



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

**Fiscal Year 2016**



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# **PART I**

## **SECTION 1**

### **EQUAL EMPLOYMENT OPPORTUNITY**





## **EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT**

### Equal Employment Opportunity (EEO) Policy Statement

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

### State of Iowa Policy Statement

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

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

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

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

prohibited by local, state or federal law or to be excluded from participation in, or denied the benefits of, or be subject to discrimination under any project, program, or activity funded in whole or in part through federal financial assistance.

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

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

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

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

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

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

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

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

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

This policy and the Affirmative Action Plan (AAP) will be publicized externally and internally to minority groups, women's organizations, community action groups, appropriate State agencies and professional organizations. The Iowa DOT intends to publicize its AAP on the Civil Rights webpage on its internet site as well as on its intranet. The Iowa DOT will notify minority groups, women's organizations, community action groups, and professional organizations that are on its current list of referrals of the availability and accessibility of the plan on the Civil Rights webpage on DOT website. The completed and approved FY 2016 AAP will be published on the Civil Rights webpage on the Iowa DOT's website and will be able to be accessed internally and externally. The AAP will be part of the EEO/AA policy overview presentation at New Employee Orientation sessions scheduled throughout the year. Currently, the State of Iowa's Executive Branch Annual Affirmative Action Report is available on the Internet and can be accessed by everyone at this link: <https://das.iowa.gov/human-resources/diversity-aa-eeo>, then click on the Affirmative Action Report and Plan.



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Mark Lowe  
Interim Director, Iowa Department of Transportation

March 27, 2017

Date

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

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



## STATEMENT OF COMMITMENT ON EQUAL EMPLOYMENT OPPORTUNITY

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

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

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

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

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

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

  
\_\_\_\_\_  
Mark Lowe  
Interim Director, Iowa Department of Transportation

March 27, 2017  
Date

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

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

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

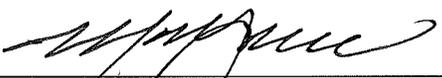
1. The Iowa DOT will establish an Equal Employment Opportunity Program, in furtherance of the above general assurance, which shall include a system to ascertain whether contractors and subcontractors are complying with their equal employment opportunity contract obligations and the degree to which such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

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

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

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

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

  
\_\_\_\_\_  
Mark Lowe  
Interim Director, Iowa Department of Transportation

March 27, 2017  
\_\_\_\_\_  
Date

## **ACCOMPLISHMENTS**

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

### **Fiscal Year (FY) 2016 Progress:**

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

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

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

- essential functions of the position,
- screening criteria utilized,
- a comparison of applicants interviewed to the essential functions and screening criteria based on the answers provided during the interview, and

- justification for the recommended hire to the AAO in OES.

The Selecting Authority also submits the following documents:

- BrassRing certificate list,
- pre-interview screening criteria and scores, if applicable,
- interview questions,
- interview scores/matrix or spreadsheet,
- PDQ/essential functions, and
- reference check(s).

- The DOT continued to improve its hiring process through:

A. Retooling the DOT's hiring process

Through OES, the DOT has developed proposals to restructure the hiring process.

1. Goals

- Reduce the number of variables in order to increase consistency in hiring.
- Broaden the applicant pool.
- Improve diversity.
- Reduce the time needed to hire.
- Increase the number of minority (4.5% to 6.5%) and female (25% to 40%) employees at the DOT through recruitment efforts.

2. Hiring Process Strategies

- The development and utilization of a consistent Knowledge, Skills and Ability (KSA) based selection tool.
- The use of a Department screening team(s) to develop and oversee any necessary screening stages prior to a final interview and a hiring team.
- Targeted recruitment. County of residence data was added as a mandatory field for job applicants to better understand the location of available labor pool.

3. Recruitment

- Positions were posted on all social media platforms; Facebook, LinkedIn & Twitter.
- Radio advertisements were produced on both local Iowa stations as well as Pandora.
- Iowa DOT careers webpage includes positions for all applicants, current permanent state employees, and student internships/coops with over 5000 subscribers. The careers webpage had 127,485 page views and 40,338 users for FY 2016. A total of 14,281 visitors came to the site via a search engine search. Top keywords were Iowa DOT jobs, Iowa DOT job openings and Iowa DOT careers and 37,588 users accessed our careers webpage via their mobile device.
- Maintained the Careers app to the MyIowaDOT app so customers could access the DOT careers webpage on their mobile phone or tablet.

- Internships/Co-ops – fifth year of implementation. Iowa DOT’s goal was to fill 99 new student intern/coop positions in one of 38 locations/offices statewide. Ninety-five total students were hired for FY 2016 from a variety of academic disciplines.
- The online application process for seasonal employment via BirdDog, an online recruitment tool, was used for Winter Maintenance and Traffic Count Program hiring, resulting in receiving thousands of applications from across the state. We also conducted statewide radio and newspaper campaigns to promote the seasonal employment opportunities.
- Continued networking with consultants and industry leaders to develop new outreach opportunities to diversify the workforce.

## II. Recruitment

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

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

*Proactive Minority Community Involvement:*

- The DOT also continued to develop and maintain a community presence by participation in minority community events. Examples of events with emphasis on diversity outreach that the DOT participated in during FY 2016 are:
  - Iowa Latino Conference and Iowa Latino Conference Planning Committee
  - Iowa State Conference On Race and Ethnicity (ISCORE)
  - I'll Make Me a World in Iowa
  - Central Iowa SHRM 2015 Iowa Career Expo
  - Greater Des Moines Partnership's Quarterly Multicultural Receptions
  - Iowa Juneteenth celebration festival in Des Moines
  - CelebrAsian
  - Latinos Unidos Job Resource Fair
  - Latino Heritage Festival
  - Hawkeye Community College: Diversity in STEM Conference; building pipelines to access and inclusion
  - University of Iowa College of Engineering Diversity Networking Reception
  - Presentation by DOT staff to Iowa State University APEX for Engineers (helps incoming multicultural students adjust to university life)
  
- Additionally, the DOT participated in the following outreach events (not all inclusive):
  - Iowa State University Fall Engineering and Business Career Fairs
  - University of Iowa Fall Engineering and Business Career Fairs
  - Iowa State University Spring Engineering Fair
  - Iowa State University Jump-Start Internship and Networking Fair (Greenlee School of Journalism)
  - Iowa State University Engineering Scholar Day
  - Iowa State University College of Design Career Fair
  - University of Iowa Spring Engineering Fair
  - University of Wisconsin Platteville Spring Career Fair
  - University of Iowa College of Engineering Diversity Networking Event
  - University of Northern Iowa Fall Career Fair
  - University of Northern Iowa Spring Career Fair
  - Hawkeye Community College Career Fair
  - DMACC Career Fair
  - Colo-Nesco STEM fair K-6<sup>th</sup> grade
  - Iowa Black Business Summit
  - Iowa Immigrant Entrepreneur Summit
  - Indian Hills & Iowa Works-Southern Iowa career fair
  - Veteran's Career Fair events in Iowa City, Des Moines & Marshalltown
  - Building Diversity Networking Expo
  - Women and Heavy Equipment Operator Training (Hawkeye Community College)
  - Summit on the Black Male held at the University of Northern Iowa campus
  - Diversity Career Fair, Johnston, IA, via the Greater Des Moines Partnership

*Collaborative efforts with other state agencies and entities:*

- The DOT continued to participate in the quarterly Statewide Strategic Recruitment Team meetings coordinated by DAS-Human Resource Enterprise (HRE).
- Presentations to engineering classes at Iowa State University to promote our student summer internship and coop opportunities.
  - Presentations to various student clubs at Iowa State University.
- STEM events with ISU and InTrans for K-12 students and educators.
- 2016 Executive Branch - State of Iowa Career Fair.

*Statewide Advertisement Campaign:*

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

*Utilization of web technology:*

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

### III. Retention

- The DOT's Management Team continued to determine, develop and deliver approaches best suited for effective employee retention initiatives in the following areas:
  - Employee Interaction and Development:

Career development opportunities; regular feedback; a chance to contribute directly to the organization and be recognized for doing so; flexible work schedules that recognize the need for work/life balance; a good salary or wage and an opportunity to increase it over time; and benefits tailored to individual employee's needs.

- Recognition – the DOT recognizes employees who have reached milestones in their service through monthly service awards updates and personnel updates of new hires, promotions and transfers. The DOT began using the Helmet Sticker Display tool which allows any employee to recognize and to be recognized on the focused core values: Safety; Respect; Integrity; Teamwork; and Leadership as established in DOT's 2014 Strategic Plan.
  - Decision Making – enhanced decision making through improved information management.
  - Trust – the DOT's Strategic Plan was rolled out in Fall 2014 establishing the DOT's revised mission and vision statements, five core values and five key initiatives for change. One of the DOT's core values is employee demonstrating "Integrity" by earned and demonstrated trust through transparent and ethical actions. Respect is another core value wherein employees are treated with honor, dignity and courtesy. Retention is increased through earned and demonstrated trust by transparency and ethical actions, as well as respecting one another.
- The DOT continued to conduct exit interviews with employees who leave the DOT to seek input regarding their experience working with the DOT. The results of the data were compiled and forwarded to appropriate management (see Telephonic Exit Interview results in Section 11).

Other key retention strategies/employment practices:

- Recruitment and hiring – spending time and effort on recruitment has yielded better matches between employees' knowledge, skills and abilities and the organization, thus, turnover has been less likely an issue.
- Orientation - The DOT continued its new employee orientation every 60 days involving a Management Team member and OES Director welcoming the employees. Treating employees right in the critical early stages of employment has been proven to enhance retention.
- Training and development – these key factors help employees grow with the DOT and stay competent and marketable in their field.
- Performance evaluation – both employees and the DOT benefit when employees know what they are doing well and where they need to improve.
- Pay and benefits – good pay and benefits count. These areas have been rated high between excellent (4) and good (3) by former employees who responded to the Exit Interviews.
- Employee engagement meetings – Management Team meets face to face with employees to answer questions and listen to their concerns.
- Internal communication – various internal management communication is being utilized such as face-to-face/video communication among all members of the

DOT team, and employees are reminded on a regular basis to submit their questions via the DOT's website through the "Team Building Thursday" (TBT) website. DOT recognizes that effective communication can help ensure that employees want to stay with the department.

- Termination and outplacement – 100% of former employees interviewed on the Telephonic exit interviews indicated they would recommend to someone to go to work at the Iowa DOT. Employees who leave on good terms are much more likely to recommend the DOT, and in doing so would help attract and retain future employees.
- The DOT continued to plan and prepare for establishing a formal mentoring program and on-boarding of employees. This resulted in an On-boarding Partnership and Mentoring Program proposal. The DOT's on-boarding has been approved by its Management Team.

#### IV. Promotion

- Qualified permanent and temporary DOT employees who apply for vacancies in permanent positions and meet screening criteria shall be interviewed for promotion, demotion or pay-grade transfers.
- Qualified permanent and temporary DOT employees who apply for vacancies shall not be screened out solely on the basis of current work location, home location or salary.
- If a selecting authority becomes aware that an applicant is an employee within his or her immediate supervision or area of responsibility, the selecting authority shall use a team that includes the selecting authority or his/her designee and at least one current employee who is outside the section/unit, office, division or area of responsibility.
- There were a total of 82 employee promotions for FY 2016. Twenty-five (25) or 30.5% were females and two (2) or 2.44% 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 conducted its M.E.E.T. (**M**ake time to discuss; **E**xplore differences; **E**ncourage respect; and **T**ake personal responsibility for promoting respect in the workplace) training. This training is focused on Respect and Inclusion in the Workplace. All employees, including managers and supervisors, were required to take the course. New employees have taken the course as part of the NEO (New Employee Orientation) curriculum.

- The DOT continued to require new supervisors and managers to attend two diversity courses and all other new employees to attend one.
- The DOT continued to conduct two Supervisor Roundtables, one in the Fall and second in the Spring, with emphases on human resource topics, including recruiting, hiring, underutilization and Title VI.
- The DOT conducted its Leadership Development Session in October 2015, which focused on culture, performance management, leadership, communication and strategic planning topics (refer to Addendum A-2 - copy of the Leadership Development Session Agenda).
- Employees statewide continued to take training in different areas relevant to job duties and responsibilities (refer to Table 5C - Training Statewide for FY 2016).

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

### a. External publication:

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

### b. Internal publication:

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

## **DEPARTMENT OVERVIEW**

### **History**

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

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

In July 1911, the entire highway commission staff consisted of three full-time and two part-time employees who received their salaries from Iowa State College. This arrangement prevailed until 1913. On April 9, 1913, in response to an act of the 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 DOT and Iowa Transportation Commission remain headquartered in Ames and continue to serve the citizens of Iowa today.

### **Geography**

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

### **Workforce**

There was a change in top management personnel during FY 2016 when the Highway Division director retired in December 2015 and a replacement was appointed in January 2016 (refer to Addendum A-4 - DOT's organizational chart).

The Administrative Office is in the city of Ames with a central administrative office for the Motor Vehicle Division in Ankeny. The DOT has a gubernatorially appointed director with six division directors reporting to him, representing the Performance and Technology Division; Operations and Finance Division; Planning, Programming and Modal Division; Motor Vehicle Division; Information Technology Division; and Highway Division.

The Highway Division has employees located statewide in the Administrative Office, 6 district offices, 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, 17 driver's license stations and 10 interstate and 2 primary road system Motor Vehicle Enforcement scale sites.

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

The total workforce as of June 30, 2016 was 2,785 full time employees.

**SECTION 2**

**RESPONSIBILITY FOR  
IMPLEMENTATION**



## Designation of Personnel

Iowa DOT's Organizational Chart as of January 2017 - refer to Addendum A-4  
Office of Employee Services Organizational Chart as of June 2016 – refer to  
Addendum A-5

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

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

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

The administration of the day-to-day functions of the DOT's AA/EEO Program rests with Elvie Laudencia, Affirmative Action/EEO Officer, as it relates to hiring practices. Ms. Laudencia reviews and approves all hiring decision justifications submitted by selecting authorities prior to job offers to ensure hiring decisions adhere to all departmental policies, federal and state laws and to assure that equal opportunity is given to all applicants.

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

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

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

## **SECTION 3**

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



IOWA DEPARTMENT OF TRANSPORTATION

RECAP OF UTILIZATION FOR FY 15 AND FY 16

TABLE 1

DOT Workforce - Comparison to 2010 Statewide EEO-1 Census and American Community Survey (ACS) Total Labor Force Data														
EEO Category	FY 15				FY 16									
	TOTAL EEs	MIN EEs	% EEs	FEM EEs	TOTAL EEs	MIN EEs	% EEs	FEM EEs	TOTAL EEs	MIN EEs	% EEs	FEM EEs	%	
01 Officials/Admin	288	8	2.78%	99	293	8	34.38%	99	293	23	2.73%	105	35.84%	
02 Professionals	449	22	4.90%	119	433	3	26.50%	119	433	23	5.31%	110	25.40%	
03 Technicians	235	12	5.11%	43	228	11	18.30%	43	228	11	4.82%	40	17.54%	
04 Protective Services: Sworn	115	4	3.48%	10	113	4	8.70%	10	113	4	3.54%	10	8.85%	
05 Para Professionals	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	
06 Admin Support	379	6	1.58%	318	353	5	83.91%	318	353	5	1.42%	301	85.27%	
07 Skilled Craft	1308	46	3.52%	29	1272	46	2.22%	29	1272	46	3.62%	27	2.12%	
08 Service/Maint	99	4	4.04%	25	93	4	25.25%	25	93	4	4.30%	22	23.66%	
Total	2873	102	3.55%	28	2785	101	22.38%	643	2785	101	3.63%	615	22.08%	

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

EEO Category	Iowa DOT FY 16 Employee % by EEO Category		2010 Census/ACS Availability % (SUMMARY TOTAL)		Underutilization = DOT % - Census/ACS Availability%	
	MIN %	FEM %	MIN %	FEM %	MIN %	FEM %
01 Officials/Admin	4.44%	37.54%	4.25%	37.03%	0.19%	0.52%
02 Professionals	7.62%	27.71%	7.48%	59.39%	0.14%	-31.67%
03 Technicians	4.82%	17.54%	7.17%	60.33%	-2.34%	-42.78%
04 Protective Services: Sworn	3.54%	8.85%	7.40%	17.70%	-3.86%	-8.85%
05 Para Professionals	NA	NA	NA	NA	NA	NA
06 Admin Support	5.10%	88.95%	6.71%	66.12%	-1.61%	22.84%
07 Skilled Craft	3.69%	2.20%	6.85%	6.41%	-3.16%	-4.21%
08 Service/Maint	4.30%	23.66%	13.22%	42.15%	-8.92%	-18.49%



**SECTION 4**

**ANALYSIS OF PRESENT WORKFORCE**







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

EMPLOYMENT DATA AS OF JUNE 30, 2016

JOB CATEGORIES	MALE										FEMALE											
	TOTAL (COL. B-K)	NON-HISPA. ORIGIN	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	NON-HISPA. ORIGIN	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	FEMALE										
												WHITE	WHITE	WHITE								
OFFICIALS AND ADMINISTRATOR	293	175	59.7%	4	1.4%	2	0.7%	1	0.3%	1	0.3%	105	35.8%	2	0.7%	0	0%	2	0.7%	1	0.3%	
PROFESSIONALS	433	290	67.0%	2	0.5%	8	1.8%	12	2.8%	1	0.2%	110	25.4%	0	0.0%	3	1%	7	1.6%	0	0.0%	
TECHNICIANS	228	177	77.6%	6	2.6%	1	0.4%	2	0.9%	2	0.9%	40	17.5%	0	0.0%	0	0%	0	0.0%	0	0.0%	
PROTECTIVE SERVICE	113	99	87.6%	1	0.9%	2	1.8%	0	0.0%	1	0.9%	10	8.8%	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	353	34	9.6%	4	1.1%	0	0.0%	1	0.3%	0	0.0%	301	85.3%	7	2.0%	1	0%	3	0.8%	2	0.6%	
SKILLED CRAFT	1272	1198	94.2%	11	0.9%	10	0.8%	3	0.2%	21	1.7%	27	2.1%	0	0.0%	0	0%	0	0.0%	1	0.1%	
SERVICE MAINTENANCE	93	67	72.0%	1	1.1%	0	0.0%	1	1.1%	2	2.2%	22	23.7%	0	0.0%	0	0%	0	0.0%	0	0.0%	
<b>TOTAL FULL TIME</b>	<b>2785</b>	<b>2040</b>	<b>73.2%</b>	<b>29</b>	<b>1.0%</b>	<b>23</b>	<b>0.8%</b>	<b>20</b>	<b>0.7%</b>	<b>28</b>	<b>1.0%</b>	<b>615</b>	<b>22.1%</b>	<b>9</b>	<b>0.3%</b>	<b>4</b>	<b>0.1%</b>	<b>12</b>	<b>0.4%</b>	<b>4</b>	<b>0.1%</b>	

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2016			
TOTAL	MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/WHITE	2040	615	23.2%
BLACK	29	9	23.7%
HISPANIC LATIN	27	4	14.8%
ASIAN	32	12	37.5%
AMER INDIAN OR ALASKAN	32	4	12.5%
HAWAIIAN - PAC. IS.	0	0	0.0%
TWO PLUS RACE	1	0	0.0%
<b>TOTAL</b>	<b>2785</b>	<b>644</b>	<b>23.1%</b>

JOB CATEGORIES	MALE					FEMALE				
	HAWAIIAN - PACIFIC ISLANDER	TWO PLUS RACE	TWO PLUS RACE	HAWAIIAN - PACIFIC IS.	TWO PLUS RACE	HAWAIIAN - PACIFIC IS.	TWO PLUS RACE	TWO PLUS RACE	HAWAIIAN - PACIFIC IS.	TWO PLUS RACE
OFFICIALS AND ADMINISTRATOR	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%
TECHNICIANS	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	0	0.0%	1	0.1%	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%
<b>TOTAL FULL TIME</b>	<b>0</b>	<b>0.0%</b>	<b>1</b>	<b>0.1%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2016  
TABLE 4A - DIVISION/OFFICE: DIRECTOR'S OFFICE

JOB CATEGORIES	TOTAL (COL. B-K)	MALE						FEMALE					
		TOTAL (COL. B-K)	NON-HISPA. ORIGIN WHITE	BLACK	HISPAN IC/LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	NON-HISPA. ORIGIN WHITE	BLACK	HISPA NIC/LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	
	A	B	C	D	E	F	G	H	I	J	K		
OFFICIALS AND ADMINISTRATOR	2	1	50.0%	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	
TECHNICIANS	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	
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	
ADMINISTRATIVE SUPPORT	2	0	0.0%	0	0.0%	0	0.0%	2	100%	0	0.0%	0	
SKILLED CRAFT	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	
TOTAL FULL TIME	4	1	25.0%	0	0.0%	0	0.0%	3	75.0%	0	0.0%	0	

JOB CATEGORIES	MALE				FEMALE			
	TOTAL (COL. B-O)	HAWAIIAN - PACIFIC ISLANDER	TWO PLUS RACE M	TWO PLUS RACE O	HAWAI. PACIFIC IS. N	HAWAI. PACIFIC IS. O	TWO PLUS RACE P	TWO PLUS RACE O
OFFICIALS AND ADMINISTRATOR	2	0	0.0%	0	0.0%	0	0.0%	0
PROFESSIONALS	0	0	0.0%	0	0.0%	0	0.0%	0
TECHNICIANS	0	0	0.0%	0	0.0%	0	0.0%	0
PROTECTIVE SERVICE	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
ADMINISTRATIVE SUPPORT	2	0	0.0%	0	0.0%	0	0.0%	0
SKILLED CRAFT	0	0	0.0%	0	0.0%	0	0.0%	0
SERVICE MAINTENANCE	0	0	0.0%	0	0.0%	0	0.0%	0
TOTAL FULL TIME	4	0	0.0%	0	0.0%	0	0.0%	0

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2016				
	TOTAL	MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/	4	1	3	75.0%
BLACK	0	0	0	0.0%
HISPANIC LATIN	0	0	0	0.0%
ASIAN	0	0	0	0.0%
AMER INDIAN OR ALASKAN	0	0	0	0.0%
HAWAIIAN - PAC. IS.	0	0	0	0.0%
TWO PLUS RACE	0	0	0	0.0%
TOTAL	4	1	3	75%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2016  
TABLE 4B - DIVISION/OFFICE: GENERAL COUNSEL

JOB CATEGORIES	TOTAL (COL. B-K)	MALE					FEMALE					
		NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	
	A	B	C	D	E	F	G	H	I	J	K	
OFFICIALS AND ADMINISTRATOR	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%
TECHNICIANS	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%
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
ADMINISTRATIVE SUPPORT	1	0	0.0%	0	0.0%	0	1	100%	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%
SERVICE MAINTENANCE	0	0	0.0%	0	0.0%	0	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	1	0	0.0%	0	0.0%	0	1	100%	0	0.0%	0	0.0%

JOB CATEGORIES	TOTAL (COL. B-O)	MALE				FEMALE					
		HAWAIIAN - PACIFIC ISLANDER	TWO PLUS RACE M	TWO PLUS RACE N	HAWAIIAN - PACIFIC IS. N	TWO PLUS RACE O	HAWAIIAN - PACIFIC IS. O	TWO PLUS RACE P	TWO PLUS RACE Q		
OFFICIALS AND ADMINISTRATOR	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%
TECHNICIANS	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%
PARA-PROFESSIONAL	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%
SKILLED CRAFT	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%
TOTAL FULL TIME	1	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2016				
	TOTAL	MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/	1	0	1	100%
BLACK	0	0	0	0.0%
HISPANIC LATIN	0	0	0	0.0%
ASIAN	0	0	0	0.0%
AMER INDIAN OR ALASKAN	0	0	0	0.0%
HAWAIIAN - PAC. IS.	0	0	0	0.0%
TWO PLUS RACE	0	0	0	0.0%
TOTAL	1	0	1	100%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2016  
TABLE 4C - DIVISION/OFFICE: HIGHWAY

JOB CATEGORIES	TOTAL (COL. B-K)	MALE					FEMALE				
		NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.
	A	B	C	D	E	F	G	H	I	J	K
OFFICIALS AND ADMINISTRATOR	164	125	2	0	0	1	35	0	0	0	1
PROFESSIONALS	221	166	0	2	11	0	37	0	1	4	0
TECHNICIANS	215	168	6	1	2	2	36	0	0	0	0
PROTECTIVE SERVICE	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
ADMINISTRATIVE SUPPORT	61	0	1	0	0	0	56	1	0	2	1
SKILLED CRAFT	1220	1148	11	10	3	21	25	0	0	0	1
SERVICE MAINTENANCE	68	52	0	0	0	1	15	0	0	0	0
<b>TOTAL FULL TIME</b>	<b>1949</b>	<b>1659</b>	<b>20</b>	<b>13</b>	<b>16</b>	<b>25</b>	<b>204</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>3</b>
		<b>85.1%</b>	<b>1.0%</b>	<b>0.7%</b>	<b>0.8%</b>	<b>1.3%</b>	<b>10.5%</b>	<b>0.1%</b>	<b>0.1%</b>	<b>0.1%</b>	<b>0.2%</b>

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2016			
	TOTAL	MALE	FEMALE
NON-HISPA. ORIGIN/	1863	1659	204
BLACK	21	20	1
HISPANIC LATIN	14	13	1
ASIAN	22	16	6
AMER INDIAN OR ALASKAN	28	28	0
HAWAIIAN - PAC. IS.	0	0	0
TWO PLUS RACE	1	1	0
<b>TOTAL</b>	<b>1949</b>	<b>1737</b>	<b>212</b>
		<b>89%</b>	<b>11%</b>
			<b>100%</b>

JOB CATEGORIES	MALE			FEMALE		
	HAWAIIAN - PACIFIC ISLANDER	TWO PLUS RACE M	HAWAIIAN - PACIFIC IS. N	TWO PLUS RACE O	TWO PLUS RACE P	TWO PLUS RACE Q
OFFICIALS AND ADMINISTRATOR	0	0	0	0	0	0
PROFESSIONALS	0	0	0	0	0	0
TECHNICIANS	0	0	0	0	0	0
PROTECTIVE SERVICE	0	0	0	0	0	0
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	0	0	0	0	0	0
SKILLED CRAFT	0	1	0	0	0	0
SERVICE MAINTENANCE	0	0	0	0	0	0
<b>TOTAL FULL TIME</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>0.0%</b>	<b>0.0%</b>	<b>0.0%</b>	<b>0.0%</b>	<b>0.0%</b>	<b>0.0%</b>

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2016  
TABLE 4D - DIVISION/OFFICE: MOTOR VEHICLE

JOB CATEGORIES	TOTAL (COL. B-K)	MALE					FEMALE						
		NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.		
	A	B	C	D	E	F	G	H	I	J	K		
OFFICIALS AND ADMINISTRATOR	34	11	32.4%	0	0.0%	0	0.0%	1	61.8%	0	0.0%	0	0.0%
PROFESSIONALS	20	7	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	113	99	0.0%	1	0.0%	2	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
ADMINISTRATIVE SUPPORT	241	23	9.5%	3	0.0%	0	0.0%	1	85%	6	0.0%	1	0.0%
SKILLED CRAFT	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%
<b>TOTAL FULL TIME</b>	<b>408</b>	<b>140</b>	<b>34.3%</b>	<b>4</b>	<b>1.0%</b>	<b>3</b>	<b>0.7%</b>	<b>2</b>	<b>0.5%</b>	<b>1</b>	<b>0.2%</b>	<b>249</b>	<b>61.0%</b>
								<b>7</b>	<b>1.7%</b>	<b>1</b>	<b>0.2%</b>	<b>1</b>	<b>0.2%</b>
										<b>1</b>	<b>0.2%</b>	<b>0</b>	<b>0.0%</b>

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2016				
	TOTAL	MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/	389	140	249	64.0%
BLACK	11	4	7	0.0%
HISPANIC LATIN	4	3	1	0.0%
ASIAN	3	2	1	0.0%
AMER INDIAN OR ALASKAN	1	1	0	0.0%
HAWAIIAN - PAC. IS.	0	0	0	0.0%
TWO PLUS RACE	0	0	0	0.0%
<b>TOTAL</b>	<b>408</b>	<b>150</b>	<b>258</b>	<b>63%</b>
				<b>100%</b>

JOB CATEGORIES	MALE			FEMALE		
	HAWAIIAN - PACIFIC ISLANDER	TWO PLUS RACE M	TWO PLUS RACE O	HAWAIIAN - PACIFIC IS. N	TWO PLUS RACE O	TWO PLUS RACE O
OFFICIALS AND ADMINISTRATOR	34	0	0.0%	0	0.0%	0.0%
PROFESSIONALS	20	0	0.0%	0	0.0%	0.0%
TECHNICIANS	0	0	0.0%	0	0.0%	0.0%
PROTECTIVE SERVICE	113	0	0.0%	0	0.0%	0.0%
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	241	0	0.0%	0	0.0%	0.0%
SKILLED CRAFT	0	0	0.0%	0	0.0%	0.0%
SERVICE MAINTENANCE	0	0	0.0%	0	0.0%	0.0%
<b>TOTAL FULL TIME</b>	<b>408</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>0.0%</b>

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2016  
TABLE 4E - DIVISION/OFFICE: OPERATIONS & FINANCE

JOB CATEGORIES	MALE						FEMALE					
	TOTAL (COL. B-K)	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	
OFFICIALS AND ADMINISTRATOR	56	22	2	2	0	0	27	1	0	2	0	
PROFESSIONALS	25	12	1	0	0	0	12	0	0	0	0	
TECHNICIANS	3	1	0	0	0	0	2	0	0	0	0	
PROTECTIVE SERVICE	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	
ADMINISTRATIVE SUPPORT	36	11	0	0	0	0	24	0	0	0	1	
SKILLED CRAFT	36	35	0	0	0	0	1	0	0	0	0	
SERVICE MAINTENANCE	22	13	1	0	1	1	6	0	0	0	0	
TOTAL FULL TIME	178	94	4	2	1	1	72	1	0	2	1	

JOB CATEGORIES	MALE				FEMALE			
	TOTAL (COL. B-O)	HAWAIIAN - PACIFIC ISLANDER	TWO PLUS RACE M	HAWAI. PACIFIC IS. N	TWO PLUS RACE O	HAWAI. PACIFIC IS. N	TWO PLUS RACE O	TOTAL %
OFFICIALS AND ADMINISTRATOR	56	0	0	0	0	0	0	100%
PROFESSIONALS	25	0	0	0	0	0	0	0.0%
TECHNICIANS	3	0	0	0	0	0	0	0.0%
PROTECTIVE SERVICE	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	0.0%
ADMINISTRATIVE SUPPORT	36	0	0	0	0	0	0	0.0%
SKILLED CRAFT	36	0	0	0	0	0	0	0.0%
SERVICE MAINTENANCE	22	0	0	0	0	0	0	0.0%
TOTAL FULL TIME	178	0	0	0	0	0	0	100%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2016				
	TOTAL	MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/	166	94	72	100%
BLACK	5	4	1	0.0%
HISPANIC LATIN	2	2	0	0.0%
ASIAN	3	1	2	0.0%
AMER INDIAN OR ALASKAN	2	1	1	0.0%
HAWAIIAN - PAC. IS.	0	0	0	0.0%
TWO PLUS RACE	0	0	0	0.0%
TOTAL	178	102	76	100%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2016  
TABLE 4F - DIVISION/OFFICE: PLANNING, PROGRAMMING AND MODAL

JOB CATEGORIES	MALE						FEMALE					
	TOTAL (COL. B-K)	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	
	A	B	C	D	E	F	G	H	I	J	K	
OFFICIALS AND ADMINISTRATOR	16	6	0	0	0	0	8	0	0	0	0	
PROFESSIONALS	44	29	0	0	0	1	12	0	1	1	0	
TECHNICIANS	9	7	0	0	0	0	2	0	0	0	0	
PROTECTIVE SERVICE	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	
ADMINISTRATIVE SUPPORT	5	0	0	0	0	0	5	0	0	0	0	
SKILLED CRAFT	0	0	0	0	0	0	0	0	0	0	0	
SERVICE MAINTENANCE	2	2	0	0	0	0	0	0	0	0	0	
<b>TOTAL FULL TIME</b>	<b>76</b>	<b>44</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>27</b>	<b>0</b>	<b>1</b>	<b>1.3%</b>	<b>0</b>	

JOB CATEGORIES	MALE				FEMALE			
	TOTAL (COL. B-O)	HAWAIIAN - PACIFIC ISLANDER	TWO PLUS RACE M	HAWAIIAN - PACIFIC IS. N	TWO PLUS RACE O	TOTAL	%	
OFFICIALS AND ADMINISTRATOR	16	0	0	0	0	0	0.0%	
PROFESSIONALS	44	0	0	0	0	0	0.0%	
TECHNICIANS	9	0	0	0	0	0	0.0%	
PROTECTIVE SERVICE	0	0	0	0	0	0	0.0%	
PARA-PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
ADMINISTRATIVE SUPPORT	5	0	0	0	0	0	0.0%	
SKILLED CRAFT	0	0	0	0	0	0	0.0%	
SERVICE MAINTENANCE	2	0	0	0	0	0	0.0%	
<b>TOTAL FULL TIME</b>	<b>76</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.0%</b>	

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2016				
	TOTAL	MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/	71	44	27	38.0%
BLACK	0	0	0	0.0%
HISPANIC LATIN	1	0	1	0.0%
ASIAN	3	0	3	0.0%
AMER INDIAN OR ALASKAN	1	1	0	0.0%
HAWAIIAN - PAC. IS.	0	0	0	0.0%
TWO PLUS RACE	0	0	0	0.0%
<b>TOTAL</b>	<b>76</b>	<b>45</b>	<b>31</b>	<b>41%</b>

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2016

TABLE 4G - DIVISION/OFFICE: INFORMATION TECHNOLOGY

JOB CATEGORIES	MALE						FEMALE					
	TOTAL (COL. B-K)	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	
	A	B	C	D	E	F	G	H	I	J	K	
OFFICIALS AND ADMINISTRATOR	16	9	0	0	0	0	7	0	0	0	0	
PROFESSIONALS	97	61	1	2	1	0	30	0	0	2	0	
TECHNICIANS	1	1	0	0	0	0	0	0	0	0	0	
PROTECTIVE SERVICE	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	
ADMINISTRATIVE SUPPORT	6	0	0	0	0	0	6	0	0	0	0	
SKILLED CRAFT	15	14	0	0	0	0	1	0	0	0	0	
SERVICE MAINTENANCE	0	0	0	0	0	0	0	0	0	0	0	
<b>TOTAL FULL TIME</b>	<b>135</b>	<b>85</b>	<b>1</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>44</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>0</b>	
		63.0%	1	0.7%	1.5%	0	0.0%	0	0.0%	0	1.5%	

JOB CATEGORIES	MALE				FEMALE			
	TOTAL (COL. B-O)	HAWAIIAN - PACIFIC ISLANDER	TWO PLUS RACE M	HAWAI. PACIFIC IS. N	TWO PLUS RACE O	HAWAI. PACIFIC IS. N	TWO PLUS RACE O	TOTAL %
OFFICIALS AND ADMINISTRATOR	16	0	0	0	0	0	0	100%
PROFESSIONALS	97	0	0	0	0	0	0	0.0%
TECHNICIANS	1	0	0	0	0	0	0	0.0%
PROTECTIVE SERVICE	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
ADMINISTRATIVE SUPPORT	6	0	0	0	0	0	0	0.0%
SKILLED CRAFT	15	0	0	0	0	0	0	0.0%
SERVICE MAINTENANCE	0	0	0	0	0	0	0	0.0%
<b>TOTAL FULL TIME</b>	<b>135</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.0%</b>

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2016				
	TOTAL	MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/	129	85	44	34.1%
BLACK	1	1	0	0.0%
HISPANIC LATIN	2	2	0	0.0%
ASIAN	3	1	2	0.0%
AMER INDIAN OR ALASKAN	0	0	0	0.0%
HAWAIIAN - PAC. IS.	0	0	0	0.0%
TWO PLUS RACE	0	0	0	0.0%
<b>TOTAL</b>	<b>135</b>	<b>89</b>	<b>46</b>	<b>34%</b>

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2016  
TABLE 4H - DIVISION/OFFICE: PERFORMANCE & TECHNOLOGY

JOB CATEGORIES	MALE						FEMALE					
	TOTAL (COL. B-K)	NON-HISPA. ORIGIN WHITE	BLACK	HISPAN IC/LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	NON-HISPA. ORIGIN WHITE	BLACK	HISPA NIC/LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	
OFFICIALS AND ADMINISTRATOR	7	4	0	0	0	0	3	0	0	0	0	
PROFESSIONALS	26	14	0	1	0	0	10	0	1	0	0	
TECHNICIANS	0	0	0	0	0	0	0	0	0	0	0	
PROTECTIVE SERVICE	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	
ADMINISTRATIVE SUPPORT	1	0	0	0	0	0	1	0	0	0	0	
SKILLED CRAFT	0	0	0	0	0	0	0	0	0	0	0	
SERVICE MAINTENANCE	0	0	0	0	0	0	0	0	0	0	0	
TOTAL FULL TIME	34	18	0	1	2	0	14	0	1	2	0	

JOB CATEGORIES	MALE				FEMALE			
	TOTAL (COL. B-O)	HAWAIIAN - PACIFIC ISLANDER	TWO PLUS RACE M	HAWAIIAN - PACIFIC IS. N	TWO PLUS RACE O	HAWAIIAN - PACIFIC IS. N	TWO PLUS RACE O	TOTAL %
OFFICIALS AND ADMINISTRATOR	7	0	0	0	0	0	0	100%
PROFESSIONALS	26	0	0	0	0	0	0	0.0%
TECHNICIANS	0	0	0	0	0	0	0	0.0%
PROTECTIVE SERVICE	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
ADMINISTRATIVE SUPPORT	1	0	0	0	0	0	0	0.0%
SKILLED CRAFT	0	0	0	0	0	0	0	0.0%
SERVICE MAINTENANCE	0	0	0	0	0	0	0	0.0%
TOTAL FULL TIME	34	0	0	0	0	0	0	0.0%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2016				
	TOTAL	MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/	32	18	14	43.8%
BLACK	0	0	0	0.0%
HISPANIC LATIN	2	1	1	0.0%
ASIAN	0	0	0	0.0%
AMER INDIAN OR ALASKAN	0	0	0	0.0%
HAWAIIAN - PAC. IS.	0	0	0	0.0%
TWO PLUS RACE	0	0	0	0.0%
TOTAL	34	19	15	44%

<b>SUMMARY OF WORKFORCE BY DIVISION/OFFICE</b>						
<b>EMPLOYMENT DATA AS OF JUNE 30, 2016</b>						
<b>TABLE 4I</b>						
<b>DIVISION/OFFICE</b>	<b>TOTAL</b>	<b>MALE</b>	<b>%</b>	<b>FEMALE</b>	<b>%</b>	
<b>DIRECTOR'S OFFICE</b>	<b>4</b>	<b>1</b>	<b>25.0%</b>	<b>3</b>	<b>75.0%</b>	<b>100%</b>
<b>GENERAL COUNSEL</b>	<b>1</b>	<b>0</b>	<b>0.0%</b>	<b>1</b>	<b>100.0%</b>	<b>100%</b>
<b>HIGHWAY DIVISION</b>	<b>1949</b>	<b>1737</b>	<b>89.1%</b>	<b>212</b>	<b>10.9%</b>	<b>100%</b>
<b>MOTOR VEHICLE DIVISION</b>	<b>408</b>	<b>150</b>	<b>36.8%</b>	<b>258</b>	<b>63.2%</b>	<b>100%</b>
<b>OPERATIONS &amp; FINANCE DIVISION</b>	<b>178</b>	<b>102</b>	<b>57.3%</b>	<b>76</b>	<b>42.7%</b>	<b>100%</b>
<b>PLANNING, PROGRAMMING AND MODAL DIVISION</b>	<b>76</b>	<b>45</b>	<b>59.2%</b>	<b>31</b>	<b>40.8%</b>	<b>100%</b>
<b>INFORMATION TECHNOLOGY DIVISION</b>	<b>135</b>	<b>89</b>	<b>65.9%</b>	<b>46</b>	<b>34.1%</b>	<b>100%</b>
<b>PERFORMANCE &amp; TECHNOLOGY DIVISION</b>	<b>34</b>	<b>19</b>	<b>55.9%</b>	<b>15</b>	<b>44.1%</b>	<b>100%</b>
<b>TOTAL</b>	<b>2785</b>	<b>2143</b>	<b>76.9%</b>	<b>642</b>	<b>23.05%</b>	<b>100%</b>

**PERSONNEL ACTIVITIES**

**TABLE 5A - NEW HIRES AGENCY-WIDE - FY 2016 end JUNE 30, 2016**

JOB CATEGORIES	TOTAL NON- (COL. B-K)				MALE				FEMALE												
	HISPA. ORIGIN		BLACK		HISPA- NIC		BLACK		HISPA - NIC		BLACK										
	A	B	%	C	%	D	%	E	%	F	%	G	%	H	%	I	%	J	%	K	%
OFFICIALS AND ADMINISTRATOR	4	1	25.0%	1	25.0%	0	0.0%	0	0.0%	0	0.0%	2	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	15	11	73.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	3	20.0%	0	0.0%	0	0.0%	1	6.7%	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%
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	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	13	3	23.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	9	69.2%	0	0.0%	1	8%	0	0.0%	0	0.0%
SKILLED CRAFT	50	48	96.0%	0	0.0%	1	2.0%	0	0.0%	1	2.0%	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%
<b>TOTAL FULL TIME</b>	<b>89</b>	<b>70</b>	<b>78.7%</b>	<b>1</b>	<b>1.1%</b>	<b>1</b>	<b>1.12%</b>	<b>0</b>	<b>0.0%</b>	<b>1</b>	<b>1.1%</b>	<b>14</b>	<b>15.7%</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>

<b>SUMMARY OF NEW HIRES - JUNE 30, 2016</b>			
<b>TOTAL</b>	<b>MALE</b>	<b>FEMALE</b>	
NON-HISPANIC ORIGIN/WHITE	70	83.3%	14 16.67%
BLACK	1	100%	0 0.0%
HISPANIC	2	1 50.0%	1 50.0%
ASIAN OR PACIFIC ISLANDER	1	0 0.0%	1 100%
AMER INDIAN OR ALASKAN	1	1 100%	0 0.0%
<b>TOTAL</b>	<b>89</b>	<b>73 82.0%</b>	<b>16 17.98%</b>

TABLE 5B - PROMOTIONS AGENCY-WIDE - FY 2016 end JUNE 30, 2016 PERSONNEL ACTIVITIES

JOB CATEGORIES	TOTAL NON- (COL. B-K)		MALE						FEMALE								
	A	B	WHITE		BLACK		D	E	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE	NON- HISPANIC ORIGIN	WHITE	BLACK	HISPA - NIC	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE	
			%	%	%	%											%
OFFICIALS AND ADMINISTRATOR	11	8	72.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	3	27.3%	0	0.0%	0	0.0%
PROFESSIONALS	14	8	57.1%	0	0.0%	1	7.1%	0	0.0%	0	0.0%	5	35.7%	0	0.0%	0	0.0%
TECHNICIANS	9	8	88.9%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	11.1%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	3	3	100%	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
ADMINISTRATIVE SUPPORT	17	2	11.8%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	15	88.2%	0	0%	0	0.0%
SKILLED CRAFT	27	25	92.6%	0	0.0%	1	3.7%	0	0.0%	0	0.0%	1	3.7%	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%
<b>TOTAL FULL TIME</b>	<b>82</b>	<b>55</b>	<b>67.1%</b>	<b>0</b>	<b>0.0%</b>	<b>2</b>	<b>2.44%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>25</b>	<b>30.5%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>

SUMMARY OF PROMOTIONS - JUNE 30, 2016			
TOTAL	MALE	FEMALE	TOTAL %
NON-HISPANIC ORIGIN/ WHITE	55	25	31.25%
BLACK	0	0	0.0%
HISPANIC	2	0	0.0%
ASIAN OR PACIFIC ISLANDER	0	0	0.0%
AMER. INDIAN OR ALASKAN	0	0	0.0%
<b>TOTAL</b>	<b>57</b>	<b>25</b>	<b>30.5%</b>

PERSONNEL ACTIVITIES

TABLE 5C - TRAINING AGENCY-WIDE - FY 2016 end JUNE 30, 2016

JOB CATEGORIES	MALE						FEMALE						
	TOTAL (COL. B-K)	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.	NON-HISPA. ORIGIN WHITE	BLACK	HISPA./LATIN	ASIAN	AMER. INDIAN or ALASK. NAT.		
OFFICIALS AND ADMINISTRATOR	726	489	67.4%	13	1.8%	3	0.4%	0	0.0%	2	0.3%	2	0.3%
PROFESSIONALS	709	494	69.7%	3	0.4%	12	1.7%	10	1.4%	1	0.1%	4	0.6%
TECHNICIANS	636	488	76.7%	12	1.9%	0	0.0%	3	0.5%	4	0.6%	4	0.6%
PROTECTIVE SERVICE	77	70	90.9%	1	1.3%	0	0.0%	0	0.0%	1	1.3%	1	1.3%
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
ADMINISTRATIVE SUPPORT	583	52	8.9%	8	1.4%	2	0.3%	2	0.3%	0	0.0%	4	0.7%
SKILLED CRAFT	7567	7162	94.6%	64	0.8%	79	1.0%	13	0.2%	101	1.3%	138	1.8%
SERVICE MAINTENANCE	393	325	82.7%	1	0.3%	0	0.0%	1	0.3%	4	1.0%	62	15.8%
<b>*TOTAL</b>	<b>10691</b>	<b>9080</b>	<b>84.9%</b>	<b>102</b>	<b>1.0%</b>	<b>96</b>	<b>0.9%</b>	<b>29</b>	<b>0.3%</b>	<b>113</b>	<b>1.1%</b>	<b>1208</b>	<b>11.3%</b>

**SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2016**

	TOTAL	MALE	FEMALE	TOTAL %
NON-HISPA. ORIGIN/WHITE	10288	9080	1208	11.7%
BLACK	113	102	11	9.7%
HISPANIC LATIN	104	96	8	7.7%
ASIAN	57	29	28	49.1%
AMER INDIAN OR ALASKAN	128	113	15	11.7%
HAWAIIAN - PAC. IS.	0	0	0	0.0%
TWO PLUS RACE	1	1	0	0.0%
<b>*TOTAL</b>	<b>10691</b>	<b>9421</b>	<b>1270</b>	<b>11.9%</b>

JOB CATEGORIES	MALE				FEMALE			
	TOTAL (COL. B-O)	HAWAIIAN - PACIFIC ISLANDER	TWO PLUS RACE	TWO PLUS RACE	HAWAIIAN - PACIFIC IS.	TWO PLUS RACE	TWO PLUS RACE	TWO PLUS RACE
OFFICIALS AND ADMINISTRATOR	726	0	0.0%	0	0.0%	0	0.0%	0
PROFESSIONALS	709	0	0.0%	0	0.0%	0	0.0%	0
TECHNICIANS	636	0	0.0%	0	0.0%	0	0.0%	0
PROTECTIVE SERVICE	77	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
ADMINISTRATIVE SUPPORT	583	0	0.0%	0	0.0%	0	0.0%	0
SKILLED CRAFT	7567	0	0.0%	1	0.0%	0	0.0%	0
SERVICE MAINTENANCE	393	0	0.0%	0	0.0%	0	0.0%	0
<b>*TOTAL</b>	<b>10691</b>	<b>0</b>	<b>0.0%</b>	<b>1</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>

\* TOTAL COUNTS ARE BASED ON THE NUMBER OF TRAINING COURSES TAKEN DURING THE FISCAL YEAR BY JOB CATEGORY, GENDER AND RACE/ETHNICITY.

PERSONNEL ACTIVITIES  
 TABLE 5D - TERMINATIONS AGENCY-WIDE - FY 2016 end JUNE 30, 2016

JOB CATEGORIES	TOTAL NON- (COL. B-K)		MALE				FEMALE														
	NON- HISPA. ORIGIN	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											
	A	B	%	D	%	E	%	F	%	G	%	H	%	I	%	J	%	K	%		
OFFICIALS AND ADMINISTRATOR	23	14	60.9%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	9	39.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	25	14	56.0%	0	0.0%	2	8.0%	0	0.0%	8	32.0%	0	0.0%	0	0.0%	1	4.0%	0	0.0%	0	0.0%
TECHNICIANS	9	7	77.8%	0	0.0%	1	11.1%	0	0.0%	1	11.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	8	6	75.0%	0	0.0%	0	0.0%	0	0.0%	2	25.0%	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	26	3	11.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	22	84.6%	1	3.8%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	69	62	89.9%	0	0.0%	2	2.9%	0	0.0%	5	7.2%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE	6	2	33.3%	0	0.0%	0	0.0%	0	0.0%	4	66.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>TOTAL FULL TIME</b>	<b>166</b>	<b>108</b>	<b>65.1%</b>	<b>0</b>	<b>0.0%</b>	<b>3</b>	<b>1.8%</b>	<b>2</b>	<b>1.2%</b>	<b>0</b>	<b>0.0%</b>	<b>51</b>	<b>30.7%</b>	<b>1</b>	<b>0.6%</b>	<b>1</b>	<b>0.6%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>

SUMMARY OF TERMINATIONS - JUNE 30, 2016					
TOTAL	MALE	FEMALE			
NON-HISPANIC ORIGIN/ WHITE	108	67.9%	51	32.08%	100%
BLACK	1	0	0.0%	1	100%
HISPANIC	3	3	100%	0	0%
ASIAN OR PACIFIC ISLANDER	3	2	0.0%	1	0%
AMER. INDIAN OR ALASKAN	0	0	0.0%	0	0%
<b>TOTAL</b>	<b>166</b>	<b>113</b>	<b>68.07%</b>	<b>53</b>	<b>31.93%</b>

TABLE 5E - DEMOTIONS AGENCY-WIDE - FY 2016 end, JUNE 30, 2016  
PERSONNEL ACTIVITIES

JOB CATEGORIES	MALE											FEMALE													
	TOTAL NON- (COL. B-K) ORIGIN			HISPA- NIC			ASIAN OR PACIFIC ISLANDER			AMER. INDIAN OR ALASKAN NATIVE			NON- HISPA. ORIGIN			HISPA- NIC			ASIAN OR PACIFIC ISLANDER			AMERI. INDIAN OR ALASKAN NATIVE			
	A	B	%	C	%	D	%	E	%	F	%	G	%	H	%	I	%	J	%	K	%	L	%		
OFFICIALS AND 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%	0	0.0%	0	0.0%
PROFESSIONALS	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
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		
ADMINISTRATIVE SUPPORT	1	1	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	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	0.0%	0	0.0%
SERVICE MAINTENANCE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>TOTAL FULL TIME</b>	<b>3</b>	<b>3</b>	<b>100%</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>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>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>		

SUMMARY OF DEMOTIONS - JUNE 30, 2016			
TOTAL	MALE	%	FEMALE
NON-HISPANIC ORIGIN/ WHITE	3	100%	0
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>3</b>	<b>100%</b>	<b>0</b>

TABLE 5F - REALLOCATIONS AGENCY-WIDE - FY 2016 end JUNE 30, 2016  
PERSONNEL ACTIVITIES

JOB CATEGORIES	TOTAL NON- (COL. B-K)		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	31	20	64.5%	0.0%	0.0%	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	11	35%	0	0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	11	4	36.4%	0	0.0%	1	9.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	5	45%	0	0.0%	0	0.0%	1	9%	0	0.0%	
TECHNICIANS	3	3	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0%	0	0%	0	0%	0	0.0%	0	0.0%	
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	4	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	4	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
SKILLED CRAFT	6	6	100%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
SERVICE MAINTENANCE	1	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
<b>TOTAL FULL TIME</b>	<b>56</b>	<b>33</b>	<b>58.9%</b>	<b>0</b>	<b>0.0%</b>	<b>1</b>	<b>1.8%</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>21</b>	<b>37.5%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>1</b>	<b>1.8%</b>	<b>0</b>	<b>0.0%</b>	

SUMMARY OF REALLOCATIONS - JUNE 30, 2016		
TOTAL	MALE	FEMALE
NON-HISPANIC ORIGIN/WHITE	33	61.1%
BLACK	0	0.0%
HISPANIC	1	0.0%
ASIAN OR PACIFIC ISLANDER	1	100%
AMER. INDIAN OR ALASKAN	0	0.0%
<b>TOTAL</b>	<b>34</b>	<b>60.71%</b>

**PERSONNEL ACTIVITIES**

**TABLE 5G - TRANSFERS AGENCY-WIDE - FY 2016 end JUNE 30, 2016**

JOB CATEGORIES	TOTAL NON- (COL. B-K)		MALE				FEMALE				AMER. INDIAN OR ALASKA NATIVE	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKA NATIVE				
	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		
OFFICIALS AND ADMINISTRATOR	5	3	60.0%	0	0.0%	0	0.0%	0	0.0%	2	40.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	7	6	85.7%	0	0.0%	0	0.0%	1	14.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TECHNICIANS	2	2	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	2	2	100%	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
ADMINISTRATIVE SUPPORT	3	1	33.3%	0	0.0%	0	0.0%	0	0.0%	2	66.7%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	23	22	95.7%	1	4.3%	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%
<b>TOTAL FULL TIME</b>	<b>42</b>	<b>36</b>	<b>85.7%</b>	<b>1</b>	<b>2.4%</b>	<b>0</b>	<b>0.0%</b>	<b>1</b>	<b>2.4%</b>	<b>0</b>	<b>0.0%</b>	<b>4</b>	<b>9.5%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>

SUMMARY OF TRANSFERS - JUNE 30, 2016						
TOTAL	MALE	%	FEMALE			
NON-HISPANIC ORIGIN/WHITE	40	36	90.0%	4	10.0%	100%
BLACK	1	1	100%	0	0.0%	100%
HISPANIC	0	0	0.0%	0	0.0%	0%
ASIAN OR PACIFIC ISLANDER	1	1	0.0%	0	0.0%	0%
AMER INDIAN OR ALASKAN	0	0	0.0%	0	0.0%	0%
<b>TOTAL</b>	<b>42</b>	<b>38</b>	<b>90.5%</b>	<b>4</b>	<b>9.52%</b>	<b>100%</b>

PERSONNEL ACTIVITIES  
 TABLE 5H - REINSTATEMENT AGENCY-WIDE - FY 2016 end JUNE 30, 2016

JOB CATEGORIES	TOTAL NON- (COL. B-K) ORIGIN		MALE					FEMALE						
	A	B	WHITE		BLACK		D	E	F	G	H	I	J	K
			%	%	%	%								
OFFICIALS AND ADMINISTRATOR	0	0	0.0%	0.0%	0	0	0.0%	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	1	0	0.0%	0.0%	0	0	0.0%	0.0%	0	0.0%	0	0.0%	1	0.0%
TECHNICIANS	1	1	100%	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%
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	0	0	0.0%	0.0%	0	0	0.0%	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	1	1	100%	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%
<b>TOTAL FULL TIME</b>	<b>3</b>	<b>2</b>	<b>66.7%</b>	<b>0.0%</b>	<b>0</b>	<b>0</b>	<b>0.0%</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>1</b>	<b>33%</b>

SUMMARY OF REINSTATEMENT - JUNE 30, 2016		
TOTAL	MALE	FEMALE
NON-HISPANIC ORIGIN/ WHITE	2	100%
BLACK	0	0%
HISPANIC	0	0%
ASIAN OR PACIFIC ISLANDER	1	0%
AMER. INDIAN OR ALASKAN	0	0%
<b>TOTAL</b>	<b>3</b>	<b>33.33%</b>

DISCIPLINARY ACTIONS AGENCYWIDE

TABLE 51 - FISCAL YEAR 2016 which ended JUNE 30, 2016

JOB CATEGORIES	TOTAL (COL. B-K)	MALE						FEMALE													
		NON-HISPA. ORIGIN	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								
	A	B	%	C	%	D	%	E	%	F	%	G	%	H	%	I	%	J	%	K	%
OFFICIALS AND ADMINISTRATOR	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	0.0%
PROFESSIONALS	9	7	77.8%	0	0.0%	0	0.0%	1	0.0%	0	0.0%	1	11.1%	0	0.0%	0	0%	0	0.0%	0	0.0%
TECHNICIANS	5	5	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	2	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	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	14	3	21.4%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	11	78.6%	0	0.0%	0	0%	0	0.0%	0	0.0%
SKILLED CRAFT	17	13	76.5%	1	5.9%	0	0.0%	0	0.0%	1	5.9%	2	11.8%	0	0.0%	0	0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE	3	2	66.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	33.3%	0	0.0%	0	0%	0	0.0%	0	0.0%
<b>TOTAL FULL TIME</b>	<b>51</b>	<b>30</b>	<b>58.8%</b>	<b>1</b>	<b>2.0%</b>	<b>0</b>	<b>0.0%</b>	<b>1</b>	<b>2.0%</b>	<b>1</b>	<b>2.0%</b>	<b>18</b>	<b>35.3%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>

SUMMARY OF DISCIPLINARY ACTIONS - JUNE 30, 2016			
TOTAL	MALE	%	FEMALE
NON-HISPANIC ORIGIN/WHITE	48	62.5%	18
BLACK	1	100%	0
HISPANIC	0	0.0%	0
ASIAN OR PACIFIC ISLANDER	1	0.0%	0
AMER. INDIAN OR ALASKAN	1	0.0%	0
<b>TOTAL</b>	<b>51</b>	<b>64.7%</b>	<b>18</b>

NET CHANGES IN EMPLOYMENT FOR FY 15 AND FY 16  
IOWA DEPARTMENT OF TRANSPORTATION  
AGENCY WIDE

TABLE 6

EEO Category	FY 15				FY 16			
	TOTAL EEs	MIN MALE EEs	MIN FEM EEs	%	TOTAL EEs	MIN MALE EEs	MIN FEM EEs	%
01 Officials/Admin	288	8	5	2.78%	293	8	5	2.73%
02 Professionals	449	22	9	4.90%	433	23	10	5.31%
03 Technicians	235	12	0	5.11%	228	11	0	4.82%
04 Protective Services	115	4	0	3.48%	113	4	0	3.54%
05 Para Professionals	NA	NA	NA	NA	NA	NA	NA	NA
06 Admin Support	379	6	13	1.58%	353	5	13	1.42%
07 Skilled Craft	1308	46	1	3.52%	1272	46	1	3.62%
08 Service/Maint	99	4	0	4.04%	93	4	0	4.30%
<b>Total</b>	<b>2873</b>	<b>102</b>	<b>28</b>	<b>3.55%</b>	<b>2785</b>	<b>101</b>	<b>29</b>	<b>3.63%</b>

NET DIFF 2015 AND 2016											
EEO Category	TOTAL EEs	MIN EEs	MIN EEs	%	MIN FEM EEs	MIN FEM EEs	%	FY 2016		FY 2015 (+Gain/ - Loss)	
								MIN MALE EEs	MIN FEMALE EEs	MIN MALE EEs	MIN FEMALE EEs
01 Officials/Admin	5	0	0	0.00%	0	6	2.08%	101	102	-1	-1
02 Professionals	-16	1	1	0.22%	-9	-9	-7.56%	29	28	1	1
03 Technicians	-7	-1	0	-0.43%	-3	-3	-6.98%	615	643	-28	-28
04 Protective Services	-2	0	0	0.00%	0	0	0.00%	2040	2100	-60	-60
05 Para Professionals	NA	NA	NA	NA	NA	NA	NA	2785	2873	-88	-88
06 Admin Support	-26	-1	0	-0.26%	-17	-17	-5.35%				
07 Skilled Craft	-36	0	0	0.00%	-2	-2	-6.90%				
08 Service/Maint	-6	0	0	0.00%	-3	-3	-12.00%				
<b>Total</b>	<b>-88</b>	<b>-1</b>	<b>1</b>	<b>-0.03%</b>	<b>-28</b>	<b>-28</b>	<b>-4.35%</b>	<b>TOTAL</b>	<b>2785</b>	<b>2873</b>	<b>-88</b>

**SECTION 5**

**SETTING GOALS AND TIMETABLES**



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

The DOT continued implementation of the Operations and Finance Division's established strategy of restructuring its hiring process with the goals of:

- Reducing the number of variables and being more consistent in our hiring;
- Increasing the number of minority and disabled employees from 4.5% to 6.5%;
- Increasing the number of female employees from 25% to 40%;
- Reducing the time needed to hire.

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

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

The relevant data has been identified and obtained and the necessary reports are included in this report (see Section 5A - FY 2017 Hiring Goals for Targeted Underutilized DOT Job Classes; Section 5B – FY 2016 DOT Job Class Underutilization Report).

IOWA DEPARTMENT OF TRANSPORTATION

SECTION 5A

Hiring Goals for Targeted Underutilized Job Classes/AA Plan				Fiscal Year 2017				PERSON with DISABILITY *UU
EEO CATEGORY	JOB CLASS CODE	JOB CLASS	FEMALE *UU	GOAL	MINORITY *UU	GOAL	** GOAL (F, M)	
<b>1 Official/Admin.</b>								Based on Workforce Aggregate, all job classes are Underutilized
	00711	Executive Officer 2	Yes	1				
<b>2 Professional</b>								
	00120	IT Specialist 3	Yes		Yes		1	
	00121	IT Specialist 4	Yes		Yes		1	
	00122	IT Specialist 5	Yes		Yes		4	
	00311	Accountant 2	Yes	1				
	04051	Transportation Planner 2			Yes	1		
	04241	Land Surveyor Senior	Yes	1				
<b>3 Technical</b>								
	04342	Materials Technician 3	Yes		Yes		1	
	04353	Materials Technician 5	Yes		Yes		1	
	04372	Design Technician Specialist	Yes		Yes		1	
<b>4 Protective Service</b>								
	86360	Motor Vehicle Officer	Yes	1	Yes	1		
	86361	Motor Vehicle Sergeant	Yes	1	Yes	1		
	86362	Motor Vehicle Captain	Yes	1	Yes	1		
<b>6 Admin. Support</b>								
	00018	Clerk Specialist			Yes	1		
	08140	Parts Worker	Yes	1				
<b>7 Skilled Craft</b>								
	08117	Highway Maint. Supervisor	Yes	1				
	08121	Highway Technician Associate	Yes	9				
	08122	Highway Technician	Yes	3				
	08123	Highway Technician Senior	Yes	2				
	08375	Mechanic	Yes		Yes		1	
<b>8 Service/Maintenance</b>								
	04320	Construction Technician			Yes	1		
<b>TOTAL</b>	<b>38</b>			<b>22</b>		<b>6</b>	<b>10</b>	
<b>Note: EEO Category 5 is not used by the state.</b>								
<b>* UU = Underutilization</b>		<b>** GOAL: F= Female and/or M= Minority</b>						

## Job Class Underutilization Report

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

- F - Female underutilization
- M - Minority underutilization
- F, M - Both Female and Minority underutilization

(Note: DOT Job Classes with no underutilization are not included in this list.)

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

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

### **EEO CATEGORY 1 -OFFICIALS AND MANAGERS**

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

1 0430 00127	INFO TECH ADMIN 2	F
1 0430 00127	INFO TECH ADMIN 3	F
1 0430 00710	EXEC OFF 1	F
1 0430 00711	EXEC OFF 2	F
1 0430 00712	EXEC OFF 3	F
1 0430 00781	PUBLIC SERVICE SUPERVISOR	F
1 0430 00784	PUBLIC SERVICE MANAGER 1	F
1 0430 00786	PUBLIC SERVICE MANAGER 2	F
1 0430 00787	PUBLIC SERVICE EXECUTIVE	F
1 0430 04247	TRANSPORTATION ENGINEER MANAGER	F
1 0430 04248	TRANSPORTATION ENGINEER ADMINISTRATOR	F
1 0430 04249	TRANSPORTATION ENGINEER EXEC	F
1 0430 04251	TRANSPORTATION DIV DIRECTOR	F

### **EEO CATEGORY 2 – PROFESSIONAL**

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

2 0800 00309	ACCOUNTANT/AUDITOR 1	F
2 0800 00311	ACCOUNTANT 2	F
2 0800 00312	ACCOUNTANT 3	F
2 0800 00327	FIELD AUDITOR	F
2 0800 00344	REVENUE AUDITOR 3	F
2 1007 00119	INFO TECH SPECIALIST 1	F, M
2 1007 00119	INFO TECH SPECIALIST 2	F, M

2 1007 00120 INFO TECH SPECIALIST 3	F, M
2 1007 00121 INFO TECH SPECIALIST 4	F, M
2 1007 00122 INFO TECH SPECIALIST 5	F, M
2 1300 04236 ROADSIDE DEVELOPMENT SPEC 2	M
2 1300 04237 ROADSIDE DEVELOPMENT SPEC 3	M
2 1310 04240 LAND SURVEYOR	F
2 1310 04241 LAND SURVEYOR SENIOR	F
2 1310 04330 SURVEYS MANAGER	F
2 1840 04022 PROGRAM PLANNER 1	M
2 1840 04022 PROGRAM PLANNER 2	M
2 1840 04023 PROGRAM PLANNER 3	M
2 1840 04049 TRANSPORTATION PLANNER 1	M
2 1840 04051 TRANSPORTATION PLANNER 2	M
2 1840 04052 TRANSPORTATION PLANNER 3	M
2 1840 04054 TRANSPORTATION PLANNER 4	M
2 2630 08518 GRAPHIC ARTIST	F

### **EEO CATEGORY 3 – TECHNICIANS**

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

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

### **EEO CATEGORY 4 - PROTECTIVE SERVICE: SWORN**

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

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

## EEO CATEGORY 6 - ADMINISTRATIVE SUPPORT

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

6 5620 00237 STOREKEEPER 3	F, M
6 5620 08140 PARTS WORKER	F, M
6 5820 00013 TYPIST-ADVANCED	M
6 5850 00260 MAIL CLERK 1	F
6 5850 00261 MAIL CLERK 2	F
6 5860 00017 CLERK-ADVANCED	M
6 5860 00018 CLERK-SPECIALIST	M
6 5860 04380 ENGINEERING OFFICE ASST 1	M
6 5860 04381 ENGINEERING OFFICE ASST 2	M

## EEO CATEGORY 7 - SKILLED CRAFT

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

7 6200 04321 CONSTRUCTION TECHNICIAN SENIOR	M
7 6200 04322 CONSTRUCTION TECHNICIAN SUPRVSR	M
7 6730 08113 EQUIPMENT OPERATOR SENIOR	F
7 6730 08115 GARAGE OPERATIONS ASSISTANT	F
7 6730 08121 HIGHWAY TECHNICIAN ASSOCIATE	F
7 6730 08122 HIGHWAY TECHNICIAN	F
7 6730 08123 HIGHWAY TECHNICIAN SR	F
7 7000 08117 HIGHWAY MAINTENANCE SUPERVISOR	F
7 7000 08385 AUTOMOTIVE SHOP SUPERVISOR	F
7 7020 04736 COMMUNICATIONS TECHNICIAN 1	F, M
7 7020 04736 COMMUNICATIONS TECHNICIAN 2	F, M
7 7020 04737 COMMUNICATIONS TECHNICIAN 3	F, M
7 7210 08375 MECHANIC	F, M
7 7210 08390 DISTRICT MECHANIC	F, M
7 7340 08006 MAINTENANCE WORKER 2	M
7 7340 08012 FACILITIES MAINTENANCE COORD	M
7 7340 08016 MAINTENANCE REPAIRER	M

## EEO CATEGORY 8 - SERVICE AND MAINTENANCE

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

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



## **SECTION 6**

# **MANAGERS AND SUPERVISORS AFFIRMATIVE ACTION RESPONSIBILITY AND ACCOUNTABILITY**



## **Responsibilities of Managers and Supervisors**

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

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

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



## **SECTION 7**

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



## Position Description Review and Hiring Practices

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

### A. Job Classes

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

### B. Position Description Questionnaire (PDQ)

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

### C. Responsibilities

Employees shall:

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

Managers/Supervisors shall:

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

Division Director shall:

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

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

OES shall:

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

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

A. Preparing to fill a vacancy

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

## B. Screening and Interviewing Applicants

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

## C. Restructuring the DOT's hiring process

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



## **SECTION 8**

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



## Recruitment

The Office of Employee Services shall:

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

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

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

*Proactive Minority Community Involvement:*

- The DOT also continues to develop and maintain a community presence by participation in minority community events. Examples of events with emphasis on diversity outreach that the DOT continues to participate in are:
  - Iowa Latino Conference and Iowa Latino Conference Planning Committee
  - Iowa State Conference On Race and Ethnicity (ISCORE)
  - I'll Make Me a World in Iowa
  - Central Iowa SHRM 2015 Iowa Career Expo
  - Greater Des Moines Partnership's Quarterly Multicultural Receptions
  - Iowa Juneteenth celebration festival in Des Moines
  - CelebrAsian
  - Latinos Unidos Job Resource Fair
  - Latino Heritage Festival
  - Hawkeye Community College: Diversity in STEM Conference; building pipelines to access and inclusion
  - University of Iowa College of Engineering Diversity Networking Reception
  - Presentation by DOT staff to Iowa State University APEX for Engineers (helps incoming multicultural students adjust to university life)
  
- Additionally, the DOT continues to participate in the following outreach events (not all inclusive):
  - Iowa State University Fall Engineering and Business Career Fairs
  - University of Iowa Fall Engineering and Business Career Fairs
  - Iowa State University Spring Engineering Fair
  - Iowa State University Jump-Start Internship and Networking Fair (Greenlee School of Journalism)
  - Iowa State University Engineering Scholar Day
  - Iowa State University College of Design Career Fair
  - University of Iowa Spring Engineering Fair
  - University of Wisconsin Platteville Spring Career Fair
  - University of Iowa College of Engineering Diversity Networking Event
  - University of Northern Iowa Fall Career Fair
  - University of Northern Iowa Spring Career Fair
  - Hawkeye Community College Career Fair
  - DMACC Career Fair
  - Colo-Nesco STEM fair K-6<sup>th</sup> grade
  - Iowa Black Business Summit
  - Iowa Immigrant Entrepreneur Summit
  - Indian Hills & Iowa Works-Southern Iowa career fair
  - Veteran's Career Fair events in Iowa City, Des Moines & Marshalltown
  - Building Diversity Networking Expo
  - Women and Heavy Equipment Operator Training (Hawkeye Community College)
  - Summit on the Black Male held at the University of Northern Iowa campus
  - Diversity Career Fair, Johnston, IA, via the Greater Des Moines Partnership

*Collaborative efforts with other state agencies and entities:*

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

*Statewide Advertisement Campaign:*

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

*Utilization of web technology:*

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



## **SECTION 9**

# **RETENTION, PROMOTION AND TRAINING PROGRAMS**



## Retention

- The DOT's Management Team continues to design, develop and deliver approaches best suited for effective employee retention initiatives in the following areas:
  - Employee Interaction and Development:  
Career development opportunities; regular feedback; a chance to contribute directly to the organization and be recognized for doing so; flexible work schedules that recognize the need for work/life balance; a good salary or wage and an opportunity to increase it over time; and benefits tailored to individual employee's needs.
  - Recognition – the DOT recognizes employees who have reached milestones in their service through monthly service award updates and personnel updates of new hires, promotions and transfers. The DOT began using the Helmet Sticker Display tool which allows any employee to recognize other employees and to be recognized on the focused core values: Safety; Respect; Integrity; Teamwork; and Leadership as established in DOT's 2014 Strategic Plan.
  - Decision Making – enhanced decision making through improved information management.
  - Trust – the DOT's Strategic Plan is on-going and will continue to implement the key initiatives. Initiatives for change will be worked on one at a time basis.
- The DOT conducts exit interviews with employees who leave the DOT to seek input regarding their experience working with the DOT. Results from the Telephonic Exit interviews were compiled and forwarded to appropriate management (see Telephonic Exit Interview results in Section 11).

Other key retention strategies/employment practices:

- Recruitment and hiring – spending time and effort on recruitment to yield better matches between employees' knowledge, skills and abilities and the organization, thus, turnover would less likely be an issue.
- Orientation - The DOT provides new employee orientation every 60 days involving a Management Team member and OES Director welcoming the employees. Treating employees right in the critical early stages of employment has been proven to enhance retention.
- Training and development – these factors help employees grow with the DOT and to stay competent and marketable in their field.
- Performance evaluation – both employees and the DOT benefit when employees know what they are doing well and where they need to improve.
- Pay and benefits – good pay and benefits count.
- Internal communication – various internal management communication will continue to be utilized such as face-to-face/video communication among all members of the DOT team, and employees are reminded on a regular basis to submit their questions via the DOT's website through the "Team Building Thursday" (TBT) website. DOT recognizes that effective communication can help ensure that employees want to stay with the department.

- Termination and outplacement – DOT will continue to ensure that employees who leave in good terms are much more likely to recommend the DOT, and in doing so would help attract and retain future employees.
- The DOT will continue engaging employees to increase retention. To ensure ongoing engagement, the DOT will need to continue on these strategies:
  - To be clear on its mission and vision.
  - Communicate well and often.
  - Understand generational differences.
  - Remind employees to submit questions and that their input is important.
  - Empower all employees to do their best by providing the leadership, resources, and training that they need to realize their potential.
- The DOT continues to deliver the approved On-boarding Partnership and Mentoring Program.

### **Promotion**

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

### **Training**

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

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



## **SECTION 10**

# **SYSTEM OF MONITORING AND MEASURING PROGRESS**



## **Program Monitoring**

### EEO Tracking Procedures

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

## Summary of Employment Activities

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

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

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

## WORK FLOW ANALYSIS

### Gender

#### Department Level

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

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

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

#### Category Level

##### *Application to Referral Stage*

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated equitable progress in the “application to referral” stage in the Professional (02), Technician (03), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “application to referral” stage in the Officials and Administrators (01) category.

Results from the “two standard deviation” test in the “application to referral” stage within the Officials and Administrators (01) category indicated results were within the realm of random occurrence. It should be noted that DAS-HRE has sole responsibility over the “application to referral” stage.

##### *Referral to Interview Stage*

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

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

Results from the “two standard deviation” test indicated results in the Professional (02), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories were all within the realm of random occurrence.

### *Interview to Hire Stage*

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated equitable progress on the “interview to hire” stage in the Administrators (01), Technician (03), Administrative Support (06), and Skilled Craft (07) 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 Professional (02), Protective Service: Sworn (04), and Maintenance (08) categories.

Results from the “two standard deviation test” indicated results in the Professional (02), Protective Service: Sworn (04), and Maintenance (08) categories were all within the realm of random occurrence.

### **Comments**

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

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

### **Ethnicity**

#### Department Level

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

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

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

## Category Level

### *Application to Referral Stage*

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated equitable progress in the “application to referral” stage in the Officials and Administrators (01), Professional (02), Protective Service: Sworn (04), Administrative Support (06) and 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 minorities indicated a need for further statistical analysis in the “application to referral” stage in the Technician (03) category. Results from the “two standard deviation” test indicated results in the Technician (03) category were within the realm of random occurrence. It should be noted that DAS-HRE has sole responsibility over the “application to referral” stage.

### *Referral to Interview Stage*

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated equitable progress in the “application to referral” stage in the Professional (02) and Service and Maintenance (08) categories.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated a need for further statistical analysis for the “referral to interview” stage in the Administrators (01), Technician (03), Protective Service: Sworn (04), Administrative Support (06), and Skilled Craft (07) categories.

Results from the two “standard deviation test” indicated results in the Officials and Administrators (01), Technician (03), Protective Service: Sworn (04), and Administrative Support (06) categories were within the realm of random occurrence.

Results from the “two standard deviation” test in the “referral to interview” stage indicated the Skilled Craft (07) category should be looked at in more detail.

### *Interview to Hire Stage*

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

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities in the “interview to hire” stage indicated a need for further statistical analysis in the Professional (02), Technician (03), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07) and Service and Maintenance (08) categories.

Results from the two “standard deviation test” indicated findings in the “interview to hire” stage for the Professional (02), Technician (03), Protective Service: Sworn (04),

Administrative Support (06), Skilled Craft (07) and Service and Maintenance (08) categories were all within the realm of random occurrence.

## **Comments**

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

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

## **BARRIER ANALYSIS –**

### **Gender**

#### Department Level

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

#### Category Level

First, as reported earlier, an AA/EEO category-level analysis was performed. At the “application to referral” stage, review of “four-fifths” rule results for females indicated equitable progress in all categories with the exception of the Officials and Administrators (01) category where a need for further statistical analysis was indicated. Having passed the “two standard deviation” test, results indicated females did progress equitably through the “application to referral” stage in the Officials and Administrators (01) category. As noted previously, DAS-HRE has sole responsibility over the “application to referral” stage.

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

Review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “interview to hire” stage for the Professional (02), Protective Service: Sworn (04), Maintenance (08) categories. Results of the “two standard deviation” test identified results in all four categories were within the realm of random occurrence.

### Largest Applicant Pool Analysis

Second, an analysis of results was done by splitting applicants into two pools – those applying for positions in the Administrative Support (06) category and those applying for positions outside the category. A total of 843 of the 1,164 (72.4 percent) applications from females seeking employment at the Iowa DOT were for Administrative Support (06) positions.

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

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

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

### **Discussion**

Analyses at the AA/EEO category and largest applicant pool level are consistent in their support of department-level findings in regard to potential barriers for females at the “referral to interview” stage.

It should be noted that within the Administrative Support (06) category, females were shown to progress equitably (having failed the “four-fifths” rule and passed the “two standard deviation” test) with 23 hires from 843 applicants. The 820 females who were eliminated in the hiring process for positions in this category represent seven-tenths (70.4 percent) of the 1,164 female applicants seeking employment at the Iowa DOT and could potentially bias department-level results.

### **Findings**

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

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

In the initial screenings used in the hiring decisions, teams are formed to narrow down the field for the interview process. These teams consist of two to four people for the purpose of achieving objective evaluation or close to being objective. Initial screening scores are determined from the cover letter, resume and responses to questionnaire submitted (if applicable). The team allocates points to the applicants based on how closely their prior education, experience and communication skills relate to the essential job functions. After points are assigned, the team decides on a minimum number of points an applicant must have to move to the interview process, and then they are contacted to set up an interview. Also, for jobs that attract a large number of applicants, many are filtered because they failed to respond to the DOT.

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

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

## **Ethnicity**

### Department Level

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

### Category Level

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

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

Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis in the “interview to hire” stage for the Professional (02), Technician (03), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories. Results of the “two standard deviation” test identified results for all six categories were within the realm of random occurrence.

Given the failure of both the “four-fifths” rule and the “two standard deviation” test, results suggest a potential barrier for employment for minorities in the “refer to interview” stage in the Skilled Craft (07) category.

### Largest Applicant Pool Analysis

Second, an analysis of results was done by splitting the applicants into two pools – those applying for positions in the Administrative Support (06) category and those applying for positions outside the category. A total of 195 of the 432 (45.1 percent) applications from minorities seeking employment at the Iowa DOT were for Administrative Support (06) positions.

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

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

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

### **Discussion**

The results of the category level and largest applicant pool analyses both point to the “refer to interview” stage as an area needing to be looked at in more detail. These findings are consistent with department-level findings in regard to potential barriers to minorities at the “referral to interview” stage. Within the “refer to interview” stage, the Skilled Craft (07) category should also be looked at in more detail.

Another area which may merit attention is the Technician (03) category. Even though the “two standard deviation” test indicated results were within the realm of random occurrence, it is the one category where the “four-fifths” rule failed across all three stages.

### **Findings**

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

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

In the initial screenings used in the hiring decisions, teams are formed to narrow down the field for the interview process. These teams consist of two to four people for the purpose of achieving objective evaluation or close to being objective. Initial screening scores are determined from the cover letter, resume and responses to questionnaire submitted (if applicable). The team allocates points to the applicants based on how closely their prior education, experience and communication skills relate to the essential job functions. After points are assigned, the team decides on a minimum number of points an applicant must have

to move to the interview process, and then they are contacted to set up an interview. Also, for jobs that attract a large number of applicants, many are filtered because they failed to respond to the DOT.

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

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

**FY 2016 ADVERSE IMPACT STUDY – Gender Results Summary – All Stages**

**FEMALES: Overall**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	1,164						
Refer	814	<i>Apply to Refer</i>	91.5%	Yes			
Interview	174	<i>Refer-Interview</i>	51.9%	No	7.90	No	B, C
Hire	38	<i>Interview-Hire</i>	111.7%	Yes			

**FEMALES: Category 1 – Officials & Administrators**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	91						
Refer	49	<i>Apply to Refer</i>	72.1%	No	1.94	Yes	A, E
Interview	15	<i>Refer-Interview</i>	97.5%	Yes			
Hire	5	<i>Interview-Hire</i>	133.3%	Yes			

**FEMALES: Category 2 – Professional.**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	147						
Refer	100	<i>Apply to Refer</i>	88.3%	Yes			
Interview	37	<i>Refer-Interview</i>	76.9%	No	1.35	Yes	A, C
Hire	7	<i>Interview-Hire</i>	62.4%	No	1.12	Yes	A

**FEMALES: Category 3 – Technicians**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	6						
Refer	5	<i>Apply to Refer</i>	129.0%	Yes			
Interview	4	<i>Refer-Interview</i>	93.3%	Yes			
Hire	1	<i>Interview-Hire</i>	90.0%	Yes			

**FEMALES: Category 4 – Protective Service: Sworn**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	30						
Refer	23	<i>Apply to Refer</i>	94.1%	Yes			
Interview	2	<i>Refer-Interview</i>	71.1%	No	0.46	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0%	No	0.80	Yes	A

Note	Comment
A	Results fail the 80% test but passed the 2 standard deviation test.
B	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
C	Given protected class status (PCS) is typically unknown to DOT at this stage.
D	A bubble of female applicants (72.4%) of all female applicants sought Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

**FY 2016 ADVERSE IMPACT STUDY – Gender Results Summary – All Stages**

**FEMALES: Category 6 – Administrative Support**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	843						D
Refer	599	<i>Apply to Refer</i>	113.5%	Yes			
Interview	106	<i>Refer-Interview</i>	76.3%	No	1.53	Yes	A, C
Hire	23	<i>Interview-Hire</i>	162.7%	Yes			

**FEMALES: Category 7 – Skilled Craft**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	38						
Refer	29	<i>Apply to Refer</i>	96.7%	Yes			
Interview	9	<i>Refer-Interview</i>	64.2%	No	1.33	Yes	A, C
Hire	2	<i>Interview-Hire</i>	132.5%	Yes			

**FEMALES: Category 8 – Service & Maintenance**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	9						
Refer	9	<i>Apply to Refer</i>	102.3%	Yes			
Interview	1	<i>Refer-Interview</i>	34.1%	No	1.09	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.38	Yes	A

**FEMALES: Overall without Category 6 – Admin Support**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	321						
Refer	215	<i>Apply to Refer</i>	85.2%	Yes			
Interview	68	<i>Refer-Interview</i>	72.8%	No	2.50	No	B, C
Hire	15	<i>Interview-Hire</i>	110.5%	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 (72.4%) of all female applicants sought Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

## FY 2016 ADVERSE IMPACT STUDY – Minority Results Summary – All Stages

### MINORITIES: Overall

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	432						
Refer	292	<i>Apply to Refer</i>	90.0%	Yes			
Interview	62	<i>Refer-Interview</i>	57.9%	No	4.20	No	B, C
Hire	10	<i>Interview-Hire</i>	79.6%	No	0.70	Yes	A

### MINORITIES: Category 1 – Officials & Administrators

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	24						
Refer	15	<i>Apply to Refer</i>	92.5%	Yes			
Interview	3	<i>Refer-Interview</i>	61.6%	No	0.82	Yes	A, C
Hire	1	<i>Interview-Hire</i>	128.2%	Yes			

### MINORITIES: Category 2 – Professional

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	86						
Refer	60	<i>Apply to Refer</i>	93.4%	Yes			
Interview	23	<i>Refer-Interview</i>	83.9%	Yes			
Hire	5	<i>Interview-Hire</i>	78.4%	No	0.50	Yes	A

### MINORITIES: Category 3 – Technicians

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	9						
Refer	3	<i>Apply to Refer</i>	46.2%	No	1.33	Yes	E
Interview	2	<i>Refer-Interview</i>	77.2%	No	0.36	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.76	Yes	A

### MINORITIES: Category 4 – Protective Service: Sworn

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	26						
Refer	23	<i>Apply to Refer</i>	110.8%	Yes			
Interview	1	<i>Refer-Interview</i>	33.0%	No	1.14	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.54	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 (45.1% of all minority applicants) applied for Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

**FY 2016 ADVERSE IMPACT STUDY – Minority Results Summary – All Stages**

**MINORITIES: Category 6 – Administrative Support**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	195						D
Refer	123	<i>Apply to Refer</i>	90.1%	Yes			
Interview	15	<i>Refer-Interview</i>	59.9%	No	1.90	Yes	A, C
Hire	2	<i>Interview-Hire</i>	67.2%	No	0.55	Yes	A

**MINORITIES: Category 7 – Skilled Craft**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	91						
Refer	67	<i>Apply to Refer</i>	93.2%	Yes			
Interview	17	<i>Refer-Interview</i>	51.3%	No	2.75	No	B, C
Hire	2	<i>Interview-Hire</i>	68.5%	No	0.53	Yes	A

**MINORITIES: Category 8 – Service & Maintenance**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	1						
Refer	1	<i>Apply to Refer</i>	102.0%	Yes			
Interview	1	<i>Refer-Interview</i>	357.1%	Yes			
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.38	Yes	A

**MINORITIES: Overall without Category 6 – Admin Support**

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	237						
Refer	169	<i>Apply to Refer</i>	92.1%	Yes			
Interview	47	<i>Refer-Interview</i>	64.0%	No	2.99	No	B, C
Hire	8	<i>Interview-Hire</i>	83.7%	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 minority applicants (45.1% of all minority applicants) applied for Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test



**SECTION 11**

**EEO COMPLAINTS**  
**PROCEDURES/MECHANISMS**



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

A. Filing EEO/AA complaints within the DOT.

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

B. Filing complaints with external compliance agencies.

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

The AAO:

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

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

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

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

#### C. Filing of Workplace Environment Complaint Processes.

Complaints regarding DOT employees:

- To file a workplace environment complaint, a complainant shall report the inappropriate and/or offensive behavior in writing, including all pertinent details, to an Employee Relations Officer (ERO) in OES (refer to Policy 230.08, *Workplace Environment*, attached as Addendum A-10).
- The ERO shall review the complaint with the immediate supervisor to obtain background and to get input on the situation. However, if the immediate supervisor is the subject of the complaint, the ERO shall, instead, discuss the issue with the next higher level supervisor.
- If the complainant is willing to attempt an alternative dispute resolution process, the ERO and/or the AAO shall work with the appropriate supervisory and non-supervisory staff to determine if there is a feasible alternative dispute resolution process available and if so, facilitate the process.
- If an alternative dispute resolution is not feasible or is unsuccessful and it is determined that an investigation is necessary, the ERO 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 230.09, *Investigations* (refer to Addendum A-8).
- The ERO 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 ERO. The ERO shall schedule a meeting with the person conducting the investigation, other appropriate management staff, and, if applicable, the AAO to review the results of the investigation.
- 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 Policy 230.02, *Discipline and Other Corrective Action* (refer to Addendum A-9).

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

Policy, Responsibilities and Procedures:

I. Policy

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

- Disciplinary action shall be taken only when just cause can be documented.
- The goal of discipline is to correct inefficiency or inappropriate behavior or performance.
- The most appropriate level of discipline is the lowest level which accomplishes the required change.
- All employees shall be treated fairly in matters of discipline.

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

II. Responsibilities

OES shall:

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

III. Procedures

A. Investigation

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

B. Determination of discipline or other corrective action

After the investigative report has been reviewed and approved:

1. OES shall develop a recommendation for discipline or other corrective action and review the recommendation with the:

- Individual conducting the investigation.
  - Assigned DAS-HRE personnel officer.
  - Appropriate DOT management staff.
  - The AAO if the infraction involves a violation of Policy 230.03.
2. OES shall then make the decision on discipline or other corrective action and notify the same persons that were notified in #1 above.
  3. If the supervisor disagrees with the decision for discipline or other corrective action, OES shall work with the appropriate division director to resolve the issue.
  4. If the division director and OES cannot reach agreement, the final decision shall be made by the DOT Director.
  5. Any decision to terminate an employee shall require the approval of the DOT Director.

### C. Discipline

If it is determined that discipline is warranted:

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

TABLE 7

EEO COMPLAINT ANALYSIS REPORT																								
FY 2016 which ended June 30, 2016 (Complaints were filed, carry-over from previous fiscal year(s) and/or closed in FY 2016)																								
Race	Gender	Division	Allegations/ Issues	AGENCY FILED WITH							Complai- nant	Race	Gen- der	Sex	Age	Dis- ability	Natio- nal Ori- gin	Sexual Harass- ment	Color	Polit- ical	Reta- liation	Others	Status	Investi- gating Entity
				Iowa Civil Rights Comm.	EEOC	Cedar Rapids Civil Rights Comm.	Des Moines Human Rights Comm.	Waterloo Human Rights Comm.	US DOT	Subson, Employee														
1	C	F	N/A	Harassment; Employment	9/30/2015	9/30/2015									X								Closed on 03/24/2016. The ICRC will take no further action.	DOT- OES- AAO
2	C	M	Highway	Employment, denied accommodation/ laid-off/failed to recall -perceived disability	12/7/2015	12/7/2015								X									Submitted response to ICRC 02/03/2016.	DOT- OES- AAO
3	B	F	N/A	Public Accommo- dation; denied service and different treatment.	4/3/2015						Customer	X	X					X					Closed on 12/02/2015. The ICRC will take no further action.	MVD & OES- AAO
4	No resp.	M	N/A	Public Accommo- dation	3/3/2015						Customer			X									Closed. The ICRC found the complaint as Non-Jurisdictional effective 10/20/2015.	MVD & OES- AAO
5	B	M	Highway	Employment; failure to promote; retaliation, treated differently; harassment; reduced hours/day	6/17/2008	6/17/2008					Employee	X								X			Closed on 10/27/2015. The ICRC will take no further action.	DOT- OES- AAO
6	B	F	N/A	Public Accommo.	9/22/2015						Customer												Pending with WHRC & ICRC in FY 2016. Closed in FY 2017.	MVD & OES- AAO
7	C	M	N/A	Public Accommo.	4/9/2014						Customer				X								Pending with WHRC & ICRC in FY 2016. Closed in FY 2017.	MVD & OES- AAO

LEGEND: C = CAUCASIAN; B = BLACK; M = MALE; F = FEMALE

## **Exit Interview**

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

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

In FY 2016, a total of 166 employees left the DOT with the breakdown as follows:

53 females: 51 white, 1 Black, 1 Asian

113 males: 108 white, 3 Hispanic, 2 Asian

Seventy-six former employees (28 females; 48 males) participated in the phone exit interviews in FY 2016.

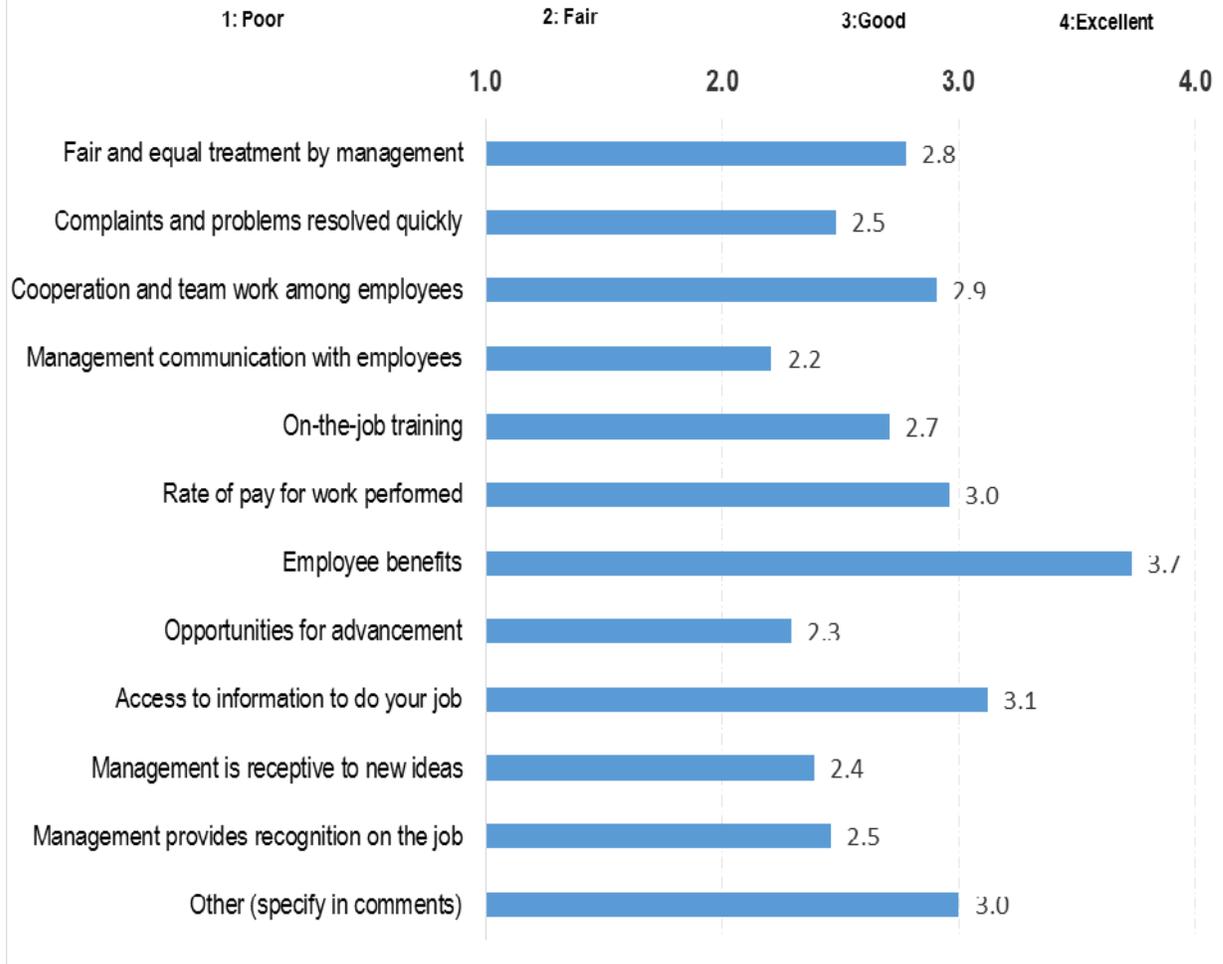
Except for four employees, all employees reached by phone willingly provided responses to the survey questions.

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

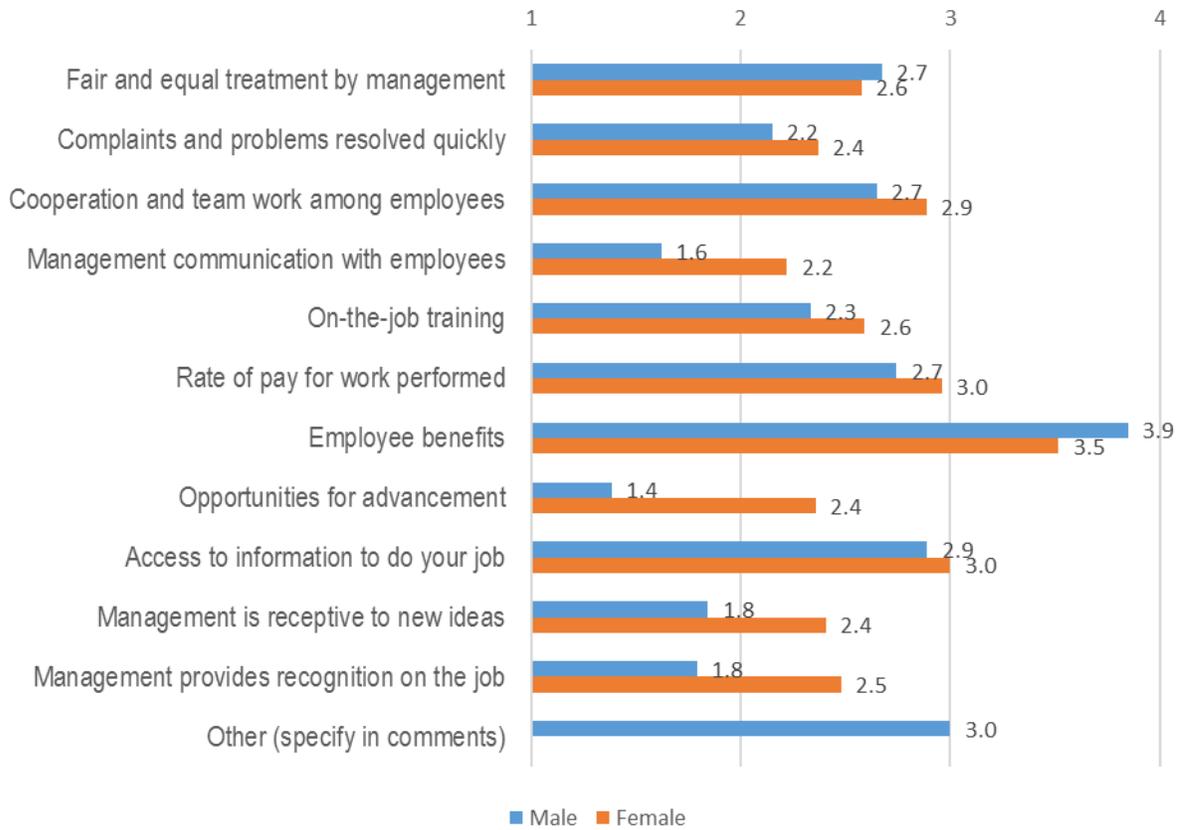
The second chart compares male and female responses to the survey questions. The lower number indicates more people identified an area as less satisfying while working at the DOT. “Management communication with employees” shows to be the main concern for departing employees, followed by “Opportunities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

The former employees were provided a list of factors that might have contributed to their decision to leave the department. The employees were asked to rank the items in order of their importance. Overall, 46 employees (60 percent of the surveyed group) stated that retirement was the primary reason for their decision to leave.

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



**How would you rate the DOT in each of the following areas?  
Average of Male and Female Responses: FY2016 Exit Interviews**



## **PART II**

## **ADDENDA**





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



### Conference objectives

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

Sessions and locations	
7 a.m. - 7:45 a.m.	<b>REGISTRATION, SCHEMAN BUILDING, 1<sup>ST</sup> FLOOR</b> <b>Opening session, Stephens Auditorium</b> <ul style="list-style-type: none"> <li>• Welcome and safety briefing, Charlie Purcell</li> <li>• Presentation of the colors, Motor Vehicle Enforcement Honor Guard</li> <li>• National anthem, Dave Putz and Phil Meraz</li> <li>• Opening remarks, Paul Trombino III</li> <li>• Agenda review and instructions, Charlie Purcell</li> </ul>
8 a.m. - 8:45 a.m.	
9 a.m. - 10 a.m.	<b>CONCURRENT SESSION I, SCHEMAN BUILDING</b> <b>The Future of the Department, Paul Trombino III</b> Benton Auditorium Groups A1 through A5 <b>Breakout discussions</b> <ul style="list-style-type: none"> <li>• Group B1 – Culture, Room 260-262</li> <li>• Group B2 – Performance management, Room 250-252</li> <li>• Group B3 – Leadership, Room 275</li> <li>• Group B4 – Communication, Room 167-171</li> <li>• Group B5 – Strategic planning, Room 175-179</li> </ul>
10 a.m. - 10:30 a.m.	<b>BREAK AND REFRESHMENTS, SCHEMAN BUILDING, 1<sup>ST</sup> FLOOR</b>
10:30 a.m. - 11:30 a.m.	<b>CONCURRENT SESSION II, SCHEMAN BUILDING</b> <b>The Future of the Department, Paul Trombino III</b> Benton Auditorium Groups B1 through B5 <b>Breakout discussions</b> <ul style="list-style-type: none"> <li>• Group A1 – Culture, Room 260-262</li> <li>• Group A2 – Performance management, Room 250-252</li> <li>• Group A3 – Leadership, Room 275</li> <li>• Group A4 – Communication, Room 167-171</li> <li>• Group A5 – Strategic planning, Room 175-179</li> </ul>
11:30 a.m. - 12:50 p.m.	<b>LUNCH, SCHEMAN BUILDING, 1<sup>ST</sup> FLOOR</b>
12:50 p.m. - 1:50 p.m.	<b>CONCURRENT SESSION III, SCHEMAN BUILDING</b> <b>Leading an Adaptable Organization, John Selmer</b> Benton Auditorium Groups A1 through A5 <b>Breakout discussions</b> <ul style="list-style-type: none"> <li>• Group B1 – Culture, Room 260-262</li> <li>• Group B2 – Performance management, Room 250-252</li> <li>• Group B3 – Leadership, Room 275</li> <li>• Group B4 – Communication, Room 167-171</li> <li>• Group B5 – Strategic planning, Room 175-179</li> </ul>
12:50 p.m. - 1:50 p.m.	
2 p.m. - 3 p.m.	<b>CONCURRENT SESSION IV, SCHEMAN CENTER</b> <b>Leading an Adaptable Organization, John Selmer</b> Benton Auditorium Groups B1 through B5 <b>Breakout discussions</b> <ul style="list-style-type: none"> <li>• Group A1 – Culture, Room 260-262</li> <li>• Group A2 – Performance management, Room 250-252</li> <li>• Group A3 – Leadership, Room 275</li> <li>• Group A4 – Communication, Room 167-171</li> <li>• Group A5 – Strategic planning, Room 175-179</li> </ul>
2 p.m. - 3 p.m.	
3 p.m. - 3:30 p.m.	<b>BREAK AND REFRESHMENTS, SCHEMAN BUILDING, 1<sup>ST</sup> FLOOR</b>
3:30 p.m. - 5 p.m.	<b>Closing Session, Stephens Auditorium</b> <ul style="list-style-type: none"> <li>• Breakout session panel discussion</li> <li>• Management Team panel discussion</li> <li>• Closing remarks, Paul Trombino III</li> </ul>

### Session descriptions

#### OPENING SESSION

Paul will provide an update on the status of the strategic plan initiatives, cast a vision for embracing change as an opportunity, and discuss how the Iowa DOT can continue to deliver on its mission to more effectively serve our customers, despite external constraints that are beyond our ability to control.

#### CONCURRENT SESSIONS

**The Future of the Department:** This presentation will expand upon the opening session by further describing the challenges and opportunities the Iowa DOT faces. It will explore what the Iowa DOT of tomorrow may look like and how we can use the present challenges as an opportunity to embrace and accelerate change.

**Leading an Adaptable Organization:** The presentation will build on the morning leadership breakout discussions by further exploring how, as leaders, we can be either the drivers or inhibitors of change. This presentation will also review the feedback received from the Leadership4CHANGE course evaluations and explore other topics such as the essence of leadership in a changing organization, how as leaders we respond to risk and uncertainty, what motivates us as leaders, how we motivate those we're leading, and more.

#### BREAKOUT DISCUSSIONS

These will include the following topics related to the strategic plan initiatives and leading change within our organization. For more detailed descriptions, an introduction for each topic is included on the following pages.

- 1. Culture**    **2. Performance management**    **3. Leadership**    **4. Communication**    **5. Strategic planning**

The morning breakout discussions will focus on understanding the issues and identifying barriers and challenges related to the topic. Afternoon breakout discussions will address the same topic, but focus on how we can lead the necessary changes to overcome barriers or challenges identified in the morning discussion.

#### CLOSING SESSION

**Breakout session panel discussion:** A facilitator representing each of the discussion topics will share highlights from their breakout discussions, including the primary issues identified, common themes, and proposed solutions or next steps.

**Management Team panel discussion:** The Management Team will share their thoughts regarding the breakout sessions and answer questions submitted by conference participants. Questions may be submitted in advance or during the conference by sending a text message or email to [askmt@dot.iowa.gov](mailto:askmt@dot.iowa.gov) or in writing at the registration desk.

**Closing remarks:** Paul shares how the input received at this conference will be used to shape our leadership development and future change efforts, and continue advancing our Strategic Plan initiatives.





ENFORCEMENT SCALE SITES

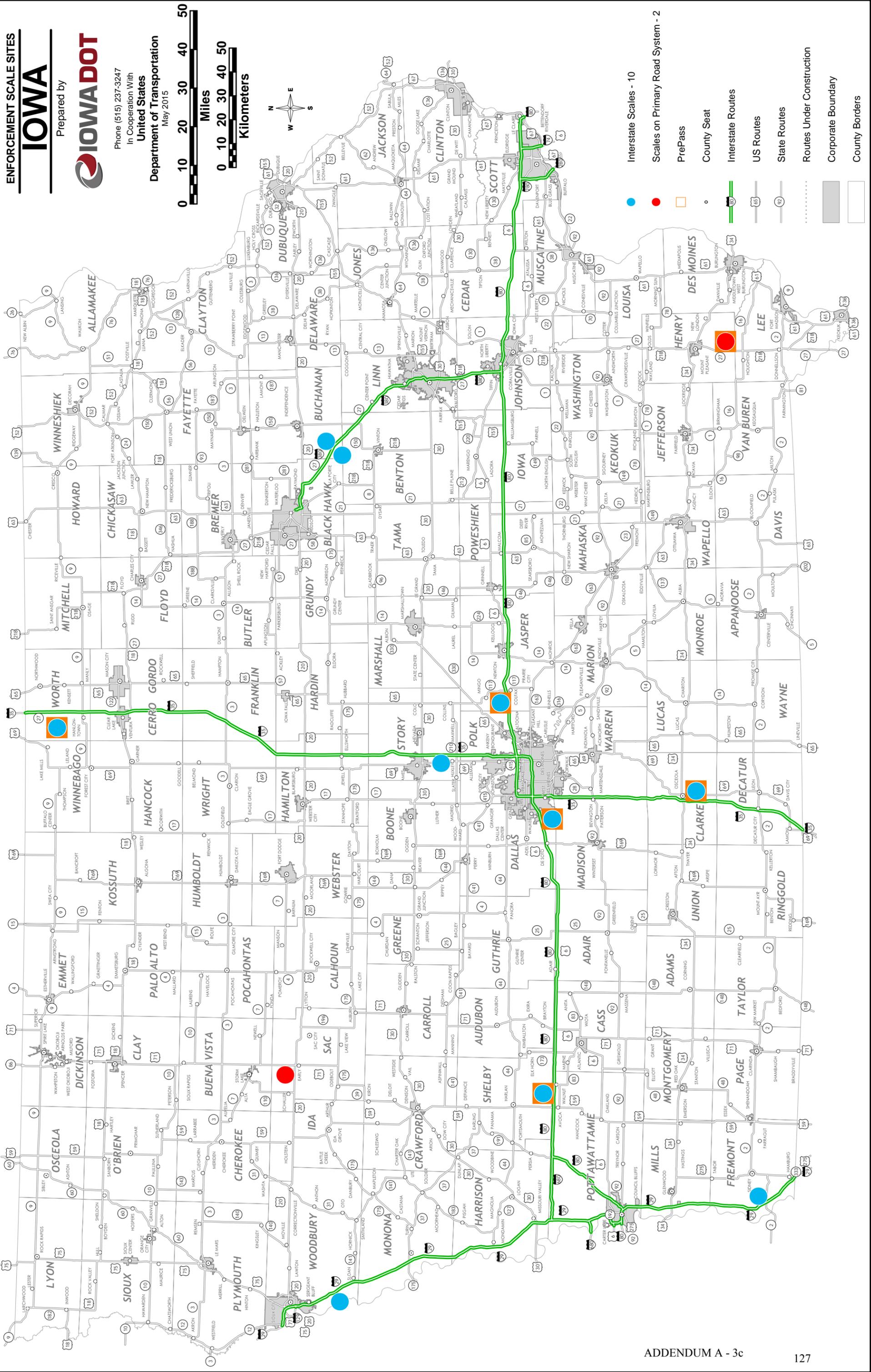
IOWA

Prepared by



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

Department of Transportation  
May 2015

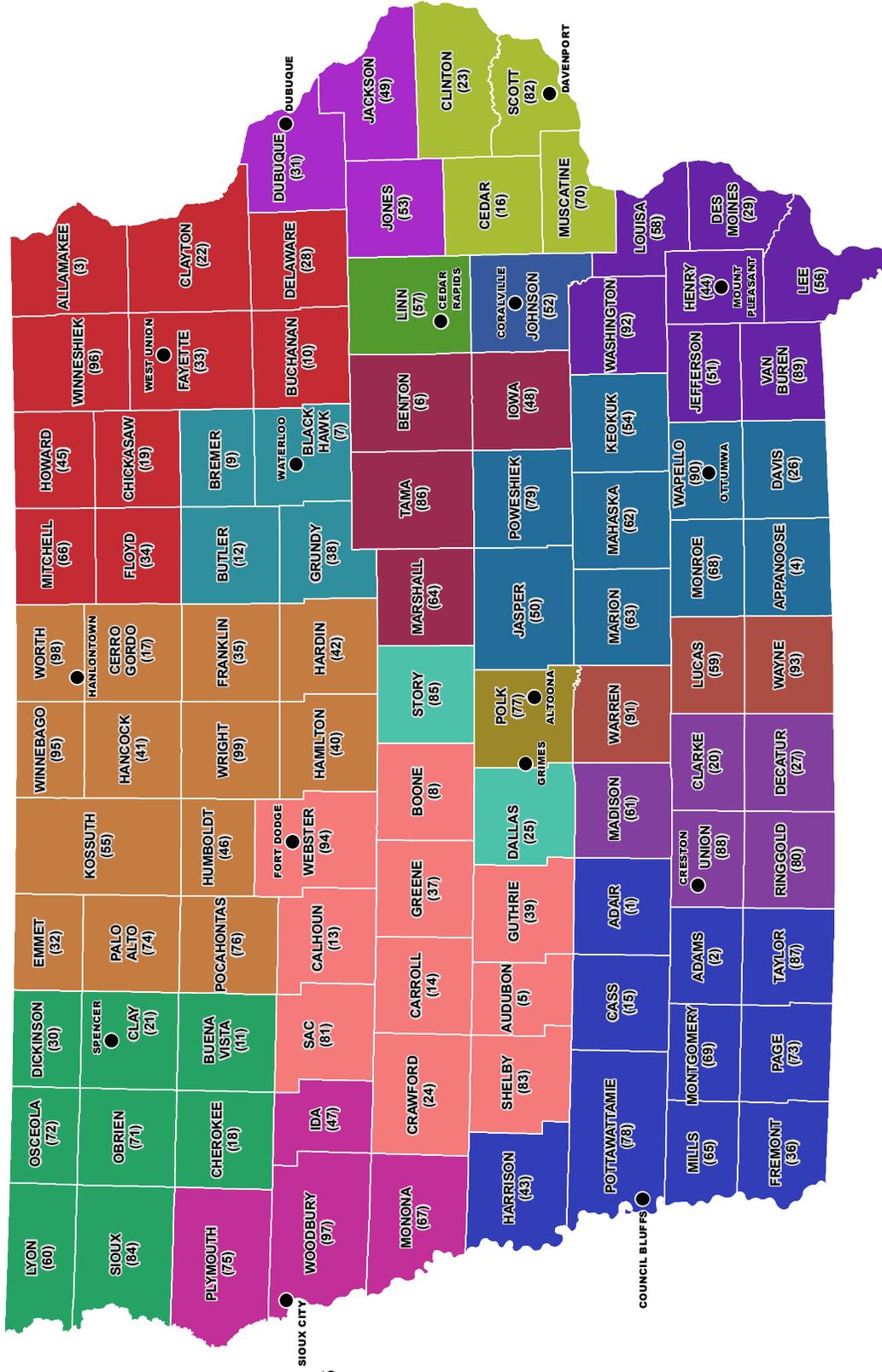


- Interstate Scales - 10
- Scales on Primary Road System - 2
- PrePass
- County Seat
- Interstate Routes
- US Routes
- State Routes
- Routes Under Construction
- Corporate Boundary
- County Borders



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

# County Assignments Bureau of Investigation & Identity Protection



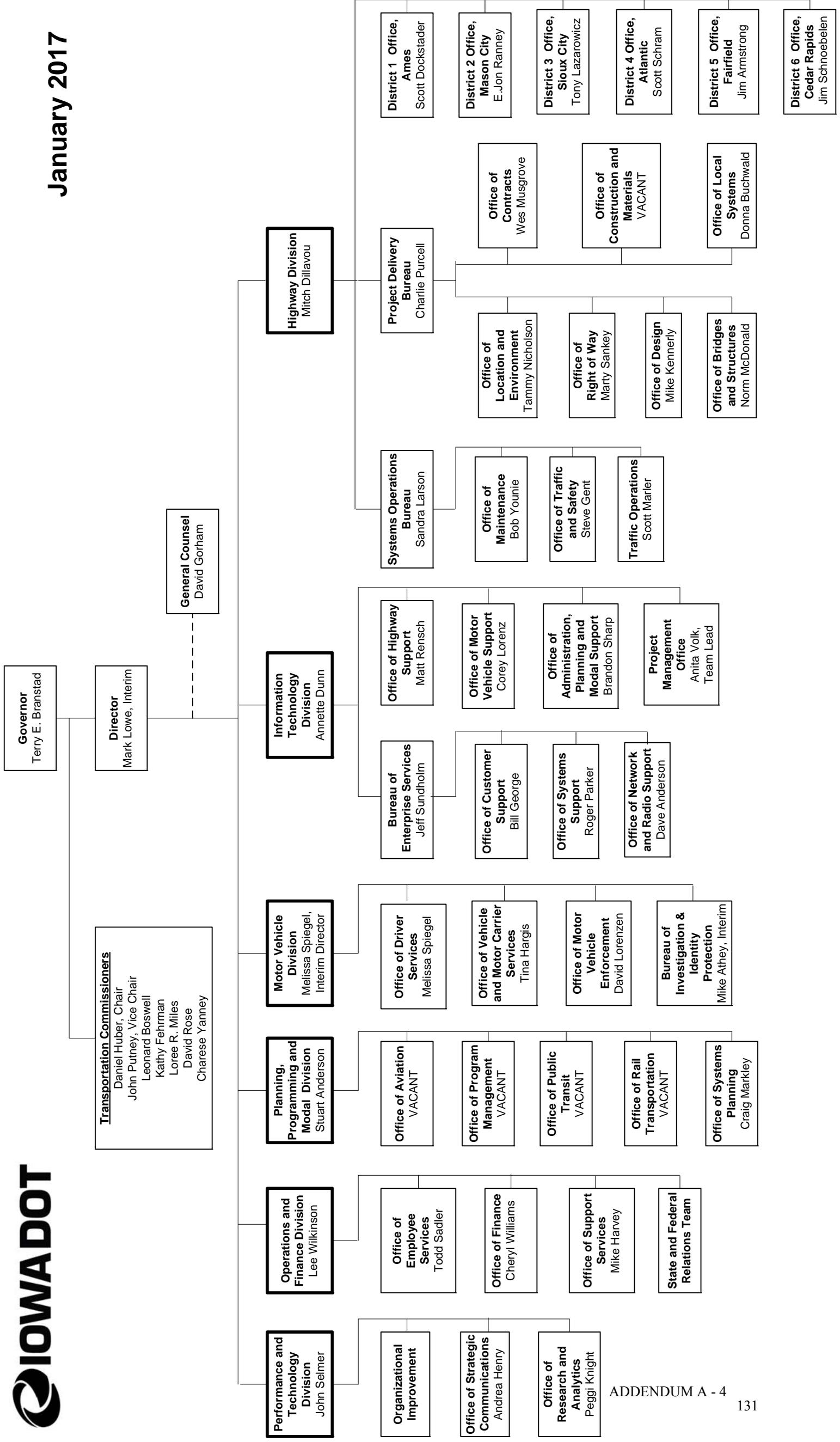
## County Assignments

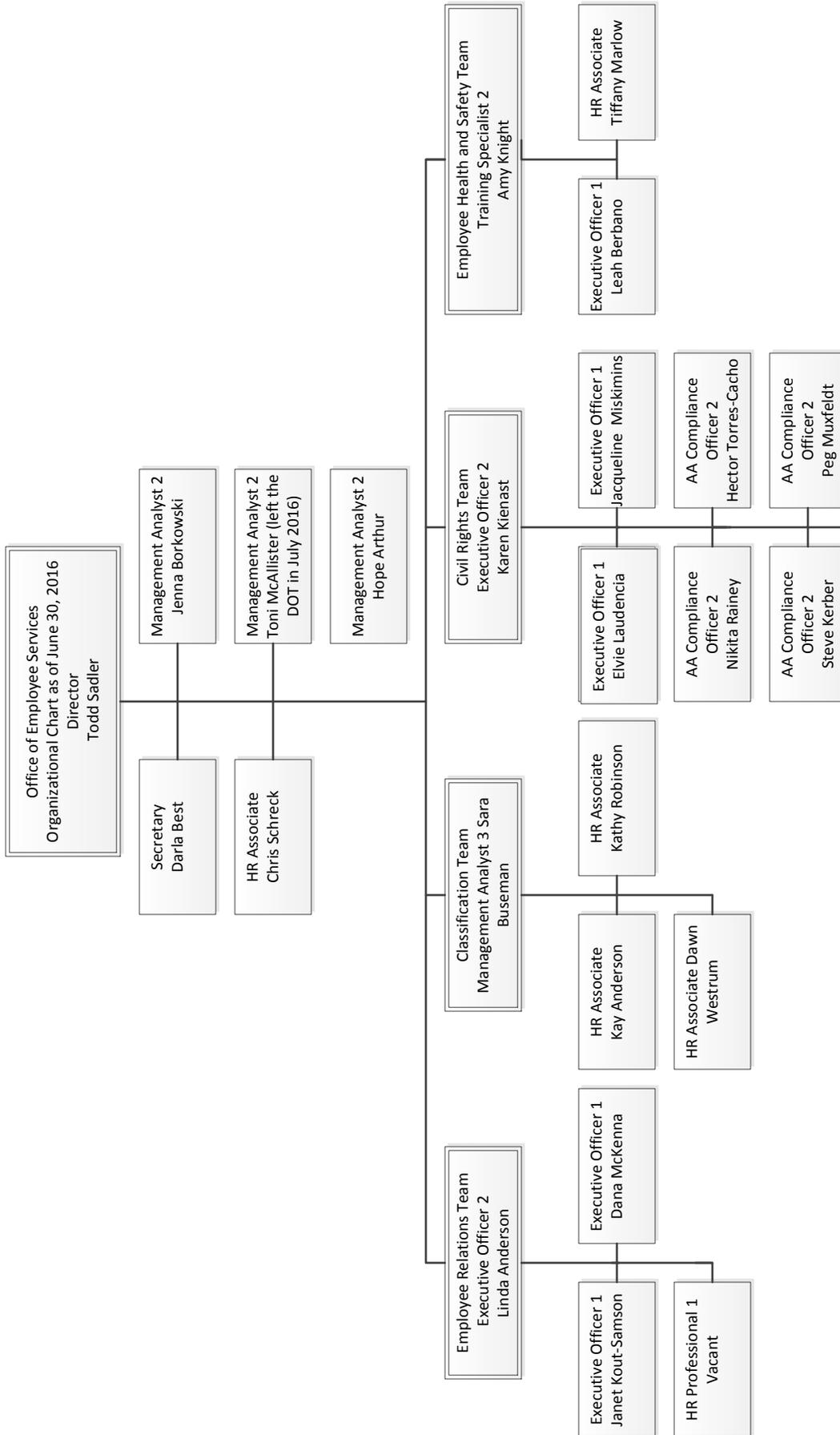
- Dingbaum - T563
- Donscheski - T541
- Kraayenbrink - T509
- Leeman - T510
- Liebe - T525
- Messerole - T512
- Molsberry - T545
- Nelson - T511
- Nusbaum - T526
- Ridout - T573
- Ridout, Nusbaum
- Rockwell - T517
- Schooley - T595
- Sharr - T555
- Sharr, Schooley, Thompson
- Thompson - T577
- White - T566
- Yeager - T571

**T500 Director Paul Steier**  
**T501 Deputy Director Mike Athey**

**IPhone: Monday through Friday 8:30 - 3:30**  
**515-237-3050 or [invbureau@dot.iowa.gov](mailto:invbureau@dot.iowa.gov)**

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







# Iowa Department of Transportation Policies and Procedures Manual

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



**Iowa Department of Transportation**  
**Policies and Procedures Manual**

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

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

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

**Affected Offices:** All

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

**Definitions:**

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

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

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

**References:**

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

The Iowa Department of Administrative Services' administrative rules may be accessed from the following website: [http://www.iowadot.gov/pol\\_leg\\_services/adminrules.htm](http://www.iowadot.gov/pol_leg_services/adminrules.htm)

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

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

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

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

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

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

### **Forms:**

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

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

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

### **Policy and Procedure:**

#### **I. General Information**

##### **A. Job Classes**

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

##### **B. Rights and Restrictions**

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

## **II. Responsibilities**

### **A. Employees shall:**

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

### **B. Managers/Supervisors shall:**

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

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

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

**C. Division Directors shall:**

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

**D. Office of Employee Services shall:**

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

**E. Major Classification Studies**

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

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



**Iowa Department of Transportation**  
**Policies and Procedures Manual**

Title <b>Investigations</b>		Policy No. <b>230.09</b>
Responsible Office  Office of Employee Services		Related Policies and Procedures  230.02, 230.03, 230.08
Effective/Revision Dates 4-5-1999/2-8-2013	Approval(s) <i>See A. Wilkinson</i>	

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

**Contents:** This policy contains standard procedures for conducting internal investigations. This policy applies to investigations of alleged violations of:

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

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

**Affected Offices:** All

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

**Definitions:**

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

*Garrity warning* – A verbal statement given to employees who refuse to answer investigative questions. At the time an employee refuses to answer a question in an investigatory interview, the employee must be told that:

1. The employee is being directed to respond to all questions completely and truthfully.
2. Failure to respond to the questions completely and truthfully is considered insubordination and may lead to disciplinary action.
3. Any responses that the employee is directed to provide under threat of discipline cannot be used against the employee in a criminal proceeding.

See Section 11.15 of the DAS-HRE Managers and Supervisors Manual.

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

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

*Weingarten right* – An employee’s right to representation during employer-conducted investigatory interviews that may lead to discipline. See Section 11.15 of the DAS-HRE Managers and Supervisors Manual.

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

Iowa Department of Administrative Services administrative rules 11 IAC Chapter 60  
website: [http://www.iowadot.gov/pol\\_leg\\_services/adminrules.htm](http://www.iowadot.gov/pol_leg_services/adminrules.htm)

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

Iowa Code section 80F.1, *Peace officer, public safety, and emergency personnel bill of rights*  
website: <http://www.legis.iowa.gov/IowaLaw/statutoryLaw.aspx>.

DAS-HRE Managers and Supervisors Manual, Chapters 9 and 11  
website: [http://das.hre.iowa.gov/ms\\_manual.html](http://das.hre.iowa.gov/ms_manual.html)

**Forms:** None

**Policy and Procedure:**

**I. Policy**

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

**II. Procedures**

Investigations conducted in the DOT shall at a minimum conform to the following procedures.

- A. **Review of requirements.** The supervisor who is conducting the investigation shall first review Chapter 11 of the DAS-HRE Managers and Supervisors Manual. If the subject of the investigation is a peace officer, the supervisor shall also review Iowa Code section 80F.1.
- B. **Development of investigation plan.** The supervisor shall then contact his or her next higher level supervisor and an employee relations officer in the Office of Employee

Services. The supervisor and employee relations officer shall develop an investigation plan. In the investigation plan:

1. The employee relations officer shall determine, in consultation with the supervisor, whether to remove the employee from work pending the results of the investigation.
    - a. The employee should be removed from the workplace if it is believed that the employee's presence would impede the investigation or create a safety or health risk.
    - b. If the employee is removed from the workplace (placed on paid suspension pending the results of the investigation), the supervisor shall document this action in a letter to the employee. The letter will be prepared by the employee relations officer.
    - c. If the employee is placed on paid suspension pending the results of the investigation, the supervisor shall have the employee turn in all state-issued equipment, including but not limited to cellular telephone, mobile device, laptop, keys, and access card if applicable.
  2. The supervisor shall review and determine what rules and policies may be involved. If the alleged incident involves a potential violation of state or federal law, see Section II.H. below.
  3. The supervisor shall identify anyone who was involved in or may have knowledge of the alleged violation(s) in order to determine who should be interviewed.
  4. The supervisor shall outline the questions to be asked. For example, ask:
    - a. What happened, when did it happen and where did it happen?
    - b. Who was present or may have additional information?
    - c. Are there any notes, documents or other evidence relating to this or similar violations?
    - d. Has a similar situation occurred in the past? If yes, repeat all of the above questions for that occurrence.
    - e. Is there anything else they would like you to know?
  5. The supervisor shall keep his or her supervisor updated throughout the investigation.
- C. **Approval of investigation plan.** Before beginning an investigation, the supervisor shall discuss the proposed investigation plan with the employee relations officer and obtain the officer's approval of the plan.
1. The employee relations officer shall inform the appropriate DAS-HRE personnel officer of the impending investigation and keep the personnel officer updated throughout the investigation.

2. If the issue to be investigated includes an alleged violation of Policy No. 230.03, *Equal Employment Opportunity and Affirmative Action*, or if at any time during the investigation it appears as though Policy No. 230.03 may have been violated, the employee relations officer will consult with the affirmative action officer regarding potential violations.
3. The employee relations officer shall work with the appropriate management staff to determine who should conduct the investigation.

D. **Supporting documents.** The person performing the investigation (investigator) shall collect all supporting documents and provide these documents to the employee relations officer for review. Supporting documents may include but are not limited to the following:

1. The supervisor's records of any similar infractions in the work unit.
2. Documentation that the employee had been made aware that the conduct was unacceptable.
3. Other documents that may be helpful. Examples are time sheets, expense sheets, supervisory notes, and performance evaluations.

E. **Witness and background interviews.**

1. After supporting documents are collected and reviewed and it is determined that witness and background interviews are necessary, the investigator shall conduct these interviews. Interviewees should be given as little prior notice as possible.
2. Employees **do not** have a right to union representation during these witness and background interviews.

However, if during an interview, the person being interviewed implicates himself or herself in a possible rule or policy violation, the investigator must stop the meeting and advise the employee that the interview has now become investigatory of that employee's action(s) and could lead to discipline for that employee. This is known as invocation of the employee's *Weingarten* right. See Section II.F. below and Section 11.15 of the DAS-HRE Managers and Supervisors Manual. If the employee is a peace officer, see Iowa Code subsection 80F.1(8).

3. Following are guidelines for conducting an interview:
  - a. Utilize a private location.
  - b. If an employee refuses to answer any question, invoke the *Garrity* warning.
  - c. Do not promise confidentiality or anonymity.
  - d. Ask open-ended questions.
  - e. Do not conduct group interviews.

- f. Ask follow-up questions to determine if statements are facts or opinions.
  - g. If you obtain any conflicting information, ask the interviewee to explain the inconsistency.
  - h. If the interviewee suggests you talk to someone else, ask what knowledge that person would have and add that person to the list of interviewees if appropriate.
  - i. Direct the interviewee not to discuss the investigation with others.
  - j. Take detailed notes in legible handwriting and sign and date the notes on the last page.
  - k. If you record the interview in addition to taking notes, you must let the interviewee know that you are recording the interview.
  - l. If you are unable to record the interview, at the conclusion of the interview, review the interview notes with the interviewee and ask the interviewee to sign and date the notes on the last page.
  - m. Interviewees may also be asked to provide a written statement.
4. After the witness and background interviews are complete, the investigator shall consult with and provide all documentation of these interviews to the employee relations officer in order to determine if additional information is needed before interviewing the employee who is the subject of the investigation. The investigator shall advise the employee relations officer of any significant behavior or nonverbal cues observed during the interviews.

**F. Interviewing the subject of the investigation.**

1. After witness and background interviews are completed and have been reviewed, the investigator shall develop questions for the investigatory interview to be reviewed and approved by the employee relations officer.
2. The investigator and a second supervisor/investigator shall interview the employee who is the subject of the investigation. The investigator shall:
  - a. Advise the employee that this is an investigation that could lead to discipline. This is known as invocation of the employee's *Weingarten* right.
  - b. Grant an employee's request for a representative to be present in compliance with Section 11.15 of the DAS-HRE Managers and Supervisors Manual.
    - (1) If the employee's position is AFSCME contract covered and the employee asks for representation, the employee may have a union representative (a union steward of his/her choice within reason) present, not the employee's private attorney or a coworker (even if the coworker is a union member).
    - (2) If the employee's position is IUP contract covered and the employee asks for representation, the employee may have a union steward present. If a steward

is not available, the employee may have an IUP contract covered coworker present.

(3) If the employee's position is not contract covered and the employee asks for representation, the employee may have a peer, but not a union representative or legal counsel.

(4) If the employee is a peace officer, see Iowa Code subsection 80F.1(8).

c. Follow the guidelines in Section II.E.3. for conducting this interview. If the employee is a peace officer, see Iowa Code subsection 80F.1(7).

3. Following the interview, the investigator shall discuss the results of the interview with the employee relations officer. The employee relations officer shall determine if the investigation is complete.

**G. Determination of discipline or other corrective action.** If the results of the investigation document a violation of a policy or rule, a decision shall be made as to whether just cause exists and what level of discipline or other corrective action is warranted. See Policy No. 230.02, *Discipline and Other Corrective Action*, for details of this process.

**H. Violation of state or federal law.** If, either during the investigation or when the investigation is complete, it is found that a state or federal law may have been violated, a decision must be made whether to request that criminal charges be filed.

1. This decision shall be made by the Director of Transportation, in consultation with the respective division director(s), the director of the Office of Employee Services, and the Attorney General's Office.

2. If criminal charges are sought, the director of the Office of Employee Services shall ensure that the Director of Transportation and the respective division director(s) are kept informed of the status of law enforcement involvement.

3. If criminal charges are sought, supervisors must be aware of their responsibility to guarantee the employee's rights under *Garrity*. See Section 11.15 of the DAS-HRE Managers and Supervisors Manual.

**I. Limitation not intended.** Nothing in this policy shall be construed to limit either the authority or scope of enforcement activities of peace officers employed by the DOT.

### **III. Conflict**

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



**Iowa Department of Transportation**  
**Policies and Procedures Manual**

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

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

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

**Affected Offices:** All

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

**Definitions:**

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

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

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

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

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

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

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

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

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

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

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

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

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

Iowa Department of Administrative Services administrative rules 11 IAC Chapter 60  
website: [http://www.iowadot.gov/pol\\_leg\\_services/adminrules.htm](http://www.iowadot.gov/pol_leg_services/adminrules.htm)

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

DAS-HRE Managers and Supervisors Manual, Chapter 11  
website: [http://das.hre.iowa.gov/ms\\_manual.html](http://das.hre.iowa.gov/ms_manual.html)

AFSCME Collective Bargaining Agreement, Article IV, Section 9  
website: [http://das.hre.iowa.gov/collective\\_bargaining.html](http://das.hre.iowa.gov/collective_bargaining.html)

IUP Science Collective Bargaining Agreement, Article IV, Section 11  
website: [http://das.hre.iowa.gov/collective\\_bargaining.html](http://das.hre.iowa.gov/collective_bargaining.html)

**Forms:** None

**Policy and Procedure:**

**I. Policy**

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

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

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

## II. Responsibilities

A. Employee relations officers shall:

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

B. Supervisors shall:

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

## III. Procedures

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

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

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

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

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

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

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

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

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

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

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

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

#### **IV. Conflict**

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



**Iowa Department of Transportation**  
**Policies and Procedures Manual**

Title <b>Workplace Environment</b>		Policy No. <b>230.08</b>
Responsible Office  Office of Employee Services		Related Policies and Procedures  230.01, 230.02, 230.03, 230.09
Effective/Revision Dates 3-31-1992/1-29-2013	Approval(s) <i>See A. Wilkinson</i>	

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

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

This document does not:

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

**Affected Offices:** All

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

**Definitions:**

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

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

**References:**

Iowa Department of Administrative Services administrative rule 11 IAC 66.4.  
website: [http://www.iowadot.gov/pol\\_leg\\_services/adminrules.htm](http://www.iowadot.gov/pol_leg_services/adminrules.htm)

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

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

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

**Forms:** None

**Policy and Procedure:**

**I. Policy**

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

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

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

## **II. Responsibilities of Employees, Managers and Supervisors**

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

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

### **III. Workplace Environment Complaint Processes**

#### **A. Complaints regarding DOT employees.**

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

#### **B. Complaints regarding persons outside the agency.**

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

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

#### **IV. Policy Violations**

Any employee is subject to potential disciplinary action for:

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

#### **V. Required Posting**

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

#### **VI. Conflict**

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

## **PART III**

# **EXTERNAL EQUAL EMPLOYMENT OPPORTUNITY/ AFFIRMATIVE ACTION PROGRAM**



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

October 1, 2015 through September 30, 2016

### **Organization and Structure**

The Director of the Iowa Department of Transportation (DOT) administers the External Equal Employment Opportunities Program. That authority has been delegated to the Operations & Finance Division Director, Lee Wilkinson. Functional administration is assigned to the Civil Rights Coordinator, Karen Kienast and the Civil Rights Team in the Office of Employee Services (OES). The Department Director during this reporting period was Paul Trombino III. Mark Lowe is the Department's interim Director at the time this report was prepared and submitted.



Responsibility for administering the External EEO Program is assigned to the OES-Civil Rights Team, located on the Ames Central Complex. The team members are:

**Karen Kienast** – Civil Rights Coordinator (FT); with the Iowa DOT since August 2013. The Civil Rights Coordinator reports directly to the Director of OES.

**Jacqui DiGiacinto Miskimins** – External EEO Administrator (FT); since June 2012. The EEO Administrator reports to the Director of OES.

**Steven Kerber** – AA Compliance Officer 2 (FT); since October 2012. The AA Compliance Officer 2 reports to the Civil Rights Coordinator and the Director of OES. This position focuses on Title VI compliance.

**Peg Muxfeldt** – AA Compliance Officer 2, (FT). This position became vacant in September, 2016 due to retirement. The AA Compliance Officer 2 reports to the Civil Rights Coordinator and the Director of OESs. This position focuses on DBE certification, audits and supportive services.

**Nikita Rainey** – AA Compliance Officer 2 (FT); since July 2011. The AA Compliance Officer 2 reports to the Civil Rights Coordinator and Director of OES. This positions focuses on Title VI compliance.

**Hector Torres-Cacho** – AA Compliance Officer 2 (FT); since February 2015. The AA Compliance Officer 2 reports to the Civil Rights Coordinator and Director of OES. This position focuses on DBE certification, audits and supportive services.

#### District/Division Personnel

The Iowa DOT centralized civil rights administration with the development of the Civil Rights Team in 2011. The team is supported by personnel in district and field offices who oversee and document contractor compliance.

The Iowa DOT produces and updates the Construction Manual which is available for use by all staff and contractors. Chapter 2 of the Construction Manual sets out the responsibilities of the Project Engineer for civil rights oversight; examples include: subcontract requests and approval; review of bulletin boards; EEO project site inspection/wage rate reports and in-depth EEO inspections related to EEO/AA reporting requirements. These examples are not an exhaustive list of the Project Engineers' involvement in ensuring EEO compliance in the administration of construction projects.

The Project Engineer or designee inspects each project site to ensure that contractors do not maintain segregated facilities and that required notices are properly posted. The Project Engineer is also responsible for reviewing certified payroll submissions to ensure that contractors' employees are being paid at the proper wage rate. Field Review Technicians from the Office of Local Systems conduct field reviews of local agency-let federal-aid projects to ensure compliance with EEO/AA contract requirements; including, but not limited to posters and certified payroll.

#### Guidance for Development of Compliance Procedures

1. Federal Highway Administration (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, OES-CRT staff is available to discuss the EEO/AA Program and its ramifications as well as respond to questions.

### Accomplishments

The AA Compliance Officers perform desk audits and compliance reviews with selected contractors. All contracts let by the Iowa DOT are subject to review via contractor selection, including those projects administered by City, County, and Municipal agencies.

#### **Compliance reviews completed during FFY 16:**

Number of compliance reviews conducted:	19
Number of contractors reviewed:	19
Number of contractors found in compliance:	19
Number of contractors found in noncompliance:	0
Number of Voluntary Corrective Action Plans:	12
Number of show cause notices issued:	0
Number of show cause notices rescinded:	2
Number of show cause actions still under conciliation and unresolved:	0
Number of follow-up reviews conducted:	0

The Civil Rights staff concurred with the actions taken in each of the Voluntary Corrective Action Plans; which were fully implemented by the respective contractors. Upon proof of implementation, the contractors were found to be in compliance.

The Civil Rights Team's goal is to review 20 contractors in FFY17.

#### Desk Audit Selection

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

1. Deficiencies or observations made during most recent compliance review.
2. EEO/AA complaint against the contractor.
3. Observation(s) during prior review that warrants follow up.
4. No compliance review conducted within the past five years.
5. First time contractor or subcontractor receiving 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.
9. A high dollar value project will be given consideration for project-specific review.

### Desk Audit Procedure

The contractor's EEO Officer will be notified that their company has been selected for a desk audit. The items listed below may be requested, as warranted.

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 classification(s), 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 utilized in an effort to recruit and hire females and minorities; include the name of agency or publication, contact person, date of contact, address, phone number, and results. Limit the list to referral sources or publications utilized in an effort to recruit and hire females and minorities. Additionally, if applicable, include the progress and efforts being made in conjunction with unions.

Additionally, the company will be asked the following three questions:

- i. Has an EEO meeting for supervisors been held at least once every six months?
- ii. Has individual promotional potential and training opportunities been reviewed with female and minority employees?
- iii. Has the company conducted an EEO/AA field inspection on each active project?

The company will be asked to complete a Form 1391 for a week when their workforce was at peak employment; generally, the last full pay period in July.

The Compliance Officer will review all information submitted by the contractor and compare it with the contents of the company's EEO/AA policy. If no questions or concerns are raised by this review, the contractor will be notified that their desk audit was approved. If there are inconsistencies or other concerns, an on-site compliance review will be scheduled.

## On-Site Review

The Compliance Officer will advise the contractor's EEO Officer that the desk review indicated that an on-site compliance review is required and schedule a mutually agreeable date and time for that review. The Compliance Officer will follow up this conversation with a written confirmation of the conversation; including the date of the on-site visit. The contractor will be asked to prepare a list of its Iowa employees and will be advised if specific documentation must be made available for review during the on-site visit. That documentation may include, but is not limited to, the items below:

### Using the period of the prior 12 months and specific to projects let by the Iowa DOT:

1. Methods used to recruit employees, including minorities and females (e.g. job orders, newspaper ads) and the specific time period(s) during which these efforts were made.
2. How the contractor advised applicants or current employees of the availability of training programs and the qualifications necessary for entry into such programs.
3. Methods utilized to assess the training needs and promotional potential of minority and female employees.
4. Which of their job classifications received training.
5. Methods utilized to assess the progress of all trainees.
6. Documentation of the contractor's ratio of trainee to journey level employees.
7. Documentation that EEO training was provided to supervisory employees, including dates, who attended and what topics were discussed.
8. Documentation that the contractor's EEO officer has provided instruction on the company's EEO/AA obligations to new supervisors within thirty days of their hire.
9. Documentation that all personnel engaged in direct recruitment have been provided instruction by the company's EEO/AA Officer on the company's procedures for locating and hiring minority and female applicants.
10. Documentation of EEO/AA policy and the procedures to implement such policy being brought to the attention of employees via meetings, employee handbooks, or other appropriate means.
11. Company office's notices and posters.
12. Documentation of all EEO/AA on-site inspections by EEO Officer or designee 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 personnel action(s) to determine whether or not there is evidence of discrimination.
15. Documentation of initiation of an investigation into 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.
17. The company's standard subcontract and vendor purchase order.
18. If joint checks were issued on completed Federal-Aid projects during the past 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 selected list of completed projects.
20. Documentation of any requests for reasonable accommodation/ADA.

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

If during the review the Compliance Officer has concerns about the contractor's documentation or procedures, the Compliance Officer will work with the company to develop an acceptable resolution.

### **Contractor Sanctions**

Contractor sanctions for non-compliance with EEO/AA requirements will follow Standard Specifications for Highway and Bridge Construction, Section 1102.19 (H).

If this is the contractor's first finding of deficiency, the contractor shall submit a voluntary letter of commitment to the Iowa DOT. If this is the second deficiency, or a serious or blatant violation by the contractor, the Compliance Officer shall recommend the contractor be placed in Show Cause status.

A show cause meeting may include: Iowa Division FHWA representative; Iowa DOT Compliance Officer; EEO Administrator; Contracts Engineer; Assistant Contracts Engineer; Director of OES; the contractor's EEO Officer and/or another company officer. The Compliance Officer will summarize the contractor's history of compliance with Iowa DOT EEO/AA requirements.

For the first Show Cause issued, the contractor shall provide a detailed plan to correct the 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 OES-CRT follows the Iowa DOT Title VI Compliant process when a contractor files a complaint of discrimination against another contractor. The complainant must complete the Title VI Complaint intake form or provide the necessary intake information in writing. The Standard Specifications for Highway and Bridge Construction, Section 1102.19 (F) (5) describes the complaint process as follows:

*Any individual, group of individuals or entity that believes they have been subjected to discrimination prohibited by Title VI nondiscrimination provisions may file a written complaint with the Office of Employee Services-Civil Rights (OES-Civil Rights). A formal, signed complaint must be filed within 180 calendar days of the alleged occurrence.*

Upon receipt of the complaint, the Coordinator or designee will determine its jurisdiction, acceptability, need for additional information, and merit of the complaint. In cases where the complaint is against one of the Department's sub-recipients of federal highway funds or federal transition funds, the Department will assume jurisdiction and will investigate and adjudicate the case.

Once the Coordinator or designee decides to accept the complaint for investigation, the complainant and the respondent will be notified in writing of such determination within five (5) calendar days. The complaint will receive a case number and then be logged into the OES-Civil Rights' records identifying its nature, the race, color, national origin and gender of the complainant.

In cases where the Department assumes the investigation of the complaint, the Coordinator or designee will provide the respondent with the opportunity to respond to the allegations in writing. The respondent will have ten (10) calendar days to furnish the OES-Civil Rights Team his/her response to the allegations.

Within forty (40) calendar days of receipt of the complaint, the OES-Civil Rights Team investigator will prepare an investigative report for the Director of the Operations and Finance Division's review. The report shall include a narrative description of the incident, identification of persons interviewed, findings and recommendations for disposition. The complaint may be investigated by the District/Division Title VI Liaison, Civil Rights Coordinator, External Civil Rights Administrator or Title VI Specialist.

The investigative report and its finding will be sent to the Attorney General's office (AG) for review. The AG will review the report and supporting documentation and will provide input within ten (10) calendar days.

Any comments or recommendations from the AG will be reviewed by the Division Director. The Division Director will review the report and recommendations with the Title VI Coordinator. If appropriate, the report will be revised and finalized.

Once the Department's investigative report becomes final, the parties will be notified of the outcome and appeal rights.

The Department's investigative report and a copy of the complaint will be forwarded to FHWA, Washington Division Office, within sixty (60) calendar days of the receipt of the complaint.

If the complainant is not satisfied with the results of the investigation, he/she shall be advised of the right to appeal the Department's determination to the FHWA, Washington Division Office, USDOT or USDOJ. Appeals must be filed within 180 days after FHWA's final resolution. Unless new facts not previously considered come to light, reconsideration of the Department's determination will not be available.

The Department will serve as the appellate forum to a complainant who is not satisfied with the outcome of an investigation conducted by a Departmental sub-recipient. The Department will

review the facts of the case and issue its findings to the appellant within sixty (60) days of receipt of the appeal.

The OES, in consultation with the Contracts Engineer, may recommend sanctions as set out in Section 1102.03 in the Iowa Department of Transportation's Standard Specifications for Highway and Bridge Construction.

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

### **Trainee Work Classification Review:**

All contractors were required to submit two (2) employment data reports for the last week in July. Letters and forms were sent to all contractors who had uncompleted contracts. One for federal-aid projects, exclusively; and a second for all projects (federal and non-federal aid); let by the Iowa DOT only. This information is used as a comparison to assess whether a company is maintaining or increasing the number of minority employees in their workforce. The EEO section then completes and forwards to the Iowa FHWA the *Highway Federal Aid Survey Information Form 1392*. This form summarizes 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 classifications and apprenticeship categories is completed with this information.

Overall, the racial/ethnic minority male participation rate in trade classifications increased from 22.12% in 2015 to 27.87%. This is the highest participation rate in the past five (5) years. Closer analysis shows the increase in minority male participation is consistent across construction related job classifications. We also see a disappointing trend that minority male participation in the on-the-job training programs and apprenticeships has decreased; apprenticeship participation decreased during this period by 3.76% and participation in general on-the-job training decreased by 24.82%..

American Indians and Alaskan Natives continue to be employed in construction classifications at the rate of 0.40%. There has been no substantive change in this participation rate over the past five (5) years.

Asians or Pacific Islanders are increasingly represented in the construction trades with an employment rate this year of 0.17%. There has been a slow, but steady increase from a zero participation rate in 2011.

Black Americans were represented in the workforce at a slightly lower rate this year than previously, with a 2.29% participation rate as compared to 2.86% five (5) years ago.

Hispanic/Latino representation in the trade categories has steadily increased from 18.7% in 2011 to 24.5% in 2016.

Overall, women's participation in these occupations has increased over the past five (5) years, from 10% in 2011 to 11.11% in 2016. Closer analysis shows no substantive growth in the participation rate of minority females during this period. Looking at women's participation in on-the-job trainee programs shows a significant increase from no participation (0.0%) in 2011 to a 20% rate of participation in 2016. Clerical, supervisory and foremen/forewomen categories are excluded from this analysis as they are not trade classifications.

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

1. Our current OJT Program has been in place since 2002. Which contractors are required to have trainees is determined by the OES-CRT annually, using a three-year average of awarded contract dollars bid through the Office of Contracts. OES-CRT will continue to assist these contractors in any way possible to ensure the success of this program. Contractors involved in the program must provide a year-end report to the OES-CRT, detailing their training experience. This information will be used as a tool to assess whether modifications may be needed to improve the program. A full description of the program can be found in the Standard Specifications in Section 1102.19 D. (Training and Promotion Plan).

On-the-job training is intended to be provided for at least one construction season. Trainees are approved by OES-CRT. We will conduct on-site visits to ensure training opportunities are being provided in accordance with the individual contractor's training plan. Our goal is to interview a minimum of 15% of all participating trainees.

2. Contractor Industry Training (CIT) is a training fund from which contractors may request funds to provide necessary and pertinent training for their employees. All contractors are required to provide race and gender data for all participants in approved training activities. OES-CRT maintains and updates a database to track female and minority participation.
3. The Female and Minority in Highway Construction Training program provides training to eligible participants in flagging, core highway construction knowledge and skills and to assist them in obtaining a Class A commercial driver's license. Participant 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 monitor 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 OES-CRT Affirmative Action Officer. Once the trainee is on the project, the OES-CRT will schedule on-site trainee visits as part of the monitoring process. The intent of these visits is to observe the trainee and conduct an interview to verify they are being trained in accordance with their training plan. On-site reviews will be conducted with a minimum of 15% of all trainees enrolled each construction season. The Iowa DOT conducted 13 OJT reviews during this reporting period.

It is expected that a trainee will begin training as soon as possible once the employing contractor begins work on the project. The trainee should have ample opportunity to use and refine the skills for which training is being provided. This program encourages keeping the trainee on the project as long as training opportunities in that work classification are available or until the trainee has completed training. The Contractor's responsibilities will have been met when approved training has been provided to the required number of participants. Approximately 30 contractors are required to provide training to about 60 trainees annually.

The criteria below must be met in order to fulfill the trainee requirement:

- Trainees must be registered in an appropriate program.
- Certified payrolls must identify each individual in trainee status, their base rate of pay, and any applicable reduction percentage.
- When a trainee has completed the 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 projects on which it was the contracting authority. Monitoring and reporting tools may include:

- Trainee interview by the Project Engineer's staff and/or staff from the OES-CRT.
- Contract compliance reviews.
- Statewide workforce report.
- Payroll verification by the field engineering staff.
- OJT On Site Review Tool

A year-end summary must be filed with the Department. The reporting period is based on the construction season. This report is due to the OES-CRT by December 31 each year.

The OES-CRT maintains 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.

For the 2016 construction season, 31 contractors were required to have trainees, for a total of 63 trainees. This year, there were 71 trainees identified; some were rollover trainees from the previous year and others were employed by contractors that opted to train more than the minimum number required. The 71 approved trainees fell into the following categories:

Caucasian Female	8	African American Female	1
African American		Hispanic Female	1
Male	4	Caucasian Male	3
Hispanic Male	44		

2. Construction Industry Training (CIT): One tenth of one percent (0.10%) of contract/subcontract dollars awarded are credited to successful bidders' "accounts" that can be used during the subsequent two-year period for pre-approved training opportunities. One goal of the program is that 10% of the funds will be used to provide training for minority and female employees. All requests are pre-approved and data is gathered on race/gender of trainees. A year-end summary is compiled to ensure that training opportunities are provided to female and minority participants.
3. This program is intended to help improve overall industry performance, and encourage contractors to participate in ongoing training programs supported by the Iowa DOT. The OES-CRT staff is committed to assisting contractors in improving their EEO strategies and training opportunities. For SFY 2016, \$87,553.27 was used to train 287 minorities and 298 females in various highway-related courses.
4. The *Women and Minorities in Highway Construction* program is administered in partnership with Eastern Iowa Community College District (EICCD) to provide pre-vocational training to qualified women and minorities. The program is designed to provide instruction in general life skills, a basic classroom core curriculum and an opportunity to develop the skills needed to be a productive part of a contractor's workforce. Upon successful completion of the program, some students will be certified flaggers, while others may opt to continue their training to earn a Class A Commercial Driver's License. These skills and certifications are very attractive in the current job market. The goal for 2015-2016 was to train 60 students in flagging, core construction certification and obtaining a Class-A commercial driver's license. As the main purpose of the program shifted toward employment outcomes, the goal of two-thirds of the 60 trainees finding industry specific employment was set. Fifty people were trained across three (3) locations; 45 trainees were employed in industry specific occupations upon completion. This resulted in a 90% employment rate from the 2015-2016 Program. People in the state are continuously seeking training from the Women and Minorities in Highway Construction Program throughout the year. It continues to grow with each class offered and more people are acquiring gainful employment upon completion.

### **Demonstrate successful training programs**

The Iowa DOT supported three (3) OJT programs to increase the workforce and productivity level of female and minority employees working on DOT let projects. Contractors are able to find qualified candidates for entry level positions among trainees who have completed the Women and Minority in Highway Construction program as discussed above. Contractors are encouraged to provide training and promotional opportunities to aid in the advancement of females and minorities employees through the OJT program as well as the Construction Industry Training (CIT) program. Since the inception of the OJT program, career advancement for minorities has been observed in a significant number of construction specific job classifications.

Through these three programs, 706 female and/or minority employees had the opportunity to receive additional training in job skills that are vital to highway construction. When compared to

previous years' reports, there has been a steady increase in participation in training toward full-time employment and promotion.

### **Disadvantaged Business Enterprise Program**

The Iowa DOT maintains a directory of all Iowa certified DBE contractors. The directory is updated in real time and includes DBEs capable of, or interested in, highway construction contracting or subcontracting. The electronic version of the directory is posted on the Civil Rights webpage. Hard copies are made available upon request.

The Iowa DOT has developed Standard Specifications for Highway and Bridge Construction. Updated versions of the specifications are provided to DBEs at no cost. Section 1102.17 of the Specifications relates specifically to the participation of DBEs and encourages increased participation by disadvantaged individuals. This section describes a contractor's Affirmative Action responsibilities and encourages the use of the directory of certified DBEs to identify and locate certified disadvantaged businesses available for contracting opportunities.