p.m. – 4:30 p.m. | Breakout 4                   | Breakout 1 | Breakout 2 | Breakout 3 |

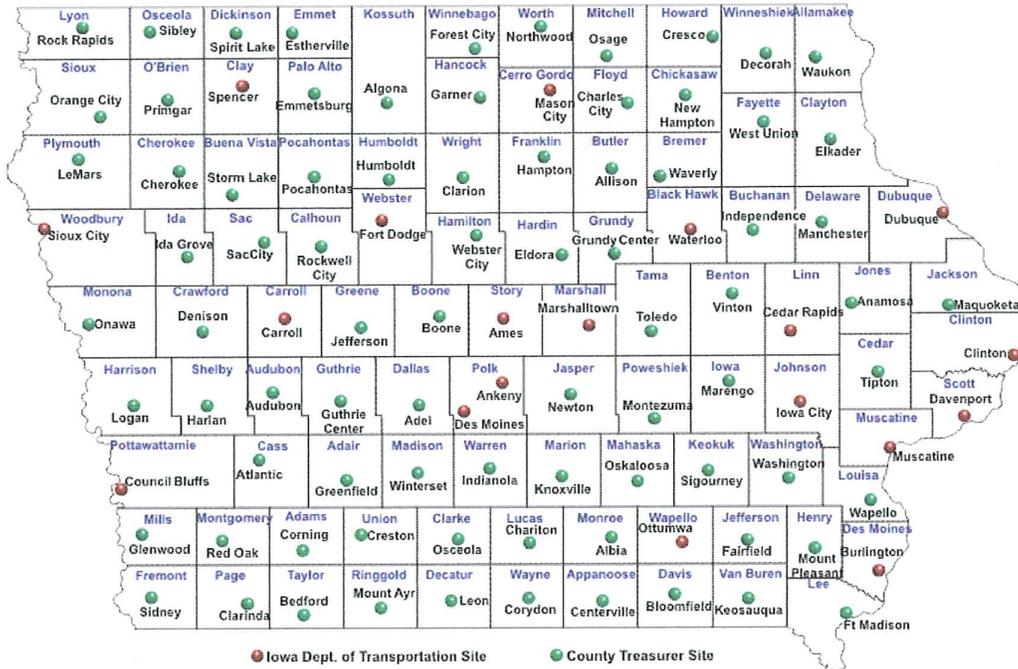
## THURSDAY, SEPT. 30 – Adventureland Inn (Iowa Ballroom)

|                         |  |
|-------------------------|--|
| 8 a.m. – 8:30 a.m.      | Continental breakfast (second floor balcony)   |
| 8:30 a.m. – 9:30 a.m.   | Speaker, <b>Dr. Dorothy Simpson-Taylor</b> , <i>Relationship Management: Emotional Intelligence and Diversity in the Workplace</i> |
| 9:30 a.m. – 10 a.m.     | Break  |
| 10 a.m. – 11:15 a.m.    | Speaker, <b>Kent Stock</b> , <i>Heading for Home</i>   |
| 11:15 a.m. – 11:30 a.m. | <b>Director Nancy Richardson</b> – Conference wrap-up  |



### Iowa Driver's License Issuance Sites

Click on city for station location & hours



#### Driver License Stations by County

|                             |                            |                           |                               |                            |
|-----------------------------|----------------------------|---------------------------|-------------------------------|----------------------------|
| <a href="#">Adair</a>       | <a href="#">Clay</a>       | <a href="#">Hancock</a>   | <a href="#">Madison</a>       | <a href="#">Sac</a>        |
| <a href="#">Adams</a>       | <a href="#">Clayton</a>    | <a href="#">Hardin</a>    | <a href="#">Mahaska</a>       | <a href="#">Scott</a>      |
| <a href="#">Allamakee</a>   | <a href="#">Clinton</a>    | <a href="#">Harrison</a>  | <a href="#">Marion</a>        | <a href="#">Shelby</a>     |
| <a href="#">Appanoose</a>   | <a href="#">Crawford</a>   | <a href="#">Henry</a>     | <a href="#">Marshall</a>      | <a href="#">Sioux</a>      |
| <a href="#">Audubon</a>     | <a href="#">Dallas</a>     | <a href="#">Howard</a>    | <a href="#">Mills</a>         | <a href="#">Story</a>      |
| <a href="#">Benton</a>      | <a href="#">Davis</a>      | <a href="#">Humboldt</a>  | <a href="#">Mitchell</a>      | <a href="#">Tama</a>       |
| <a href="#">Black Hawk</a>  | <a href="#">Decatur</a>    | <a href="#">Ida</a>       | <a href="#">Monona</a>        | <a href="#">Taylor</a>     |
| <a href="#">Boone</a>       | <a href="#">Delaware</a>   | <a href="#">Iowa</a>      | <a href="#">Monroe</a>        | <a href="#">Union</a>      |
| <a href="#">Bremer</a>      | <a href="#">Des Moines</a> | <a href="#">Jackson</a>   | <a href="#">Montgomery</a>    | <a href="#">Van Buren</a>  |
| <a href="#">Buchanan</a>    | <a href="#">Dickinson</a>  | <a href="#">Jasper</a>    | <a href="#">Muscatine</a>     | <a href="#">Wapello</a>    |
| <a href="#">Buena Vista</a> | <a href="#">Dubuque</a>    | <a href="#">Jefferson</a> | <a href="#">O'Brien</a>       | <a href="#">Warren</a>     |
| <a href="#">Butler</a>      | <a href="#">Emmet</a>      | <a href="#">Johnson</a>   | <a href="#">Osceola</a>       | <a href="#">Washington</a> |
| <a href="#">Calhoun</a>     | <a href="#">Fayette</a>    | <a href="#">Jones</a>     | <a href="#">Page</a>          | <a href="#">Wayne</a>      |
| <a href="#">Carroll</a>     | <a href="#">Floyd</a>      | <a href="#">Keokuk</a>    | <a href="#">Palo Alto</a>     | <a href="#">Webster</a>    |
| <a href="#">Cass</a>        | <a href="#">Franklin</a>   | <a href="#">Kossuth</a>   | <a href="#">Plymouth</a>      | <a href="#">Winnebago</a>  |
| <a href="#">Cedar</a>       | <a href="#">Fremont</a>    | <a href="#">Lee</a>       | <a href="#">Pocahontas</a>    | <a href="#">Winneshiek</a> |
| <a href="#">Cerro Gordo</a> | <a href="#">Greene</a>     | <a href="#">Linn</a>      | <a href="#">Polk</a>          | <a href="#">Woodbury</a>   |
| <a href="#">Cherokee</a>    | <a href="#">Grundy</a>     | <a href="#">Louisa</a>    | <a href="#">Pottawattamie</a> | <a href="#">Worth</a>      |
| <a href="#">Chickasaw</a>   | <a href="#">Guthrie</a>    | <a href="#">Lucas</a>     | <a href="#">Poweshiek</a>     | <a href="#">Wright</a>     |
| <a href="#">Clarke</a>      | <a href="#">Hamilton</a>   | <a href="#">Lyon</a>      | <a href="#">Ringgold</a>      |                            |

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Last Update: January 04, 2010

ENFORCEMENT SCALE SITES



Prepared by



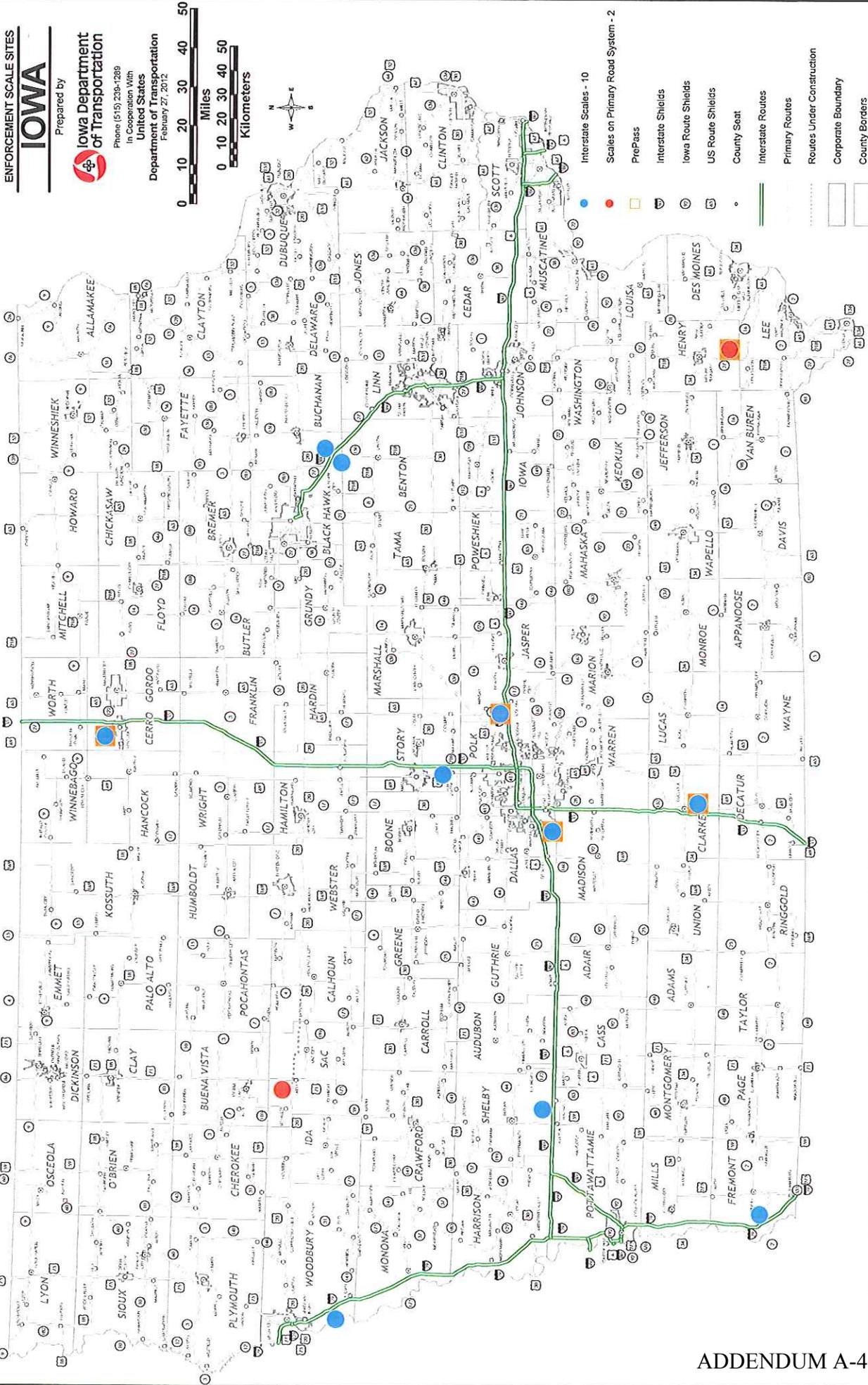
Phone (515) 281-1288

In Cooperation With

United States

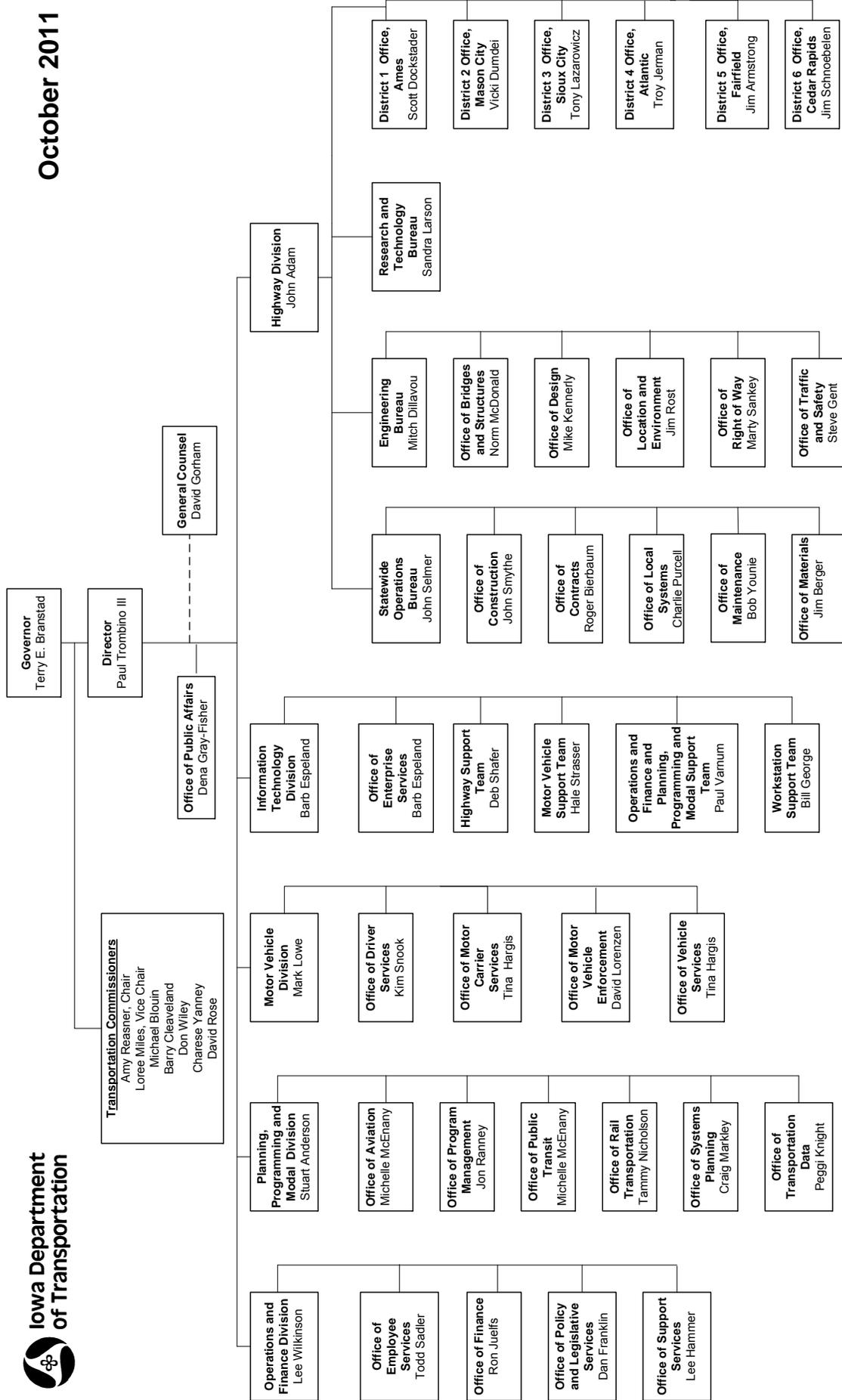
Department of Transportation

February 27, 2012





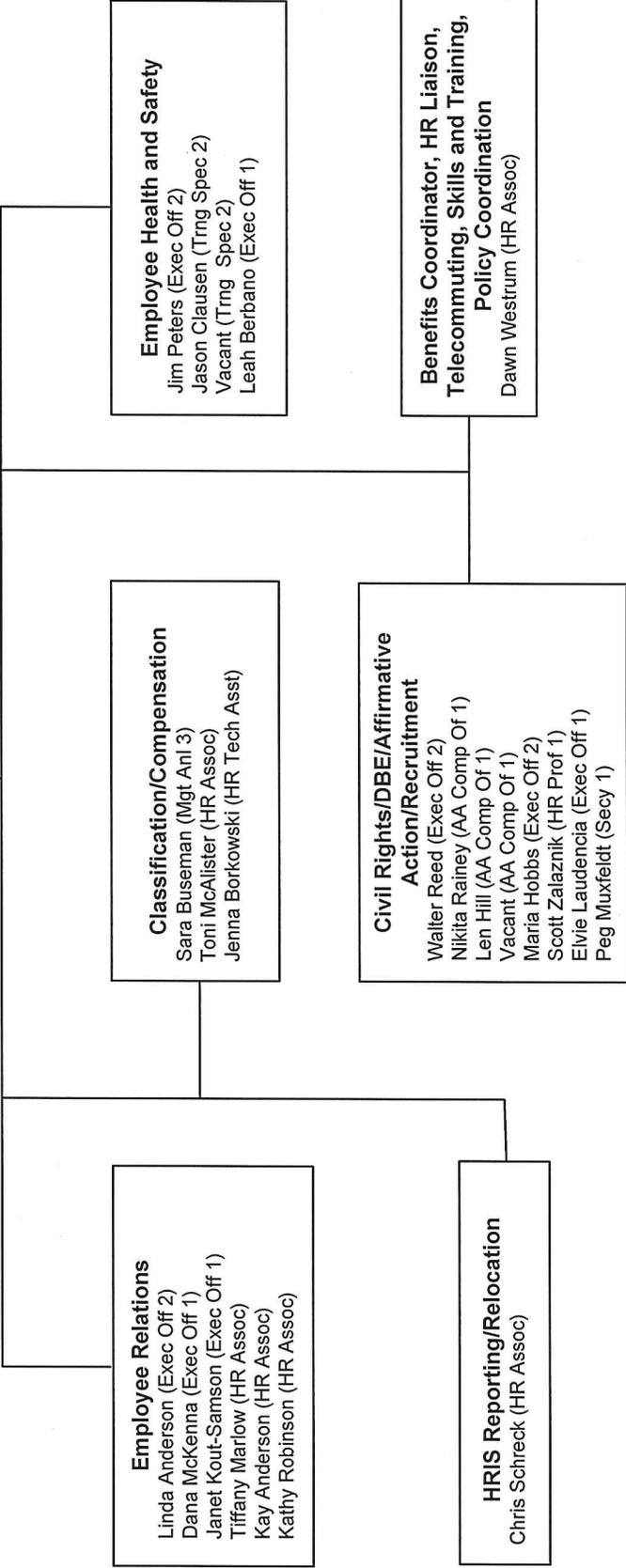




# Operations and Finance Division

**Office of Employee Services**  
**Todd Sadler, Director**  
 (PSE 4) 23:1

**Office Secretary**  
 Darla Best (Secy 2)



|  |                                 |               |
|--|---------------------------------|---------------|
| Title  |                                 | Policy No.    |
| <b>Equal Employment Opportunity and Affirmative Action</b> |                                 | <b>230.03</b> |
| Responsible Office   | Related Policies and Procedures |               |
| Director's Staff Division                                  | 230.02, 230.08, 230.09, 230.10  |               |
| Effective/Revision Dates                                   | Approval(s)                     |               |
| 9-1-76/ 12-5-05  | Mary Christy                    |               |

**Authority:** Director of the Director's Staff 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:** Affirmative Action Officer in the Director's Staff Division; telephone 515-239-1102.

**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 Director's Staff 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 Director's Staff 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 Director's Staff 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 Director's Staff 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 Director's Staff 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 Director's Staff 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 a collective bargaining agreement or Iowa Department of Administrative Services administrative rule, the agreement or 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.

**PART III**

**EXTERNAL COMPLIANCE REVIEW**

## External Equal Employment Opportunity/Affirmative Action Program (EEO/AAP)

October 1, 2010 through September 30, 2011

### Organization and Structure

The Director of Transportation administers the External Equal Employment Opportunities Program. From the time period of October 1, 2010 through December 8, 2011 that authority was designated to the Highway Division Director (John Adam). The functional administration was assigned to the director of the Office of Contracts, Roger E. Bierbaum, and the EEO Section in the Office of Contracts.

The administration of the External Equal Employment Opportunities Program changed on December 9, 2011. The authority is now designated to the Operations & Finance Director (Lee Wilkinson) with the implementation and functional administration of the External EEO Program transferring to the Office of Employee Services under the direction and supervision of Todd Sadler, Director.



Current staffing for implementing the External EEO Program are all located within the Ames Central Complex within the Office of Employee Services. The staff by position is:

Maria Hobbs- Executive Officer 2, (Full-Time) 2 Years (left position/transferred effective February 2012)

The Executive Officer 2 reports to the director of the Office of Employee Services.

Training: National AASHTO Civil Rights Symposium, September 2010, Norfolk, VA  
Title VI Nondiscrimination in the Federal Aid Program, September 2010, Ames, IA

Len Hill- AA1 Compliance Officer (Full-Time) 23 Years

The AA1 Compliance Officer reports to the director of the Office of Employee Services. His primary role is processing DBE certifications/audits.

Training: FHWA Title VI Training; May 2002, Ames, IA  
Complaint Investigation April 2003  
External Civil Rights 101, April 2003, FHWA, Ames, IA  
DBE Certification Peer Review, Michigan DOT/FHWA August 2005  
Small Midwestern Conference (KS,NE,MO,AR,IA) Kansas City, September 2005  
DBE Certification Training (Web Conference) FHWA Ames, July 2006

Jim Kelly- AA1 Compliance Officer (Full-Time) 26 Years (deceased, November 2011)

The AA1 Compliance Officer reported to the EEO Administrator and to the director of the Office of Contracts. His primary role was conducting contractor compliance reviews and assisting in DBE certifications.

Training: FHWA Title VI Training; May 2002, Ames, IA  
Complaint Investigation April 2003  
External Civil Rights 101, April 2003, FHWA, Ames, IA  
Equal Opportunity Contract Compliance Program, Chicago, Aug 2003  
Small Midwestern Conference (KS,NE,MO,AR,IA) September 2005  
EEO Compliance Training (Web Conference) FHWA Ames, July 2006

Peg Muxfeldt- Secretary (Full-Time) 23 years

The secretary reports to the civil rights coordinator and the director of the Office of Employee Services. Her primary role is to provide supportive services in processing documentation in the Civil Rights section within the Office of Employee Services.

Training: FHWA Title VI Training; May 2002, Ames, IA

Nikita Rainey – AA1 Compliance Officer (Full-Time) Began work in the Office of Employee Services – Civil Rights on July 11, 2011, primarily conducting and implementing all of the Title VI Program activities. Effective December 9, 2011 the role now includes conducting contractor compliance reviews. The AA1 Compliance Officer reports to the Civil Rights Coordinator and to the director of the Office of Employee Services.

Training: FHWA Title VI, ADA/Section 504 & Investigating External Complaints of Discrimination Training; January 2012, Ames, IA

## District or Division Personnel

The Iowa DOT has centralized EEO staff that receives assistance from District Offices/Field offices for oversight and documentation of Contract Compliance. The Construction Manual is intended primarily for use by field personnel as a policy in the administration and inspection of construction projects. It is composed from background information, required procedures, current instructions, and other departmental policy to project administration and inspection. The manual does not provide guidelines for all questions that may arise on construction projects, but does provide a general reference for common situations.

Chapter 2 of the Construction Manual provides the Project Engineer guidance on their responsibilities for Subcontract Request and Approval, Review of Bulletin Boards, “EEO Project Site Inspection/Wage Rate Report” and In-depth EEO Inspections as they relate to EEO/AA. The Project Engineer is assigned to administer construction projects on a full-time engineering level and this will encompass EEO Compliance.

The Project Engineer or their representative will check each project site to verify the contractor does not have segregated facilities and the required postings are properly posted. Also, the Project Engineer will review certified payrolls to verify that the company employees are being paid the proper wage rate.

In addition, a Field Review Technician in the Office of Local Systems performs field reviews of local agency federal-aid projects for compliance with Equal Employment Opportunity and Affirmative Action contract requirements, such as required posters, certified payrolls, etc.

## **Compliance Procedures**

1. FHWA Contract Compliance Procedures
2. EEO Special Provisions (FHWA Federal-Aid Highway Program Manual, vol. 6, chap. 4, sec. 1, subsec. 2, Attachment 1)
3. Training Special Provisions (FHWA Federal-Aid Highway Program Manual, vol. 6, chap. 4, sec. 1, subsec. 2, Attachment 2)
4. FHWA Federal-Aid Highway Program Manual, vol. 6, chap. 4, sec. 1, subsec. 6 (Contract Procedures), and subsec. 8 (Minority Business Enterprise)

## Implementation

- Construction Manual, Chapter 2- Contract Administration describes the FHWA contract compliance directives and preconstruction conferences guidelines.
- During the annual meetings of the District Offices, and at County and City Engineer meetings, the Employee Services Office Staff are available to discuss the EEO/AA Program and its ramifications and respond to questions.

Dates of Training-

District Local Systems Engineer Meeting September 14, 2011 (Prompt Pay New Complaint Form)

District Local Systems Engineer Meeting September 8, 2010 (Documenting DBE Commercially Useful Function (CUF))

Three sessions of Beginning Contract Administration were conducted by the Office of Local Systems. Topics covered during the two day training included:

- Poster board requirements
- Prompt pay and complaints
- Title VI issues that affect construction

## **Accomplishments**

The EEO Compliance Officers will perform desk audits and compliance reviews on selected contractors. All contracts let by the Iowa DOT are subject to the review by contractor selection and reviewing these contractors will encompass City, County, and Municipal agencies as the liaison with the department.

EEO staff will complete a compliance review report on each contractor that is reviewed. The Office of Employee Services will retain that report for 3 years, a copy will be sent to Iowa FHWA to monitor the process, not review the individual reports.

Compliance reviews completed by the external EEO/AA fiscal year 2011:

|   |    |
|---|----|
| Number of compliance reviews conducted:                               | 31 |
| Number of contractors reviewed:                                       | 31 |
| Number of contractors found in compliance:                            | 31 |
| Number of contractors found in noncompliance:                         | 0  |
| Number of Voluntary Corrective Action Plans:                          | 24 |
| Number of show cause notices issued:                                  | 1  |
| Number of show cause notices rescinded:                               | 1  |
| Number of show cause actions still under Conciliation and unresolved: | 0  |
| Number of follow-up reviews conducted:                                | 5  |

The EEO Section plans to review at least 30 prime and subcontractors in fiscal year 2012.

One Contractor failed to issue the requested documentation for the compliance reviewed after two notices a show cause meeting was scheduled. The contractor supplied the requested documentation prior to the date of the meeting and no further action was needed. The review then proceeded as scheduled.

### **Desk Audits Selection**

The following criteria will be used in selecting contractors for desk audits:

1. Deficiencies or observations made during most recent compliance review.
2. Concerns or questions regarding EEO/AA complaints.
3. History of deficiencies or observations.

4. No compliance reviews in the last three years.
5. First time contractor or subcontractor with work of \$50,000 or more.
6. The dollar amount of work on DOT projects during the past 12 months. Contractors with higher dollar amounts of work have more potential for impact, i.e. \$5,000,000 or more.
7. Work in geographic areas of greatest potential for the recruitment of females or minorities.
8. Random selection of any contractor or subcontractor with work in excess of \$50,000.

### Desk Audits Procedures

The company's EEO officer will be notified by mail indicating their company has been selected for a desk audit. Depending on the information on file the following items may be requested.

1. A list of all new hires company-wide. Include each person's race, sex, job classification, date of hire, and referral sources used to recruit the employees.
2. A list of all layoffs, terminations, transfers, demotions, and promotions company-wide. Include each person's race, sex, previous or new job classifications, corresponding wage rates, and date of actions. Exclude any seasonal or voluntary terminations or layoffs.
3. A list of all employees who received advancement training.
4. All pending EEOC or Department of Justice cases, local or State Human or Civil Rights cases. In addition the documentation of the company's initiation of its investigation of each complaint of alleged discrimination and the dates of these actions.
5. A summary of the company's progress and efforts, in locating, hiring, and qualifying minority and female employees, listing referral sources or publications contacted in an effort to recruit and hire females and minorities. Including the name of agency or publication, contact person, date of contact, address, phone number, and results. Limit the list to referral sources or publications contacted in an effort to recruit and hire females and minorities. Additionally, if applicable, the progress and efforts being made in cooperation with unions.

In addition, the company will be asked the following 3 questions:

- Held a Supervisor EEO meeting at least once every 6-months?
- Reviewed training and promotion potential with females and minority employees?
- Conducted EEO/AA field inspections on each active project?

If the company had no new hires, terminations or did not train employees in the previous 12 month period items 1-5 will be all the information that is requested from the company.

The company will be asked to complete a form 1391 for a week when their workforce was at peak employment.

The Compliance Officer will review all submittals of the contractor, if there are no questions or concerns after comparing the submittal to their company's EEO/AA policy, the contractor will

be notified by mail that their desk audit was approved. However, if there are questions or concerns, an on-site compliance review will be performed. An on-site will typically not be performed on Contractors with 15 or fewer employees.

### Home Office Review

The Compliance Officer will call the contractor's EEO Officer and inform the designated person that the EEO/AA staff has determined that an on-site compliance review will be performed. During this conversation a date and time for the compliance review, will be mutually agreed to. The contractor's EEO Officer will be sent a reminder letter that a compliance review will be conducted and asked to have available an Iowa company-wide employee list. In addition, the contractor will be sent a list of information that must be made available to the compliance officer, during the review. The mutually agreed to date and time of the compliance review will be stated in this letter. Also requested in the letter is the following information that must be available for review by the compliance officer:

Using the period of the prior 12 months on projects let by the Iowa DOT.

1. Methods utilized to recruit all employees including minorities and females (e.g. job orders, newspaper ads including dates).
2. Methods utilized to advise all employees and applicants for employment of available training programs and entrance requirements.
3. Methods utilized to review the training and promotion potential of minority and female employees.
4. Job classifications that training was performed in.
5. Methods utilized to review the progress of all trainees.
6. Documentation in regard to trainee and journey worker ratio.
7. Documentation of supervisory employee meetings where EEO topics and requirements were discussed.
8. Documentation of new supervisory employees being given thorough instruction in regard to EEO/AA obligations by company's EEO Officer, within the first 30 days of their hire.
9. Documentation of all personnel who are engaged in direct recruitment, being given instruction by the company's EEO/AA Officer in the company's procedures for locating and hiring minority and female employees.
10. Documentation of EEO/AA policy and the procedures to implement such policy being brought to the attention of the employees by means of meetings, employee handbooks, or other appropriate means.
11. Company office's notices and posters.
12. Documentation of all AA/EEO on-site inspections by EEO Officer or designee/s person/s on all projects let by the Iowa DOT.
13. Documentation of periodic evaluation of the spread of wages paid within each classification on all projects let by the Iowa DOT.
14. Documentation of the periodic review of selected personal action(s) to determine whether or not there is evidence of discrimination.
15. Documentation of initiation of investigation of all complaints of alleged discrimination within fourteen (14) days of receipt of complaint.

16. Documentation of the names, addresses and telephone numbers of all applicants, including minority and female applicants and what action was taken with respect to each individual.
17. The company's standard subcontract and vendor purchase order.
18. If joint checks were issued on completed Federal-Aid projects during the last year; a list of all joint check recipients must be provided.
19. Provide all cancelled checks or proof of payment to DBE subcontractors on the following enclosed list of completed projects.

The Compliance Officer shall bring to the review a copy of the contractors desk audit submittal, the company's EEO Policy, the Iowa DOT EEO/AA Specification, Form 1391 for the company at peak employment, and the compliance review form. The preceding information will be reviewed for compliance with the Iowa DOT EEO/AA Specification and the contractors EEO/AA Policy.

If during the review, the Compliance Officer has concerns about the Contractors information, the Compliance Officer will work with the contractor to assist the company in developing a workable solution.

#### Summary of Compliance Reviews Conducted

The Compliance Reviews resulting in Voluntary Corrective Action Plans have been reviewed. Analysis showed the top areas of concern are surrounding following the training or recruitment policy. The company addressed the areas of concern with modifications to their appropriate policies through submitted VCAPs.

The top three areas identified for improvement are:

1. Employers conducting and utilizing EEO/AA field or site inspections using an appropriate site inspection form at least once per project.
2. Recruiting efforts that include timely, effective, direct and systematic (TEDS) job postings in sources likely to yield female and minority applicants. Documentation of all efforts should be recorded and retained.
3. Conduct and document EEO/AA company meetings of non-managerial field personnel at least once a year and all other employees at least twice a year.

The top three areas identified as effective practices are:

1. Display of required posters have been observed on home office visits
2. Providing employees information on the training and promotion program
3. Conducting supervisor's six month EEO/AA meetings

#### Action taken to address the Areas of Concern:

Publish a newsletter to contracting industry which includes top three areas most identified during contractor compliance reviews for improvement. This information was posted to the DBE webpage.

#### Summary of Follow-Up Reviews Conducted

The five follow-up reviews conducted showed all contractors continue to be in compliance and adopting the voluntary corrective action plan submitted at the time of the initial review. Continued efforts to increase documentation and record retention will be made by all.

#### Summary of VCAPs submitted

Any updated documents provided for review have become part of the contractors file. All submitted VCAP's were approved by the Office of Contracts Compliance Officer and an approval letter was issued. Changes to the Compliance Summary will indicate if VCAP's are submitted and approved.

A review of contractors will be made to document if corrected actions are in practice, during the next fiscal year. These follow up contacts will account for 16 percent of the next year's compliance reviews conducted.

### **Contractor Sanctions**

Contractor Sanctions for non-compliance in EEO/AA items will follow Standard Specifications for Highway and Bridge Construction under Section 1102.19 H.

If this is the first time this contractor has been deficient; the contractor shall submit a voluntary letter of commitment to the Iowa DOT. If this is the second time or a serious or blatant violation for the contractor the Compliance Officer shall recommend the contractor be placed in show cause.

Show Cause meetings may have the following attendees, Iowa FHWA representative, Iowa DOT Compliance Officer, EEO Administrator, Contracts Engineer, or Assistant Contracts Engineer, Director of the Office of Employee Services, the Contractor's EEO Officer and/or another company officer. The Compliance Officer will summarize the contractor's history regarding compliance with the Iowa DOT EEO/AA

Specifications and the present compliance review findings. The contractor will state their position and submit a corrective action plan. The Contracts Engineer or Assistant Contracts Engineer will explain debarment and may accept the contractor's corrective action plan or recommend suspension or debarment.

For the first Show Cause issued, the contractor shall provide a detailed plan to correct their company's deficiencies. For the second occurrence of the same deficiencies, a three-month bid suspension may be imposed. For the third occurrence of the same deficiencies, a one-year suspension may be imposed.

### **Complaints**

The Iowa DOT Office of Employee Services – Civil Rights receives complaints. The complainant is told they must submit a written complaint to the Office of Employee Services – Civil Rights before staff will review their concern.

Complainant will be informed they may also file complaint with the appropriate agencies, Human Rights Commissions, Iowa Civil Rights, National Labor Relations Board, Bureau of Labor, Department of Labor, and Equal Employment Opportunity Commission (EEOC).

When a signed complaint is received, it is reviewed by the Office of Employee Services – Civil Rights to determine whether it meets the statutory requirements of the Civil Rights Act of 1964 as amended, Section 22 Federal Highway Act of 1968 and the current Supplemental Specification.

If the complaint does not meet the previously stated statutory and specification requirements, it is determined to be non-jurisdictional. The complainant is notified that the Iowa DOT does not have jurisdiction and the case is closed. If the complaint meets the statutory and specification requirements, it is assigned an investigator and a copy of the complaint is sent to the respondent.

With the mailing of the complaint, the complainant and the respondent are requested to answer a questionnaire. Questions will be composed based on the issues raised in the complaint and the documents submitted. Response is required within 15 days unless there are extenuating circumstances.

When the responses to the questionnaire and the requested documents are received, the Office of Employee Services-Civil Rights to determine whether or not to proceed to a more thorough investigation will screen the case. If it is found that the evidence submitted by the parties does not support further investigation, the complainant will be sent notice of intended action, recommending close of the case allowing 15 days for the complainant to respond. The respondent also will be notified. Any submitted information is reviewed to determine whether further investigation is warranted. If not, the complaint may be closed. The Respondent will be notified that the Iowa DOT has recommended the closing of the case. If it is found that the evidence submitted merits further investigation, the Office of Employee Services-Civil Rights will proceed to investigate. During the investigation, complainant, respondent, and witnesses may be interviewed. Further evidence may also be requested.

At any time during the complaint process, the parties may decide to settle the case through mediation with no admission of fault by the respondent. The Office of Employee Services–Civil Rights will draft the papers for signature by the parties and the case will be closed.

When the investigation is completed, the Office of Employee Services–Civil Rights with concurrence by the Director of Operations and Finance will decide whether there is probable cause to believe that discrimination has occurred. If no probable cause is found, the case will be closed. Again, the respondent will be notified. A notice of intended action is mailed to the complainant allowing 15 days to respond to the no probable cause finding. If probable cause is found, the case will be referred to the EEO Administrator, who will act as a mediator. The parties are given an opportunity to settle the case. Remedies available through the Iowa DOT to complainant are the payment of back wages and or reinstatement to their former position.

If mediation fails after 30 days of attempting to settle the case the complainant is informed in writing and the respondent and Iowa FHWA will be notified that the Iowa DOT is referring the complaint to the Iowa Civil Rights Commission. In addition, the Office of Employee Services–Civil Rights may recommend

sanctions be imposed upon respondent that are consistent with those outlined in 1102.03 in the Iowa Department of Transportation's Standard Specifications for Highway and Bridge Construction.

There was one formalized EEO complaint lodged against Henningsen Construction in 2010-2011.

The status of this complaint is still currently under investigation.

## **External Training Programs/Supportive Services**

### **Review of Work Classifications of Trainees**

All contractors were required to submit two employment data reports for the last week in July. Letters and forms were sent to all contractors who have uncompleted contracts. One for federal-aid projects only and a second for all projects federal and non-federal let by the Iowa DOT. These projects in both categories are only those let by the Iowa DOT. This information is used as a comparison to verify whether a company is maintaining or increasing their number of minority employees in their workforce. The EEO section then completes and forwards to the Iowa FHWA on the "Highway Federal Aid Survey information Form" 1392. This contains a summary of the data obtained from all contractors.

Additionally, the Annual Employment Report on All Projects Let by the Iowa DOT (1391) collected for employment data during the last full week of July is analyzed and a supplemental report is published. The review of on-the-job trainees in trade job and apprenticeship categories is completed with this information.

Overall racial/ethnic minorities have increased from a participation rate of 13.84 percent to 19.11 percent in the trade job categories when compared to the 2002 report period. Closer analysis does show advances for racial/ethnic minorities in all job classifications, where employed, with the exceptions of Class D equipment operators, and mechanics.

Overall, women have increase marginally from a participation rate of 4.77 percent to 4.84 percent in the trade job categories when compared to the 2002 report period. Closer analysis does show slight advances for females specifically in equipment operators (with the exception of Class C and D), truck drivers, painters and carpenters; however, the decline for females in Laborers A, B, and C continues.

### **Three ways to provide training opportunities**

1. Our current OJT Program has been in effect since 2002. The contractors that are required to have trainees is determined by the Office of Employee Services annually using a three year average of awarded contract dollars bid through the Office of Contracts. We will continue to assist these contractors in any way possible to make this specification a success for everyone. All contractors involved with this program by the end of the calendar year will be required to furnish the Office of Employee Services a detailed report on their training experience for 2011, this information will be used as a tool to make any modifications that may be needed to improve the program. A full description of this program can be found in the Standard Specifications under section 1102.19 D. Training and Promotion Plan.

This training is intended to last for at least one construction season. Trainees are approved by this office; on-site visits to verify training activities are performed on as many trainees as possible by our Affirmative Action Officer.

2. Contractor Industry Training (CIT) is a training fund program where contractors can request funds to provide necessary and pertinent training to their employees. All contractors are required to submit race and gender information for all participants in the training courses and a database is kept to track the female and minority participation.
3. The Female and Minority in Highway Construction Training program provides training to eligible participants in flagger, core highway construction and Class A commercial driving license. This information is reported and tracked on an annual basis by Eastern Iowa Community College and monthly progress reports are submitted to the External Civil Rights Coordinator.

### **Three ways to monitoring and track training opportunities**

1. The OJT training requirement is monitored through a reporting system required of the contractor, with the involvement of the Project Engineer's office and the Employee Services Affirmative Action Officer. Once the trainee is on the project, the Office of Employee Services' personnel shall schedule on-site trainee visits as part of monitoring process. The intent of these visits is to observe the trainee and hopefully interview them to verify they are being trained in accordance with the training plan. Efforts to conduct on-site reviews on 25% of all trainees enrolled in the current season will be strived for as resources allow, by our Affirmative Action Officers.

It is normally expected that a trainee will begin training on a project as soon as feasible after start of work. Utilizing the skill involved and that the trainee remains on the project as long as training opportunities exist in that work classification or until the trainee has completed the training program. The Contractor's responsibilities under this training specification will have been fulfilled if acceptable training was provided to the number of trainees specified. Approximately 30 Contractors are required to hire approximately 60 trainees annually.

In order to fulfill the trainee requirement, the following must be done:

- Trainees must be registered in an appropriate program.
- Certified payrolls shall specifically identify each individual in trainee status, their base rate, and applicable reduction percentage.
- After a trainee has completed their training program, the trainee's base wage rate shall be increased to at least Davis-Bacon's wage determination for that job classification.

The Iowa DOT will conduct continuous monitoring of training provided on contracts where the Iowa DOT is the contracting authority. Monitoring and reporting tools may include:

- Trainee interview by the Project Engineers staff and or staff of the Office of Employee Services.
- Contract compliance reviews.
- Statewide work force report.
- Payroll verification by the field engineering staff.

A year-end summary must be filed with the Iowa DOT. The reporting period is based on the Construction Season. This report is due to the Office of Employee Services, Civil Rights Team, December 31, or at the conclusion of the Construction season.

The Office of Employee Services, Civil Rights Team will maintain a trainee database. The OJT Program Coordinator will ensure that all records of approved trainees under the OJT contract hour requirement are kept on file and trainees' relevant information is kept up to date. Table 1 provides the data for the twenty three trainees who have completed their respective programs during the construction season. The names of all contractors, trainees and level of skill obtained for those who have completed a course during the construction season. Table 2 provides data on the twenty seven project site interviews that were conducted during the construction season. Information verified will include prior knowledge of the opportunity for training, skills and objectives of trainee program enrolled in, and knowledge of employment opportunity once training is completed.

For the 2011 Construction Season, 34 Contractors were required to hire trainees. The 63 approved trainees fell into the following categories:

|                       |    |                         |   |
|-----------------------|----|-------------------------|---|
| Caucasian Female      | 15 | African American Female | 0 |
| African American Male | 5  | Native American Male    | 1 |
| Hispanic Female       | 0  | Asian Male              | 0 |
| Hispanic Male         | 39 | Caucasian Male          | 3 |

2. Construction Industry Training (CIT) is a collaborative effort between the Iowa Department of Transportation (Iowa DOT) and the Associated General Contractors of Iowa (IAGC), training can be provided to all Contractors who successfully bid Iowa DOT Projects. One tenth of one percent of contract/subcontract dollars that are awarded go into the successful bidders “account” that can be used over a two-year period for pre-approved training opportunities. A goal of the program is that 10% of the funding will go towards the training of minority and female employees. All training request are pre approved and data is collected on the participants race/gender. A year end summary is completed to compile the training opportunity provided to female and minority participation.

This agreement is designed to improve overall industry performance, and encourage contractors to participate in ongoing training programs supported by the Iowa DOT. The Office of Employee Services, EEO Section continues to be committed to assisting contractors in improving their EEO strategies and training opportunities. For State Fiscal

Year 2011 \$60,719 was used to train 225 minorities and 244 females in various highway related courses.

3. The Female and Minorities in Highway Construction program is administered in partnership with (EICCD) to provide pre-vocational training to qualified women and minorities. The program is designed to provide instruction on general life skills, a basic classroom core curriculum, and an introduction to the skills needed on the job to become a productive part of an employer's workforce. Successfully completed, this training can lead to the student becoming a certified flagger and/or eligible to receive a Commercial Drivers License, Class A. This license and the skills learned should make the student very marketable to companies seeking workers. The current contract has a budgeted amount of \$225,140. Sixty-three students have completed training, including forty minority males, eleven minority females, and twelve white females. Twenty-seven of the recent graduate students (43 percent) have obtained jobs in the highway construction industry or related field.

### **Demonstrate successful training programs**

The Iowa DOT utilized three on the job training programs to increase the workforce and productivity level of female and minorities' employees working on DOT let projects. Contractors are enabled to find qualified candidates for entry level positions from the completion of the Females and Minority in Highway Construction Industry program conducted at a number of community colleges in Iowa. Contractors are encouraged to provide training and promotional opportunities to aid in the advancement of females and minorities employees through the OJT training program as well as the Contractors Industry Training (CIT) program. Since the inception of the OJT training program advances for minorities have occurred in an overwhelming majority of employment job classifications.

Through the combination of these three programs a collective total of 595 females and minorities have been afforded the opportunity to receive additional training in course/job skills that are vital to highway construction. When compared to the 2002 report period, the overall racial/ethnic minorities' annual employment report shows an increase from 13.84 percent to 19.11 (up 5.27) percent in the total employment of trade job categories. In addition, minorities have increased on-the-job-trainees trade job categories from 14.29 percent to 67.57 percent and apprenticeships from 0.00 percent to 12.85 percent while females have increased slightly in participation from 9.52 percent to 16.22 percent in on-the-job trainee categories.

In 2008 the industry experienced a decrease in employment numbers which affected the number of females and minorities employed on DOT let projects. However, the annual reports continue to show that employment by females and minorities within the classifications and as a whole, have made steady increases in the last three years.

### **Minority Business Enterprise Program**

Annually a Disadvantaged Business Enterprise (DBE) Directory of all Iowa certified DBE contractors capable of, or interested in, highways construction contracting or subcontracting is

created in January. The Iowa DOT has provided Standard Specifications for Highway and Bridge Construction section 1102.17 Disadvantaged Business Enterprises as an instrument to encourage and increase participation of disadvantaged individuals. The Contractor's Affirmative Action Responsibilities are described and the utilization of the Directory of Certified DBEs is referenced to provide a list of certified disadvantaged businesses available for contracting opportunities.

This document is available upon request in a hard copy form. An electronic copy of this document is created and posted on the electronic bidding website, the Iowa DOT Office of Employee Services, and DBE webpage. Monthly this document is updated with an amendment process to add/delete or change company information.

The state of Iowa requires a contractor take action to affirmatively solicit the interest and capability, and prices of potential minority subcontractors through the Contractors' EEO/AA Policies.

All prime contractors/subcontractors with contracts over \$10,000 on projects that are let by Iowa DOT must have or will have to develop an EEO/AA Policy that can be approved and is on file with the Office of Employee Services that is in compliance with the current Specification (Standard Specification 1102.19).

If the contractor/subcontractor is planning to provide training, they shall have a training and promotion plan. If the contractor/subcontractor is not required to have trainees, and they have no plans to do so, their EEO/AA Policy shall state there is no plan. Any training and promotion plan that is required shall include the following:

- Methods to advise employees and applicants for employment of available training programs and entrance requirements.
- Methods to periodically review the training and promotion potential of all employees.
- The Company's training and promotion policy to ensure opportunity for upgrading of existing minority and female employees.
- A designation of classifications in which the Company intends to formally train employees. Each trainee classification shall include the duration of training and benchmarks.
- A method to routinely review the progress of each trainee enrolled.
- The maximum trainee/journey worker ratio by craft that the Contractor intends to utilize. (A maximum 1:3 ratio is suggested.)
- The trainee rate of pay as a minimum percentage of the journey worker's rate of pay. (i.e. 60% of journey worker's rate for the first two quarters of the training period, 75% for the third quarter and 90% for the fourth quarter is suggested).

If the Contractor elects to pay a trainee as stated in the above paragraph, they must have a training program that has been approved by the Department of Labor. If the contractor intends to pay the trainee Davis/Bacon wages, he may use other programs, including informal programs.

All contractors and subcontractors must submit their companies' proposed EEO/AA policy to the Employee Services Office staff for approval. Civil Rights Team will check each policy to verify if the proposed program is in compliance. If the contractor's EEO/AA policy is found to be in compliance an approval letter will be sent. If not, communications will be established with the contractor to assist them. A list of contractors with approved policies will be maintained in the Client Server program and be posted on the "W" Drive for Field Offices.

Verifying Policies Prior to Contract Awards:

**Prime contract awards**

Before each contract, in the amount of \$10,000 or more, is signed, the Contracts Office will verify that the contractor has an approved EEO/AA policy on file.

**Subcontract approvals**

Before each subcontract request submitted at the time of the original prime contract, in the amount of \$10,000 or more, is approved, the Office of Contracts will verify that the subcontractor has an approved EEO/AA policy on file. Those subcontracts submitted later will be reviewed by the Project Engineer to verify there is an approved policy on file with the Office of Employee Services.

Iowa DOT DBE Program Document describes the States methods of monitoring the proress and results of its DBE Program efforts.

**Liaison**

The Iowa DOT Compliance Officers will perform desk audits and compliance reviews on selected contractors. All contractors performing work on projects by the Iowa DOT are subject to the compliance review process. The contractor's who are performing work on City, County, and Municipal projects are captured in this process. This process can be described as a collaboration to capture the work performed on local city and county projects. The full contractor review will encompass the contractor's last 12 months of EEO/AA activity from the time the review is selected. During the construction season, a Field Review Technician in the Office of Local Systems, performs field reviews of local agency federal-aid projects for compliance with Equal Employment Opportunity and Affirmative Action contract requirements, such as required posters, certified payrolls, etc.