



December 1, 2011

Status Report of Efforts Relating to the Iowa Department of Transportation's (DOT) Internal EEO/AA Plan/Program

1. Describe short- and long-range objectives with priorities and target dates for achieving goals and measuring progress – 23 CFR 230 Subpart C Appendix A.

a. Meetings have been conducted either as a group or one-on-one by Lee Wilkinson, director of the Operations and Finance (O/F) Division; with Todd Sadler, director, Office of Employee Services (OES); Walter Reed, civil rights coordinator, OES; Elvie Laudencia, AA/EEO officer, OES; Scott Zalaznik, recruitment officer, OES; other OES staff; David Putz, management analyst 4, O/F Division; and Bill West, Iowa Department of Administrative Services – Human Resource Enterprise (DAS - HRE).

The purpose/objective of the meetings was to address the available data and tracking system to meet Federal Highway Administration (FHWA) standards prescribed in Appendix I, Subpart ii (b) and (c). The Iowa DOT can keep track of current workforce with the type of appointment (i.e., transfers, promotions and new hires) broken down by gender and ethnicity.

b. DAS-HRE has the oversight responsibility of the State of Iowa's EEO/AA, BrassRing application system and tracks the overall applicant flow data for the State of Iowa, including the Iowa DOT. For this reason, the Iowa DOT has not been able to track its own applicant flow data.

The Iowa DOT will commit to report its Affirmative Action Plan (AAP) in the format required under Appendix A to Subpart C of Part 230, Part II (B) and (C). Iowa's Office of Attorney General and DAS-HRE are investigating efficient ways to collect and review underutilization of job classifications. Until this process is established, the Iowa DOT and/or DAS-HRE will not be able to provide short- and long-range objectives with priorities and target dates for achieving goals and progress. However, the Iowa DOT can keep track of current workforce with the type of appointment (i.e., transfers, promotions and new hires) broken down by gender and ethnicity.

c. The Iowa DOT is committed to coordinating recruitment for underutilized job classifications and providing an enhanced recruitment action plan.

d. As informational background of the Iowa DOT's short- and long-term objectives, priorities and target dates for achieving goals and progress, its FY 2009–FY 2013

employment goals were included in the Affirmative Action (AA) Program Overview Report for Fiscal Year 2008 submitted to the FHWA. The AAP was prepared by DAS-HRE in conjunction with their newly implemented approach to setting goals for FY 2009 through 2013 (see copy of AA Form D – Hiring Goals and Timetable – Attachment 1). The AA Form D identified and set specific numbers of females and minorities that the Iowa DOT should fill to meet the hiring goals on each of the identified EEO-4 categories. Because AA is short-term in nature, DAS-HRE determined it must have an end date. It is a mutual goal of DAS-HRE and the Iowa DOT to maintain its current representation of females and minorities plus add staff to meet or exceed its goals in order to achieve a balanced workforce by FY 2013. The underutilization of persons with disabilities was calculated differently. The total hiring goal was 15 without specifically referencing any EEO-4 category. As a result, the Hiring Goals and Timetable report set a balanced workforce year for the end of FY 2013.

DAS-HRE required the Iowa DOT to submit incremental annual hiring goals. Except for FY 2012 AA goals, the Iowa DOT has been establishing its incremental annual hiring goals. As mentioned above, Iowa's Office of Attorney General and DAS-HRE are investigating efficient ways to collect and review underutilization of job classifications. Until this process is established, the Iowa DOT and/or DAS-HRE will not be able to provide short- and long-range objectives with priorities and target dates for achieving goals and progress.

2. Describe the method of publicizing the AAP externally to minority groups, women's organizations, community action groups, appropriate State agencies, professional organizations, etc. – Sections II (A) (2) (b) and (C) (2) (a) (1-7) and (b).
 - a. External publication
 - A Civil Rights Program website for the Iowa DOT is being developed and should be operational by March 30, 2012. The Iowa DOT intends to publicize its AAP on this website, as well as on its Intranet. In addition, once the FY 2012 AAP is completed and approved, the Iowa DOT will disseminate copies of the plan to minority groups, women's organizations, community action groups and professional organizations that are on its current list of referrals.
 - Currently, the State of Iowa's Executive Branch AA/Diversity Plan and Report is available on the Internet and can be accessed by everyone. The Iowa DOT's diversity report published by DAS can be accessed at this link: <http://das.hre.iowa.gov/diversity-aa-eeo.html>, then click on the Quick Link: Diversity and Affirmative Action in Iowa Report, 2010.
 - b. Internal publication

- The completed and approved FY 2011 AAP will be published on the Iowa DOT's website and will be able to be accessed internally and externally.
 - The AAP will be part of the EEO/AA policy overview presentation at New Employee Orientation sessions scheduled throughout the year.
3. Describe the state's procedures for terminating employees through dismissal and layoff actions. This part should describe procedures for assessing the impact of termination procedures on the representation of minorities and females – Section II (C) (3) (e) (1-2).
 - a. The Iowa DOT follows the DAS-HRE rules and procedures on layoffs, discipline following just cause standards, grievances and appeals, Iowa DOT policy on investigation, and Work Rules.
 - b. Disciplinary actions of employees, such as terminations, suspensions, demotions, etc., are recorded, tracked and reported with breakdowns of race, sex and age.
 - c. A termination Adverse Impact Analysis will be completed and reflected in the FY 2011 Affirmative Action Report. The analysis will be based on the prescribed standards in Appendix A – Part II Section II, (C) (3) (e) (1-2) using the sample charts in the State Internal EEO Program Implementation Document Guide – Sample Documents (see sample charts page 3-153 – Attachment 2).
 4. Describe your efforts in addressing employees' concerns raised as a result of the exit interviews – Section II, (C) (3) (e) (7).

The participation rate for the post-employment survey increased significantly in number yet decreased in percentage with 231 (49.7 percent) participants in FY 2010 as compared to 60 (56.6 percent) participants in FY 2009.

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

- Kaizen of DOT's hiring process.
 - Possible utilization of promotional registry.
 - On boarding and Mentoring Proposal Plan.
 - Training.
 - Follow-up of departing employee to determine concerns/issues or complaint and basis, and if further investigation is warranted.
5. Implementing and monitoring internal audit and reporting systems to measure program effectiveness – Section II (C) (4) (a-c).
 - The Iowa DOT does an annual evaluation that illustrates Iowa DOT program measures and effectiveness. The FY 2011 AAP/Program evaluation will focus on

reviewing appointments, promotions, reallocations, demotions, terminations, disciplinary actions and training opportunities.

- Adverse impact analysis for new hires, promotions and terminations will be provided in accordance with the FHWA Desk Reference Manual – State Internal EEO Program Implementation – Document Guide, and conjunction with DAS-HRE AA/Diversity program implementation (refer to the copy of the Document Guide - Table of Contents corresponding to the applicable Section - Attachment 3).
- The Hiring Decision Justification (HDJ) system assists in the implementation and monitoring of internal audit and reporting systems to measure program effectiveness.
- DAS-HRE, administrator of the EEO/AA Program for the State of Iowa, collects, tracks and reports each state agency's diversity progress report on a monthly basis. The diversity progress report provides an update of the Executive Branch workforce changes on a monthly basis along with a Diversity Progress Summary for Females, Minorities and Persons with Disabilities and current hiring opportunities.

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

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

- Indicating progress with the agency's diversity hiring efforts.
 - Monitoring the timeliness of the agency's hiring processes.
 - Assisting DAS-HRE in closing applicant lists for which hires have been made, closed or that require no further action. If the current hiring opportunities identified are no longer active, but are not closed, each agency's personnel assistants apply final codes in the BrassRing applicant tracking system so the appropriate requisition record can be closed by DAS-HRE. This will provide DAS-HRE with critical information to accurately monitor applicant flow and hiring outcomes.
- The DAS director previously sent these reports to each state director/designee for review with their hiring managers and supervisors but has not done so since December 2009. The Iowa DOT has not collected EEO reports from supervisory personnel but commits to do so in the next fiscal year.