

Iowa Department of Transportation Affirmative Action Program Overview

Fiscal Year 2012

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SECTION 1

EQUAL EMPLOYMENT OPPORTUNITY



Iowa Department of Transportation

EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT

Equal Employment Opportunity (EEO) Policy Statement

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

State of Iowa Policy Statement

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

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

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

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

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

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

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

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

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

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

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

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

Applicants and employees have the right to file complaints alleging discrimination internally with the Affirmative Action Officer in the Office of Employee Services as well as externally with the Iowa Civil Rights Commissions, a local Human Rights

Commission, and/or the U.S. Equal Employment Opportunity Commission (EEOC) and the U.S. Department of Transportation, and other federal or state compliance agencies.

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

This policy and the Affirmative Action Plan (AAP) will be publicized externally and internally to minority groups, women's organizations, community action groups, appropriate State agencies and professional organizations. The Iowa DOT intends to publicize its AAP on the Civil Rights 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 2012 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 AA/Diversity Plan and Report is available on the Internet and can be accessed by everyone. The Iowa DOT's diversity report published by DAS can be accessed at this link: <http://das.hre.iowa.gov/diversity-aa-eeo.html>, then click on the Quick Link: Diversity & Affirmative Action in Iowa Report, 2010.



Paul Trombino III
Director, Iowa Department of Transportation

March 26, 2013
Date

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

Americans with Disabilities Act of 1990
U.S. Civil Rights Act of 1964 – Title VII
Iowa Civil Rights Act of 1964 (as amended)
Title VI of the Civil Rights Act of 1964
Equal Pay Act of 1963
Age Discrimination in Employment Act of 1967
Section 504 of the Rehabilitation Act of 1973
Federal Aid Highway Act of 1968 and UMT Act of 1964
Vietnam Era Veterans Readjustment Assistance Act of 1974
Iowa Code Chapter 19B (Equal Opportunity and Affirmative Action); State of Iowa Executive Orders 4, 15, 18, 34 and 44;
State of Iowa Equal Opportunity, Affirmative Action and Anti-discrimination Policy (Section 2.40 of the Managers and Supervisors Manual); Iowa Department of Administrative Services Rules 11 IAC Chapter 68
Iowa Department of Administrative Services Rules 11 IAC Chapters 54-59; and
Managers and Supervisors Manual, Chapters 2 and 4



Iowa Department of Transportation

STATEMENT OF COMMITMENT ON EQUAL EMPLOYMENT OPPORTUNITY

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

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

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

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

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

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

Handwritten signature of Paul Trombino III in black ink.

Paul Trombino III
Director, Iowa Department of Transportation

March 26, 2013

Date

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

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

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

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

labor unions, contractor associations, minority group organizations, the U.S. and State Employment Services, and the U.S. and State Department of Labor.

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

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

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

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



Paul Trombino III
Director, Iowa Department of Transportation

March 26, 2013

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's services.

Fiscal Year (FY) 2012 Progress:

I. Hiring Practices

- The DOT continues to implement the revised Policy 210.02 Recruitment, Selection, and Hiring Process. (See Addendum A-1 - copy of PPM 210.02) The revised policy included changes to steps in the following processes:
 - A. Preparing to fill a vacancy
 - Review of position description questionnaire (PDQ);
 - Completion of P-5 and HDJ now on the same online system; and
 - Positions underutilized in more than one category require enhanced recruitment.
 - B. Screening and Interviewing Applicants
 - The Affirmative Action Officer (AAO) approves pre-interview screening criteria, applicant scores, and proposed list of interview questions prior to interviewing when underutilization exists in more than one category; and
 - Nepotism prohibition expanded to include all supervisors and lead workers in the chain of command.
 - C. Hiring Decision Justification and Reference Checks

The policy clearly defines what is required to be submitted for approval prior to an offer being made. The selecting authority shall submit a written narrative addressing

 - essential functions of the position,
 - screening criteria utilized,
 - a comparison of applicants interviewed to the essential functions and screening criteria based on the answers provided during the interview,
 - justification for the recommended hire to the AAO in the Office of Employee Services (OES),
 - a copy of the following documents shall also be submitted:
 - BrassRing certificate list,
 - pre-interview screening criteria and scores, if applicable,
 - interview questions,
 - interview scores/matrix,

- PDQ/essential functions, and
 - reference check(s).
- The DOT continues to improve its hiring process through:
 - A. “Hiring Kaizen Process” –
 - The DOT created a Hiring Kaizen Team which first met in November 2011. The goal of the Kaizen was to develop a hiring implementation process to reduce the amount of time it takes to hire a new employee.
 - 1. Objectives
 - Have a hiring process that is less cumbersome.
 - Have a hiring process that is easy to understand.
 - Have all required paperwork and information for the new employee to assume position.
 - Have improved screening process using electronic measures.
 - Maximize automated information.
 - Ensure a pool of qualified and diverse candidates is available.
 - Hire quality candidates.
 - Documented process.
 - Greater consistency across the department for selection and hiring process.
 - Faster approvals.
 - Better communication within the department.
 - 2. Goals
 - Decrease the amount of time to make a hire from 106 (estimate) to 60 days or less.
 - Complete interviews within 10 business days of receiving the list from DAS.
 - Decrease time between when the hiring team makes a decision to when the letter is sent to the selected applicant.
 - Online documentation of hiring process in place within 60 days.
 - 3. Improvements/action items (not inclusive)
 - Posting and recruiting
 - Interview
 - P5/HDJ Application
 - Approval of HDJs
 - B. Retooling the DOT’s hiring process –
 - Through the Office of Employee Services, the DOT developed proposals to restructure the DOT’s 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.
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; and
 - Elimination of the traditional hiring decision justification (HDJ) written narrative, but keeping complete hiring documentation.

(A new and better process initiative by DAS-HRE to streamline and enhance the hiring system of the executive branch will likely replace DOT's proposed hiring process strategies. As of December 2012, DAS-HRE has partnered with the DOT to establish a technology solution and methodology for job applicants to self-screen to the Minimum Qualifications and the specific requirements a vacancy by the use of job-related screening and ranking questionnaires. This joint project is anticipated to be developed in 2013.)

3. Recruitment
- The use of social media for professionals such as "LinkedIn" as an outlet for finding and contacting top candidates as well as passive and active candidates.
 - Working with consultant to discuss outreach opportunities to diversify the workforce.

II. Recruitment

Job Postings and Advertisement/Promotion:

- The DOT continues to utilize All-Applicant lists posted through the State of Iowa's employment website (DAS – Brass Ring) from which most if not all positions are additionally posted at Iowa Workforce Development and Smartcareermove.com. At the discretion of the hiring manager, vacancies may be advertised using paid postings. These postings have been placed at Careerbuilder.com, Monster.com, and Dice.com.
- Transportation engineering and planning positions are routinely sent to the American Association of State Highway and Transportation Officials website.
- Additionally, positions are routinely sent via email to 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
- City Human Rights/Civil Rights/Human Relations Commission contacts for:

Ames, Bettendorf, Burlington, Cedar Rapids, Clinton, Council Bluffs, Davenport, Decorah, Des Moines, Dubuque, Fort Dodge, Indianola, Iowa City, Marshalltown, Mason City, Muscatine, Ottumwa, Sioux City, Urbandale, Waterloo, West Des Moines
Iowa College Recruiting Network.

Proactive Minority Community Involvement:

- The DOT also continued to develop and maintain a community presence by participation in minority community events. Examples of events with emphasis on diversity outreach that the DOT participated in during FY 2012 are:
 - Iowa Latino Conference and Iowa Latino Conference Planning Committee
 - Iowa State Conference On Race and Ethnicity (ISCORE)
 - Greater Des Moines Partnership’s Quarterly Multicultural Receptions
 - Iowa Juneteenth celebration festival in Des Moines
 - CelebrAsian
 - Latinos Unidos Job Resource Fair
 - Latino Heritage Festival
- Additionally, the DOT participated in the following outreach events (not all inclusive):
 - Iowa State University Fall Engineering Fair
 - University of Iowa Fall Engineering Fair
 - Iowa State University Spring Engineering Fair
 - University of Iowa Spring Engineering Fair
 - Boone High School Career Fair
 - Iowa Black Business Summit
 - Iowa Immigrant Entrepreneur Summit
 - Veteran’s Career Fair events in Iowa City, Des Moines
 - Summit on the Black Male held at the University of Northern Iowa campus

Collaborative Efforts with other State agencies and entities:

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

Statewide Advertisement Campaign:

- The DOT continued to place a statewide print and radio campaign to promote employment opportunities and increase awareness of the DOT's employment site.
 - Ran two statewide newspaper display ads through Customized Newspaper Advertising (CNA), a network of over 200 print publications throughout the state.
 - Radio spots were purchased through African American-focused stations KJMC in Des Moines and KBOL in Waterloo.
 - Several other stations also ran Public Service Announcements (PSAs) free of charge.
 - Display ads were run in the following Spanish and bilingual publications: *Hola America*, *El Latino*, *El Herald*, *El Comunicador*, *El Viento del Tropic* and *El Enfoque* in addition to continuously running ads in the *Iowa Bystander*, Iowa's African American newspaper.
 - Recruitment marketing cards for the Office of 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, Divisions 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 ads on temporary winter maintenance opportunities.

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 job postings (through DAS). People interested in employment opportunities with the DOT are able to sign up to receive updates via Really Simple Syndication (RSS) feeds and/or through Twitter. A very brief welcome video based on the DOT vision statement and workforce guiding principles is showcased on the employment page. The video displays and emphasizes the diversity that exists within the DOT both in careers and people. During the last 6 months of FY 2012, the site logged 22,793 absolute unique visitors and 34,597 visits to the site. The Job Alerts email service had over 2,210 email subscriptions toward the end of FY 2012.

III. Retention

- The DOT's Management Team continues to determine action steps in the following areas:
 - Employee Interaction and Development
 - Recognition
 - Decision Making
 - Trust

- The DOT continues to conduct exit interviews with employees who leave the DOT.
- The DOT has evaluated its new employee orientation process. This resulted in process improvements involving a management team member and OES director welcoming the employees at the beginning of the orientation.
- The DOT continues to plan and prepare for establishing a formal mentoring program, and on-boarding of employees continue. This resulted in an Onboarding Partnership and Mentoring Program proposal.
- The DOT continues to evaluate the re-establishment of an EEO Advisory Committee (EEOAC). This resulted in an EEOAC bylaws proposal with the following mission: To assist and advise the DOT in identifying methodologies that seek to create a diverse workforce through recruitment, selection and retention, and to make the DOT a better place to work where individuals are accepted and appreciated for their unique contributions to the organization.

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 ninety-six (96) employee promotions for FY 2012. Twenty-one (21) or 21.88% were females (inclusive of two (2) female minorities) and one (1) or 1.0% minority. (Refer to Table 5B for a list of promotions.)

V. Training

- Mandatory diversity training for supervisors and managers included information on recruiting for increased diversity. All employees were required to take a Valuing Diversity course.
- The DOT continued to require new supervisors and managers to attend two diversity courses and all other new employees to attend one.

- The DOT continued to conduct Supervisor Roundtables/Academy with emphasis on human resource topics, including recruiting, hiring, diversity and ADA/Reasonable Accommodation.
- In last year's Affirmative Action Overview report, the DOT reported the ninth annual Supervisors' Training Conference that was conducted in September 2011 focused on diversity, Equal Employment Opportunity/Affirmative Action/ADA-Reasonable Accommodation, and other human resource topics. The agenda for the 2011 conference is attached as Addendum A-2. On October 11, 2012, the DOT conducted its Supervisor Development Training Session focused on Workplace Environment, communication and other leadership topics. (Refer to Addendum A-3.)
- Employees statewide continue to take training in different areas relevant to job duties and responsibilities. (Refer to Table 5C - Training statewide for FY 2012.)

VI. Publicizing the Affirmative Action Plan (AAP)

a. External publication:

- The Iowa DOT has publicized its approved FY 2011 AAP on the Civil Rights Program webpage on DOT's internet site. The Iowa DOT intends to publicize its AAP annually on this website as well as on its intranet. In addition, the Iowa DOT has notified 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 FY 2011 AAP approved by the Federal Highway Administration (FHWA).
- Currently, the State of Iowa's Executive Branch AA/Diversity Plan and Report is available on the Internet and can be accessed by everyone. The Iowa DOT's diversity report published by DAS can be accessed at this link: <http://das.hre.iowa.gov/diversity-aa-eeo.html>, then click on the Quick Link: Diversity & Affirmative Action in Iowa Report, 2010.

b. Internal publication:

- The completed and approved FY 2011 AAP has been published on the Iowa DOT's website and has been made accessible internally and externally.
- The Iowa DOT intends to publicize its AAP annually on this website as well as on its intranet. The AAP is part of the EEO/AA policy overview presentation at New Employee Orientation sessions scheduled throughout the year.

DEPARTMENT OVERVIEW

History

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

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

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

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

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

Geography

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

Workforce

There were no significant changes in top management personnel during FY 2012. There was one structural change in the organization when the Iowa DOT director established an Office of Public Affairs in October 2011 to perform the same functions of the former Office of Multimedia Services but with emphasis on strategic communication activities for the DOT. The office reported directly to the DOT director. An organizational chart is shown in Addendum A-5.

The Central Office is in the city of Ames with a central administrative office for Motor Vehicle Division in Ankeny. In FY 2012, the DOT has a gubernatorially appointed

director with five division directors reporting to him, representing the Information Technology Division; Highway Division; Motor Vehicle Division; Operations and Finance Division; and Planning, Programming, and Modal Division, and one office, the Office of Public Affairs.

The Highway Division has employees located statewide in the Central Office, 6 district offices, 109 maintenance garages, and 13 resident construction offices providing consistent administration of maintenance and construction activities.

The Motor Vehicle Division has employees located statewide at the central administrative office, 19 driver's license stations and 10 interstate and 2 primary road system Motor Vehicle Enforcement scale sites.

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

The total workforce as of June 30, 2012 was 2,896.

SECTION 2

**RESPONSIBILITY FOR
IMPLEMENTATION**

Designation of Personnel

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

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

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

Todd Sadler, Director of the Office of Employee Services (OES), and the Civil Rights Team's Internal EEO Program consisting of Walter Reed, Executive Officer 2 (now vacant); Elvie Laudencia, Executive Officer 1; and Scott Zalaznik (moved), Human Resources Professional 1 (David Corn, recently hired for this position) under the guidance/supervision of Lee Wilkinson, Director of the Operations and Finance Division, and the direction of Paul Trombino III, Director of the Iowa DOT, are responsible for the following:

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

The administration of the day-to-day functions of the DOT's AA/EEO Program rests with Elvie Laudencia, Affirmative Action/EEO Officer, as it relates to hiring practices. Ms. Laudencia reviews and approves all hiring decision justifications submitted by selecting authorities prior to job offers to ensure hiring decisions adhere to all departmental policy, federal and state laws and assure that equal opportunity is given to all applicants. Ms. Laudencia's responsibilities are: developing 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; 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 making 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; assisting in the design, implementation and monitoring of internal audit and reporting systems to measure program effectiveness and to determine where progress has been made and where further action is needed. Ms. Laudencia is actively involved in the request for reasonable accommodations consultations with management relating to granting and denying those requests of employees with disabilities, as well as applicants in need of accommodations.

SECTION 3

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

IOWA DEPARTMENT OF TRANSPORTATION

RECAP OF UTILIZATION FOR FY 11 AND FY 12

TABLE 1A

DOT Workforce - Comparison to 2000 Statewide Labor Force Data ***												
*** 2010 Census Statewide by EEO-4 Category not available.												
EEO Category	FY 11				FY 12				FY 12			
	TOTAL EEs	MIN EEs	% EEs	FEM EEs	TOTAL EEs	MIN EEs	% EEs	FEM EEs	TOTAL EEs	MIN EEs	% EEs	FEM EEs
01 Officials/Admin	179	6	3.35%	54	191	6	3.14%	54	191	6	3.14%	54
02 Professionals	545	21	3.85%	207	558	22	3.94%	214	558	22	3.94%	214
03 Technicians	499	22	4.41%	126	504	21	4.17%	126	504	21	4.17%	126
04 Protective Services	116	3	2.59%	13	126	5	3.97%	14	126	5	3.97%	14
05 Para Professionals	0	0	NA	0	126	5	3.97%	14	126	5	3.97%	14
06 Admin Support	284	2	0.70%	253	279	2	0.72%	251	279	2	0.72%	251
07 Skilled Craft	1205	41	3.40%	33	1216	41	3.37%	35	1216	41	3.37%	35
08 Service/Maint	21	3	14.29%	7	22	3	13.64%	7	22	3	13.64%	7
Total	2849	98	3.44%	693	2896	100	3.45%	701	2896	100	3.45%	701

EEO Category	2000 Census Statewide Availability % by EEO Category ***		Iowa DOT FY 12 Employee % by EEO Category		Underutilization = DOT % - Census %	
	MIN %	FEM %	MIN %	FEM %	MIN %	FEM %
01 Officials/Admin	2.70%	34.70%	3.14%	28.27%	0.44%	-6.43%
02 Professionals	5.30%	58.20%	3.94%	38.35%	-1.36%	-19.85%
03 Technicians	4.60%	63.60%	4.17%	25.00%	-0.43%	-38.60%
04 Protective Services	6.10%	16.90%	3.97%	11.11%	-2.13%	-5.79%
05 Para Professionals	NA	NA	NA	NA	NA	NA
06 Admin Support	4.70%	69.90%	0.72%	89.96%	-3.98%	20.06%
07 Skilled Craft	4.10%	7.50%	3.37%	2.88%	-0.73%	-4.62%
08 Service/Maint	9.40%	43.00%	13.64%	31.82%	4.24%	-11.18%

*** 2010 Census Statewide by EEO-4 Category not available.

IOWA DEPARTMENT OF TRANSPORTATION

RECAP OF UTILIZATION FOR FY 11 AND FY 12

TABLE 1B

DOT Workforce - Comparison to 2000 Statewide Labor Force Data ***										
*** 2010 Census Statewide by EEO-4 Category not available.										
FY 12 - FEMALE MINORITY IS COUNTED AS BOTH MINORITY AND FEMALE										
FY 12										
EEO Category	TOTAL FEM EEs inclusive of FEM-MIN			FEM-MIN EEs			TOTAL MIN % (inclusive of FEMALE MIN.)			
	MIN %	FEM %	FEM-MIN %	MIN EEs	FEM EEs	FEM-MIN EEs	TOTAL MIN %	FEMALE MIN %	FEM EEs %	
01 Officials/Admin	2.70%	34.70%	28.27%	3	3	3	4.71%	4.71%	54	28.27%
02 Professionals	5.30%	58.20%	38.35%	11	11	11	5.91%	5.91%	214	38.35%
03 Technicians	4.60%	63.60%	25.00%	4	4	4	4.96%	4.96%	126	25.00%
04 Protective Services	6.10%	16.90%	11.11%	0	0	0	3.97%	3.97%	14	11.11%
05 Para Professionals	NA	NA	NA	0	0	0	NA	NA	0	NA
06 Admin Support	4.70%	69.90%	89.96%	15	15	15	6.09%	6.09%	251	89.96%
07 Skilled Craft	4.10%	7.50%	2.88%	0	0	0	3.37%	3.37%	35	2.88%
08 Service/Maint	9.40%	43.00%	31.82%	0	0	0	13.64%	13.64%	7	31.82%
Total	4.70%	43.00%	24.21%	33	33	33	4.59%	4.59%	701	24.21%
2000 Census Statewide Availability % by EEO Category ***										
EEO Category	MIN %	FEM %								
01 Officials/Admin	2.70%	34.70%								
02 Professionals	5.30%	58.20%								
03 Technicians	4.60%	63.60%								
04 Protective Services	6.10%	16.90%								
05 Para Professionals	NA	NA								
06 Admin Support	4.70%	69.90%								
07 Skilled Craft	4.10%	7.50%								
08 Service/Maint	9.40%	43.00%								
Iowa DOT FY 12 Employee % by EEO Category										
EEO Category	TOTAL MIN % (inclusive of FEMALE MIN.)	FEM %								
01 Officials/Admin	4.71%	28.27%								
02 Professionals	5.91%	38.35%								
03 Technicians	4.96%	25.00%								
04 Protective Services	3.97%	11.11%								
05 Para Professionals	NA	NA								
06 Admin Support	6.09%	89.96%								
07 Skilled Craft	3.37%	2.88%								
08 Service/Maint	13.64%	31.82%								
Underutilization = DOT % - Census %										
EEO Category	TOTAL MIN % (inclusive of FEMALE MIN.)	FEM %								
01 Officials/Admin	2.01%	-6.43%								
02 Professionals	0.61%	-19.85%								
03 Technicians	0.36%	-38.60%								
04 Protective Services	-2.13%	-5.79%								
05 Para Professionals	NA	NA								
06 Admin Support	1.39%	20.06%								
07 Skilled Craft	-0.73%	-4.62%								
08 Service/Maint	4.24%	-11.18%								

*** 2010 Census Statewide by EEO-4 Category not available.

SECTION 4

ANALYSIS OF PRESENT WORKFORCE

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

EEO-4 JOB CATEGORIES ***	ANNUAL SALARY (In thousands 000)	TOTAL (COLUMNS B-K)	MALE						FEMALE								
			WHITE		BLACK		ASIAN OR PACIFIC ISLANDER		AMERICAN INDIAN OR ALASKAN NATIVE		HISPANIC		ASIAN OR PACIFIC ISLANDER		AMERICAN INDIAN OR ALASKAN NATIVE		
			A	B	C	D	E	F	G	H	I	J	K				
TOTAL		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
ADMINISTRATIVE SUPPORT																	
	38. 43.0-54.9																
	39. 55.0-69.9																
	40. 70.0- PLUS																
	41. \$0.1-15.9	21	3														
	42. 16.0-19.9	187	20	1													
	43. 20.0-24.9	68	3	1													
	44. 25.0-32.9	3															
	45. 33.0-42.9																
	46. 43.0-54.9																
	47. 55.0-69.9																
	48. 70.0- PLUS	279	26	2	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL																	
SKILLED CRAFT																	
	49. \$0.1-15.9	4	4														
	50. 16.0-19.9	284	273	3	1												
	51. 20.0-24.9	784	732	8	7												
	52. 25.0-32.9	103	93														
	53. 33.0-42.9	41	38	1													
	54. 43.0-54.9	1216	1140	12	8												
	55. 55.0-69.9																
	56. 70.0- PLUS																
TOTAL																	
SERVICE MAINTENANCE																	
	57. \$0.1-15.9	3	1	1													
	58. 16.0-19.9	18	11														
	59. 20.0-24.9	1															
	60. 25.0-32.9																
	61. 33.0-42.9																
	62. 43.0-54.9																
	63. 55.0-69.9																
	64. 70.0- PLUS	22	12	1	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL		2896	2094	30	22	21	21	27	27	667	14	5	12	4			
TOTAL FULL TIME																	

TABLE 3 - WORKFORCE AGENCY-WIDE ANALYSIS

JOB CATEGORIES	TOTAL (COL. B-K)	MALE					FEMALE					AMERICAN INDIAN OR ALASKAN	100%										
		NON-HISPA. ORIGI WHITE	BLACK C	HISPA-NIC D	ASIAN OR PACIFIC ISLANDER E	AMER. INDIAN OR ALASKAN F	NON-HISPA. ORIGI WHITE G	BLACK H	HISPA-NIC I	ASIAN OR PACIFIC ISLANDER J	AMERICAN INDIAN OR ALASKAN K												
OFFICIALS AND ADMINISTRATOR	191	131	68.6%	3	1.6%	1	0.5%	2	1.0%	0	0.0%	51	26.7%	0	0.0%	0	0.0%	3	1.6%	0	0.0%	0	0.0%
PROFESSIONALS	558	322	57.7%	3	0.5%	6	1.1%	12	2.2%	1	0.2%	202	36.2%	2	0.4%	3	1%	6	1.1%	1	0.2%	1	0.2%
TECHNICIANS	504	357	70.8%	8	1.6%	4	0.8%	3	0.6%	6	1.2%	122	24.2%	1	0.2%	1	0%	0	0.0%	0	0.0%	2	0.4%
PROTECTIVE SERVICE	126	107	84.9%	1	0.8%	3	2.4%	0	0.0%	1	0.8%	14	11.1%	0	0.0%	0	0%	0	0.0%	0	0.0%	0	0.0%
PARA- PROFESSIONAL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
ADMINISTRATIVE SUPPORT	279	26	9.3%	2	0.7%	0	0.0%	0	0.0%	0	0.0%	236	84.6%	11	3.9%	1	0%	2	0.7%	1	0.4%	1	0.4%
SKILLED CRAFT	1216	1140	93.8%	12	1.0%	8	0.7%	3	0.2%	18	1.5%	35	2.9%	0	0.0%	0	0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANC	22	12	54.5%	1	4.5%	0	0.0%	1	4.5%	1	4.5%	7	31.8%	0	0.0%	0	0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	2896	2095	72.3%	30	1.0%	22	0.8%	21	0.7%	27	0.9%	667	23.0%	14	0.5%	5	0.2%	11	0.4%	4	0.1%	4	0.1%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2011			
TOTAL	MALE	FEMALE	TOTAL %
NON-HISPANIC ORIGIN/WHITE	2095	667	24.15%
BLACK	30	14	31.82%
HISPANIC	22	5	18.52%
ASIAN OR PACIFIC ISLANDER	21	11	34.38%
AMER INDIAN OR ALASKAN	27	4	12.90%
OVERALL TOTAL	2195	701	24.21%

WORKFORCE ANALYSIS BY DIVISION

**EMPLOYMENT DATA AS OF JUNE 30, 2012
TABLE 4A - DIVISION/OFFICE: DIRECTOR'S OFFICE**

DIVISION/ OFFICE	JOB CATEGORIES	TOTAL (COL. B-K)	MALE						FEMALE											
			NON- HISPA. ORIGIN	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE	NON- HISPA. ORIGIN	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE	HISPA- NIC	NON- HISPA. ORIGIN	ASIAN OR PACIFIC ISLANDER	HISPA - NIC	NON- HISPA. ORIGIN	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE					
		A	B	C	D	E	F	G	H	I	J	K								
DIRECTOR'S OFFICE	OFFICIALS AND ADMINISTRATOR	7	2	28.6%	1	14.3%	0	0.0%	0	0.0%	0	0.0%	4	57.1%	0	0.0%	0	0.0%	0	0.0%
	PROFESSIONALS	14	6	42.9%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	8	57.1%	0	0.0%	0	0.0%	0	0.0%
	TECHNICIANS	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
	PROTECTIVE SERVICE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
	PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	ADMINISTRATIVE SUPPORT	4	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	4	100%	0	0.0%	0	0.0%	0	0.0%
	SKILLED CRAFT	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
	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%
TOTAL FULL TIME		25	8	32.0%	1	4.0%	0	0.0%	0	0.0%	0	0.0%	16	64.0%	0	0.0%	0	0.0%	0	0.0%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2012						
TOTAL	MALE	%	FEMALE %			
NON-HISPANIC ORIGIN/WHITE	24	8	33.3%	16	66.67%	100%
BLACK	1	1	100.0%	0	0.00%	100%
HISPANIC	0	0	0.0%	0	0.00%	0%
ASIAN OR PACIFIC ISLANDER	0	0	#DIV/0!	0	#DIV/0!	#DIV/0!
AMER INDIAN OR ALASKAN	0	0	0.0%	0	0.00%	0%
TOTAL	25	9	36.0%	16	64.00%	100%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2012
TABLE 4C - DIVISION/OFFICE: HIGHWAY

DIVISION	JOB CATEGORIES	TOTAL (COL. B-K)	MALE						FEMALE													
			TOTAL NON-HISPA. ORIGIN	WHITE %	BLACK %	C %	D %	E %	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE	NON-HISPA. ORIGIN	WHITE %	BLACK %	H %	I %	J %	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE				
HIGHWAY	OFFICIALS AND ADMINISTRATOR	116	98	84.5%	1	0.9%	0	0.0%	1	0.9%	0	0.0%	15	12.9%	0	0.0%	0	0.0%	1	0.9%	0	0.0%
	PROFESSIONALS	252	173	68.7%	1	0.4%	1	0.4%	10	4.0%	0	0.0%	61	24.2%	0	0.0%	2	1%	3	1.2%	1	0.4%
	TECHNICIANS	428	341	79.7%	8	1.9%	3	0.7%	2	0.5%	6	1.4%	66	15.4%	1	0.2%	0	0%	0	0.0%	1	0.2%
	PROTECTIVE SERVICE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0%	0	0.0%	0	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	67	0	0.0%	1	1.5%	0	0.0%	0	0.0%	0	0.0%	63	94.0%	1	1.5%	0	0%	1	1.5%	1	1.5%
	SKILLED CRAFT	1161	1089	93.8%	12	1.0%	8	0.7%	3	0.3%	18	1.6%	31	2.7%	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%
TOTAL FULL TIME		2025	1702	84.0%	23	1.1%	12	0.6%	16	0.8%	24	1.2%	236	11.7%	2	0.1%	2	0.1%	5	0.2%	3	0.1%

TOTAL	MALE	%	FEMALE	%
NON-HISPANIC ORIGIN/WHITE	1702	87.8%	236	12.18%
BLACK	23	92.0%	2	8.00%
HISPANIC	12	85.7%	2	14.29%
ASIAN OR PACIFIC ISLANDER	16	76.2%	5	23.81%
AMER INDIAN OR ALASKAN	24	88.9%	3	11.11%
TOTAL	2025	1777	87.8%	248
			12.25%	100%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2012
TABLE 4D - DIVISION/OFFICE: MOTOR VEHICLE

DIVISION	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 G	BLACK H	HISPA-NIC	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE								
MOTOR VEHICLE	OFFICIALS AND ADMINISTRATOR	A	B	%	C	%	D	%	E	%	F	%	G	%	H	%	I	%	J	%	K	%
	ADMINISTRATOR	21	8	38.1%	0	0.0%	0	0.0%	1	4.8%	0	0.0%	12	57.1%	0	0.0%	0	0%	0	0.0%	0	0.0%
	PROFESSIONALS	61	12	19.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	48	78.7%	1	1.6%	0	0%	0	0.0%	0	0.0%
	TECHNICIANS	47	4	8.5%	0	0.0%	1	2.1%	1	2.1%	0	0.0%	40	85.1%	0	0.0%	1	2%	0	0.0%	0	0.0%
	PROTECTIVE SERVICE	126	107	100.0%	1	0.8%	3	2.4%	0	0.0%	1	0.8%	14	11.1%	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	176	16	9.1%	1	0.6%	0	0.0%	0	0.0%	0	0.0%	147	83.5%	10	5.7%	1	1%	1	0.6%	0	0.0%
	SKILLED CRAFT	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0%	0	0.0%	0	0.0%
	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%
	TOTAL FULL TIME	431	147	34.1%	2	0.5%	4	0.9%	2	0.5%	1	0.2%	261	60.6%	11	2.6%	2	0.5%	1	0.2%	0	0.0%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2012			
TOTAL	MALE	%	FEMALE
NON-HISPANIC ORIGIN/WHITE	408	36.0%	261
			63.97%
			100%
BLACK	13	2	15.4%
			11
			84.62%
HISPANIC	6	4	66.7%
			2
			33.33%
ASIAN OR PACIFIC ISLANDER	3	2	66.7%
			1
			33.33%
AMER INDIAN OR ALASKAN	1	1	100.0%
			0
			0.00%
TOTAL	431	156	36.2%
			275
			63.81%
			100%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2012
TABLE 4E - DIVISION/OFFICE: OPERATIONS AND FINANCE

DIVISION	JOB CATEGORIES	TOTAL (COL. B-K)	MALE						FEMALE															
			NON- HISPA. ORIGIN		HISPA- NIC		ASIAN OR PACIFIC ISLANDER		AMER. INDIAN OR ALASKAN NATIVE		NON- HISPA. ORIGIN		HISPA- NIC		ASIAN OR PACIFIC ISLANDER		AMER. INDIAN OR ALASKAN NATIVE							
			A	B	%	C	%	D	%	E	%	F	%	G	%	H	%	I	%	J	%	K	%	
OPERATIONS AND FINANCE	OFFICIALS AND ADMINISTRATOR	21	11	52.4%	1	4.8%	1	4.8%	0	0.0%	0	0.0%	0	0.0%	6	28.6%	0	0.0%	0	0.0%	2	9.5%	0	0.0%
	PROFESSIONALS	54	27	50.0%	1	1.9%	0	0.0%	0	0.0%	0	0.0%	25	46.3%	1	1.9%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
	TECHNICIANS	15	2	13.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	12	80.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	6.7%
	PROTECTIVE SERVICE	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
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
ADMINISTRATIVE SUPPORT	23	10	43.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	13	56.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
SKILLED CRAFT	40	37	92.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	3	7.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
SERVICE MAINTENANCE	21	11	52.4%	1	4.8%	0	0.0%	1	4.8%	1	4.8%	7	33.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
TOTAL FULL TIME		174	98	56.3%	3	1.7%	1	0.6%	1	0.6%	1	0.6%	66	37.9%	1	0.6%	0	0.0%	2	1.1%	1	0.6%		

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2012			
TOTAL	MALE	%	FEMALE
NON-HISPANIC ORIGIN/WHITE	164	98	59.8%
BLACK	4	3	75.0%
HISPANIC	1	1	100.0%
ASIAN OR PACIFIC ISLANDER	3	1	33.3%
AMER INDIAN OR ALASKAN	2	1	50.0%
TOTAL	174	104	59.8%

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2012
TABLE 4F - DIVISION/OFFICE: PLANNING, PROGRAMMING AND MODAL

DIVISION	JOB CATEGORIES	TOTAL (COL. B-K)	MALE						FEMALE											
			NON-HISPA. ORIGIN	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE	NON-HISPA. ORIGIN	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE	HISPA-NIC	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE	HISPA-NIC	ASIAN OR PACIFIC ISLANDER	AMER. INDIAN OR ALASKAN NATIVE						
A	B	%	C	%	D	%	E	%	F	%	G	%	H	%	I	%	J	%	K	%
PLANNING, PROGRAMMING AND MODAL	OFFICIALS AND ADMINISTRATOR	18	7	38.9%	0	0.0%	0	0.0%	0	0.0%	11	61.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
	PROFESSIONALS	61	35	57.4%	0	0.0%	3	4.9%	1	1.6%	20	32.8%	0	0.0%	1	2%	1	1.6%	0	0.0%
	TECHNICIANS	12	9	75.0%	0	0.0%	0	0.0%	0	0.0%	3	25.0%	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%
	PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	ADMINISTRATIVE SUPPORT	3	0	0.0%	0	0.0%	0	0.0%	0	0.0%	3	100.0%	0	0.0%	0	0%	0	0.0%	0	0.0%
	SKILLED CRAFT	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0%	0	0.0%	0	0.0%
	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%
	TOTAL FULL TIME	64	51	54.3%	0	0.0%	3	3.2%	1	1.1%	37	39.4%	0	0.0%	1	1.1%	1	1.1%	0	0.0%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2012			
TOTAL	MALE	FEMALE	
NON-HISPANIC ORIGIN/WHITE	51	58.0%	37
BLACK	0	0.0%	0
HISPANIC	4	75.0%	1
ASIAN OR PACIFIC ISLANDER	1	0.0%	1
AMER INDIAN OR ALASKAN	1	100.0%	0
TOTAL	64	58.5%	39

WORKFORCE ANALYSIS BY DIVISION

EMPLOYMENT DATA AS OF JUNE 30, 2012
TABLE 4G - DIVISION/OFFICE: INFORMATION TECHNOLOGY

DIVISION	JOB CATEGORIES	TOTAL (COL. B-K)	MALE						FEMALE															
			NON- HISPA. ORIGIN	%	BLACK	%	HISPA- NIC	%	ASIAN OR PACIFIC ISLANDER	%	AMER. INDIAN OR ALASKAN NATIVE	%	NON- HISPA. ORIGIN	%	HISPA- NIC	%	ASIAN OR PACIFIC ISLANDER	%	AMER. INDIAN OR ALASKAN NATIVE	%				
INFORMATION OFFICIALS AND TECHNOLOGY ADMINISTRATOR	WHITE	A	B	%	BLACK	C	%	D	%	E	%	F	%	G	%	H	%	I	%	J	%	K	%	
		8	5	62.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	3	37.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS		116	69	59.5%	1	0.9%	2	1.7%	2	1.7%	0	0.0%	0	0.0%	40	34.5%	0	0.0%	0	0.0%	2	1.7%	0	0.0%
TECHNICIANS		2	1	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE		0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PARA- PROFESSIONAL		N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT		5	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	5	100.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT		15	14	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	6.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE		0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME		146	89	61.0%	1	0.7%	2	1.4%	2	1.4%	0	0.0%	0	0.0%	50	34.2%	0	0.0%	0	0.0%	2	1.4%	0	0.0%

SUMMARY OF EMPLOYMENT DATA - JUNE 30, 2012			
TOTAL	MALE	%	FEMALE
NON-HISPANIC ORIGIN/WHITE	89	64.0%	35.97%
BLACK	1	100.0%	0.00%
HISPANIC	2	100.0%	0.00%
ASIAN OR PACIFIC ISLANDER	4	50.0%	50.00%
AMER INDIAN OR ALASKAN	0	0.0%	0.00%
TOTAL	146	64.4%	35.62%

SUMMARY OF WORKFORCE BY DIVISION/OFFICE
EMPLOYMENT DATA AS OF JUNE 30, 2012
TABLE 4H

DIVISION/OFFICE	TOTAL	MALE	%	FEMALE	%
DIRECTOR'S OFFICE	25	9	36.0%	16	64.00%
GENERAL COUNSEL	1	0	0.0%	1	100.00%
HIGHWAY DIVISION	2025	1777	87.8%	248	12.25%
MOTOR VEHICLE DIVISION	431	156	36.2%	275	63.81%
OPERATIONS & FINANCE DIV	174	104	59.8%	70	40.23%
PLANNING, PROGRAMMING AND MODAL	94	55	58.5%	39	41.49%
INFORMATION ECHNOLOGY	146	94	64.4%	52	35.62%
TOTAL	2896	2195	75.8%	701	24.21%

PERSONNEL ACTIVITIES
 TABLE 5A - NEW HIRES AGENCY-WIDE - FY 2011 end JUNE 30, 2012

JOB CATEGORIES	TOTAL NON- (COL. B-K) ORIGIN		MALE					FEMALE					
	A	B	WHITE %	BLACK %	C	D	E	F	G	H	I	J	K
OFFICIALS AND ADMINISTRATOR	2	2	100.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	13	11	84.6%	0	0.0%	0	0.0%	0	0.0%	1	7.7%	0	0.0%
TECHNICIANS	4	4	100.0%	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%
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	5	0	0.0%	0	0.0%	0	0.0%	0	0.0%	5	100.0%	0	0.0%
SKILLED CRAFT	19	18	94.7%	0	0.0%	0	0.0%	0	0.0%	1	5.3%	0	0.0%
SERVICE MAINTENANCE	2	2	100.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
TOTAL FULL TIME	45	37	82.2%	0	0.0%	0	0.00%	0	0.0%	7	15.6%	1	2.2%

SUMMARY OF NEW HIRES - JUNE 30, 2012		
TOTAL	MALE	FEMALE
NON-HISPANIC ORIGIN/WHITE	37	84.1%
BLACK	0	0.0%
HISPANIC	1	50.00%
ASIAN OR PACIFIC ISLANDER	0	0.0%
AMER INDIAN OR ALASKAN	0	0.0%
TOTAL	45	17.78%

PERSONNEL ACTIVITIES
 TABLE 5B - PROMOTIONS AGENCY-WIDE - FY 2011 end JUNE 30, 2012

JOB CATEGORIES	TOTAL NON-HISPA. (COL. B-K)		MALE					FEMALE							
	A	B	WHITE %	BLACK %	C	D	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	12	11	91.7%	0	0.0%	0	0.0%	0	0.0%	0	8.3%	0	0.0%	0	0.0%
PROFESSIONALS	21	11	52.4%	0	0.0%	0	0.0%	1	4.8%	0	33.3%	0	0.0%	1	4.8%
TECHNICIANS	20	17	85.0%	0	0.0%	0	0.0%	0	0.0%	0	15.0%	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%
PARA - PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	7	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	100.0%	0	0.0%	0	0.0%
SKILLED CRAFT	34	33	97.1%	0	0.0%	0	0.0%	0	0.0%	0	2.9%	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%
TOTAL FULL TIME	96	74	77.1%	0	0.0%	0	0.00%	1	1.0%	0	0.0%	19	19.8%	0	0.0%

SUMMARY OF PROMOTIONS - JUNE 30, 2012			
TOTAL	MALE	FEMALE	TOTAL %
NON-HISPANIC ORIGIN/WHITE	74	19	20.43%
BLACK	0	0	0.00%
HISPANIC	1	1	0.00%
ASIAN OR PACIFIC ISLANDER	1	1	50.00%
AMER. INDIAN OR ALASKAN	0	0	0.00%
TOTAL	75	21	21.88%

PERSONNEL ACTIVITIES
TABLE 5C - TRAINING AGENCY-WIDE - FY 2012 end JUNE 30, 2012

JOB CATEGORIES	TOTAL NON- (COL. B-K) HISPA. ORIGIN	MALE					FEMALE					
		WHITE A B C	BLACK D	HISPA- NIC E	ASIAN OR PACIFIC ISLANDER F	AMER. INDIAN OR ALASKAN NATIVE G	NON- HISPA. ORIGIN H	WHITE I	BLACK J	HISPA- NIC K	ASIAN OR PACIFIC ISLANDER L	AMER. INDIAN OR ALASKAN NATIVE M
OFFICIALS AND ADMINISTRATOR	851	648	13	1	8	0	0	155	15	0	11	0
PROFESSIONALS	1107	562	8	12	21	1	470	12	6	14	1	
TECHNICIANS	1752	1239	25	11	6	13	447	1	7	0	3	
PROTECTIVE SERVICE	126	110	9	0	0	0	7	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	801	32	5	0	0	0	730	18	0	11	5	
SKILLED CRAFT	6908	6456	80	33	7	131	201	0	0	0	0	
SERVICE MAINTENANCE	33	22	1	0	1	1	8	0	0	0	0	
TOTAL	11578	9069	141	57	43	146	2018	46	13	36	9	

NOTE: TOTAL COUNT IS BASED ON TRAINING ATTENDED DURING FISCAL YEAR (FY) 2012
 EMPLOYEE MAYBE COUNTED MORE THAN ONCE BASED ON THE NUMBER OF TRAINING ATTENDED DURING THE FY.

PERSONNEL ACTIVITIES
TABLE 5C - TRAINING AGENCY-WIDE - FY 2012 end JUNE 30, 2012

JOB CATEGORIES	TOTAL NON- (COL. B-K) HISPA. ORIGIN	MALE					FEMALE					
		WHITE A B	BLACK C	D	ASIAN OR PACIFIC ISLANDER E	AMER. INDIAN OR ALASKAN NATIVE F	NON- HISPA. ORIGIN G	WHITE H	BLACK I	HISPA- NIC J	ASIAN OR PACIFIC ISLANDER K	AMER. INDIAN OR ALASKAN NATIVE K
OFFICIALS AND ADMINISTRATOR	851	648	13	1	8	0	155	15	0	11	0	0
PROFESSIONALS	1107	562	8	12	21	1	470	12	6	14	1	1
TECHNICIANS	1752	1239	25	11	6	13	447	1	7	0	3	3
PROTECTIVE SERVICE	126	110	9	0	0	0	7	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	801	32	5	0	0	0	730	18	0	11	5	5
SKILLED CRAFT	6908	6456	80	33	7	131	201	0	0	0	0	0
SERVICE MAINTENANCE	33	22	1	0	1	1	8	0	0	0	0	0
TOTAL	11578	9069	141	57	43	146	2018	46	13	36	9	9

NOTE: TOTAL COUNT IS BASED ON TRAINING ATTENDED DURING FISCAL YEAR (FY) 2012
 EMPLOYEE MAYBE COUNTED MORE THAN ONCE BASED ON THE NUMBER OF TRAINING ATTENDED DURING THE FY.

PERSONNEL ACTIVITIES
 TABLE 5D - TERMINATIONS AGENCY-WIDE - FY 2012 end JUNE 30, 2012

JOB CATEGORIES	TOTAL NON- (COL. HISPA. B-K) ORIGIN		MALE						FEMALE						
	A	B	WHITE %	BLACK %	HISPA- NIC %	ASIAN OR PACIFIC ISLANDER %	AMER. INDIAN OR ALASKAN NATIVE %	NON- HISPA. ORIGIN %	WHITE %	BLACK %	HISPA- NIC %	ASIAN OR PACIFIC ISLANDER %	AMER. INDIAN OR ALASKAN NATIVE %		
OFFICIALS AND ADMINISTRATOR	8	8	100.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	29	18	62.1%	1	3.4%	0	0.0%	1	3.4%	0	0.0%	8	27.6%	0	0.0%
TECHNICIANS	17	13	76.5%	0	0.0%	0	0.0%	0	0.0%	2	11.8%	1	5.9%	1	5.9%
PROTECTIVE SERVICE	6	5	83.3%	0	0.0%	0	0.0%	0	0.0%	1	16.7%	0	0.0%	0	0.0%
PARA- PROFESSIONAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ADMINISTRATIVE SUPPORT	13	2	15.4%	0	0.0%	0	0.0%	0	0.0%	9	69.2%	1	7.7%	1	7.7%
SKILLED CRAFT	41	39	95.1%	0	0.0%	0	0.0%	0	0.0%	2	4.9%	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%
TOTAL FULL TIME	115	86	74.8%	1	0.9%	0	0.0%	1	0.9%	22	19.1%	2	1.7%	2	1.7%

SUMMARY OF TERMINATIONS - JUNE 30, 2012		
TOTAL	MALE	FEMALE
NON-HISPANIC ORIGIN/WHITE	86	22
	79.6%	20.37%
BLACK	1	2
	33.3%	66.67%
HISPANIC	0	2
	0.0%	100.00%
ASIAN OR PACIFIC ISLANDER	1	1
	50.0%	50.00%
AMER INDIAN OR ALASKAN	0	0
	0.0%	0.0%
TOTAL	88	27
	76.5%	23.48%

PERSONNEL ACTIVITIES
 TABLE 5E - DEMOTIONS AGENCY-WIDE - FY 2012 end JUNE 30, 2012

JOB CATEGORIES	TOTAL NON- (COL. B-K) ORIGIN				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	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
TECHNICIANS	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
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	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
SERVICE MAINTENANCE	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL FULL TIME	1	1	100.0%	0	0.00%	0	0.0%	0	0.0%	0	0.0%	0

SUMMARY OF DEMOTIONS - JUNE 30, 2012			
TOTAL	MALE	%	FEMALE
NON-HISPANIC ORIGIN/WHITE	1	100.0%	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
TOTAL	1	100.0%	0

PERSONNEL ACTIVITIES
 TABLE 5G - TRANSFERS AGENCY-WIDE - FY 2012 end JUNE 30, 2012

JOB CATEGORIES	TOTAL (COL. B-K)				MALE				FEMALE				
	NON-HISPA. ORIGIN	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	3	2	66.7%	0	0.0%	0	0.0%	0	0.0%	1	33.3%	0	0.0%
PROFESSIONALS	5	3	60.0%	0	0.0%	0	0.0%	2	40.0%	0	0.0%	0	0.0%
TECHNICIANS	5	5	100.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	5	5	100.0%	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
ADMINISTRATIVE SUPPORT	1	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	0.0%	0	0.0%
SKILLED CRAFT	25	24	96.0%	0	0.0%	0	0.0%	1	4.0%	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%
TOTAL FULL TIME	44	39	88.6%	0	0.0%	1	2.3%	0	0.0%	4	9.1%	0	0.0%

SUMMARY OF TRANSFERS - JUNE 30, 2012			
TOTAL	MALE	%	FEMALE %
NON-HISPANIC ORIGIN/WHITE	39	90.7%	4 9.30%
BLACK	0	0.0%	0 0.00%
HISPANIC	0	0.0%	0 0.00%
ASIAN OR PACIFIC ISLANDER	1	100.0%	0 0.00%
AMER INDIAN OR ALASKAN	0	0.0%	0 0.00%
TOTAL	44	90.9%	4 9.09%

DISCIPLINARY ACTIONS AGENCYWIDE

FISCAL YEAR 2012 which ended JUNE 30, 2012
TABLE 5H

JOB CATEGORIES	TOTAL NON- (COL. B-K) HISPA. ORIGIN	MALE					FEMALE																
		A	B	%	BLACK	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%	1	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROFESSIONALS	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	0.0%	0	0.0%
TECHNICIANS	8	3	37.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	5	62.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PROTECTIVE SERVICE	5	5	100.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
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	7	1	14.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	6	85.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SKILLED CRAFT	26	21	80.8%	1	3.8%	0	0.0%	1	3.8%	0	0.0%	3	11.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
SERVICE MAINTENANCE	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	0.0%
TOTAL FULL TIME	54	36	66.7%	1	1.9%	0	0.0%	1	1.9%	0	0.0%	16	29.6%	0	0.0%								

SUMMARY OF DISCIPLINARY ACTIONS - JUNE 30, 2012			
TOTAL	MALE	%	FEMALE
NON-HISPANIC ORIGIN/WHITE	52	69.2%	16
	36	30.77%	100%
BLACK	1	100.0%	0
HISPANIC	0	0.0%	0
ASIAN OR PACIFIC ISLANDER	1	100.0%	0
AMER INDIAN OR ALASKAN	0	0.0%	0
TOTAL	54	70.4%	16
			100%

SECTION 5

SETTING GOALS AND TIMETABLES

Short- and long-range objectives

The following pages are Table 7A – Transportation AA Form D – Hiring Goals & Timetable, Table 7B - DOT's FY 2011 carried over to FY 2012 and FY 2013 Hiring Goals for Targeted Underutilized Job Classes, and DOT Job Class Underutilization List as of July 8, 2010.

As informational background of the Iowa DOT's short- and long-term objectives, priorities and target dates for achieving goals and progress, its FY 2009 – FY 2013 employment goals were included in the Affirmative Action Program/Plan (AAP) Overview Report for Fiscal Year 2008 submitted to the FHWA. The AAP was prepared by DAS-HRE in conjunction with its newly implemented approach to setting goals for FY 2009 through 2013 (see Table 7A). The AA Form D identified and set specific numbers of Females and Minorities that the Iowa DOT should fill to meet the hiring goals on each of the identified EEO-4 categories. Because affirmative action is short-term in nature, DAS-HRE determined it must have an end date. It is a mutual goal of DAS-HRE and the Iowa DOT to maintain its current representation of females and minorities plus add staff to meet or exceed its goals in order to achieve a balanced workforce by FY 2013. The underutilization of Persons with Disabilities was calculated differently. The total hiring goal was 15 without specifically referencing any EEO-4 category. As a result, the Hiring Goals and Timetable report set a Balanced Workforce Year for the end of FY 2013.

DAS-HRE required the Iowa DOT to submit incremental annual hiring goals until FY 2011. As mentioned in our status report of efforts submitted to FHWA in December of 2011, the Iowa Attorney General's office and DAS-HRE are investigating efficient ways to collect and review underutilization of job classifications. Until this process is established, the Iowa DOT and/or DAS-HRE will not be able to provide short- and long-range objectives and goals with priorities and target dates for achieving goals and progress. Nevertheless, the Iowa DOT has carried over its FY 2011 goals to FY 2012 and FY 2013 (see Table 7B).

TABLE 7A

TRANSPORTATION

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

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

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

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

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

Department Approval _____
DAS-HRE Approval _____

TABLE 7B

DOT'S Hiring Goals for Targeted Underutilized (UU) Job Classes FY 2011, FY 2012 and FY 2013 ***									
EEO CATEGORY	JOB CLASS	FEMALES (PN)	GOAL	MINORITY (PN)	GOAL	GOAL		PERSONS with DISABILITIES	
						(CATEGORY F)	(GOAL)		
1. Official/Admin.	None	No	No	No	No			Workforce Aggregate - All Job Classes are Underutilized.	
2. Professional	Accountant/Auditor 1	Yes	2						
	Geologist 2	Yes	1						
	Information Specialist 3	Yes	1						
3. Technical	Construction Tech Asst	Yes		Yes		1			
	Construction Tech Senior			Yes	1				
	Design Tech Specialist	Yes	1						
	Design Technician	Yes			1				
	Engineering Operations Technician	Yes		Yes					
	Engineering Technician Senior	Yes		Yes		2			
	Engineering Technician Senior	Yes		Yes					
	Engineering Technician Senior	Yes		Yes					
	Materials Fabrication Inspection 1	Yes		Yes		1			
	Materials Fabrication Inspection 2	Yes		Yes		1			
Materials Tech 4	Yes		Yes		1				
Materials Tech 4	Yes		Yes		1				
Materials Tech 5	Yes		Yes		1				
Materials Tech 5	Yes		Yes		1				
4. Protective Service	Motor Vehicle Investigator	Yes		Yes		1			
	Motor Vehicle Officer	Yes	1	Yes	1				
6. Administrative Support	None	No		No					
	Comm Tech 2	Yes	1						
7. Skilled Craft	Equipment Operator Sr	Yes	2						
	Garage Operations Assistant	Yes	2						
	Highway Maintenance Supervisor	Yes	1						
	Highway Tech Associate	Yes	6						
	Highway Tech	Yes	2				2		
	Highway Tech Senior	Yes	2						
8. Service/Maintenance		No		No					
	TOTALS		40		27	3	10		

Note: EEO Category 5 is not used by the State. PN - Preferential UU ** - No Specific Category (GOAL either Female or Min. Dis) *** = FY 2011 goals were carried over to FY 2012 and FY 2013. The reason for carrying over the goals from FY 2011 to FY 2012 and FY 2013 was due to the suspension of the Job Class Underutilization list (end date of 07/08/2010) issued by the Iowa Department of Administrative Services-Human Resources Enterprise (DAS-HRE), which administers the Affirmative Action Programs in the Executive Branch of the State of Iowa. DAS-HRE anticipates that a new methodology for establishing Job Class Underutilization would be established by Fiscal Year 2013-2014.

JOB CLASS UNDERUTILIZATION LIST

This document lists each Job Class Title within an agency by occupational code and EEO category. It is your key to pinpointing specific job classes to target for affirmative action (AA) hiring in your AA Plan.

Current UU Identifies whether minorities, females, or both are underutilized in the job title, i.e., their representation in the Job Class Title is less than their representation in the available labor force.

Person with Disabilities Underutilization is identified by a "Y" or "N" under the department title.

Hiring Goals Identifies the type of underutilization at the beginning of the fiscal year (BOFY) and describes whether hiring and/or program goals are necessary to correct the underutilization. These codes will only be identified where there is underutilization:

- PN** Preferential and Nonpreferential requires both numerical and qualitative goals. Only underutilized Job Titles in "Current UU" with a PN in the "Hiring Goals BOFY" column will be coded for affirmative action hires on lists of eligible applicants.
- NP** Nonpreferential, requires only qualitative or programmatic goals for underutilized Job Titles in "Current UU".
- BA** Balanced at BOFY, however, the "Current UU" may vary with each quarterly report and may or may not be underutilized.

This list is updated quarterly so you may track how underutilization is changing for specific job classes and adjust your remedial efforts.

PAY PERIOD ENDING DATE: 07/08/2010

DEPARTMENT: 645 TRANSPORTATION
DISABILITY UNDERUTILIZATION: Y **LEGEND:** F = FEMALES B = BOTH FEMALES & MINORITIES
M = MINORITIES * = NO UNDERUTILIZATION

Prepared by Department of Administrative Services-HR: 03/13/2012

EEO CAT	OCC CODE	JOB CLASS	JOB CLASS TITLE	CURRENT UU	HIRING GOALS BOFY	
					F	M
1 OFFICIALS AND MANAGERS						
1	1					
2	1	043	00710	EXEC OFF 1	*	
3	1	043	00711	EXEC OFF 2	*	
4	1	043	00712	EXEC OFF 3	*	
5	1	011	00127	INFO TECH ADMIN 2	*	
6	1	011	00128	INFO TECH ADMIN 3	*	
7	1	043	00781	PUBLIC SERVICE EXECUTIVE 1	*	
8	1	043	00782	PUBLIC SERVICE EXECUTIVE 2	*	
9	1	043	00784	PUBLIC SERVICE EXECUTIVE 3	*	
10	1	043	00786	PUBLIC SERVICE EXECUTIVE 4	*	
11	1	043	00787	PUBLIC SERVICE EXECUTIVE 5	*	
12	1	043	00788	PUBLIC SERVICE EXECUTIVE 6	*	
13	1	043	04251	TRANSPORTATION DIV DIRECTOR	*	
14	1	030	04248	TRANSPORTATION ENGINEER ADMIN	*	
15	1	030	04249	TRANSPORTATION ENGINEER EXEC	*	
16	1	030	04247	TRANSPORTATION ENGINEER MANAGER	*	
2 PROFESSIONAL						
1	2	080	00311	ACCOUNTANT 2	B	PN NP
2	2	080	00312	ACCOUNTANT 3	B	PN NP
3	2	080	00309	ACCOUNTANT/AUDITOR 1	B	PN NP
4	2	570	00708	ADMIN ASSISTANT 1	*	
5	2	570	00709	ADMIN ASSISTANT 2	M	NP
6	2	570	90709	ADMIN ASSISTANT 2	M	NP
7	2	202	03313	AFFIRMATIVE ACTION COMPL OFF 1	*	

EEO CAT	OCC CODE	JOB CLASS	JOB CLASS TITLE	CURRENT UU	HIRING GOALS BOFY		
					F	M	
8	2	082	00723	BUDGET ANALYST 3	*		
9	2	172	04414	CHEMIST	*		
10	2	211	00641	COMPLIANCE OFFICER 2	B	PN	NP
11	2	500	06303	DRIVER LICENSE SUPERVISOR 1	M		NP
12	2	500	06304	DRIVER LICENSE SUPERVISOR 2	M		NP
13	2	210	06302	DRIVERS LICENSE HEARING OFFICER	*		
14	2	174	04516	ENVIRONMENTAL PROGRAM SUPV	*		
15	2	174	04519	ENVIRONMENTAL SPECIALIST SENIOR	*		
16	2	146	04256	FACILITIES ENGINEER 1	*		
17	2	080	00327	FIELD AUDITOR	B	PN	NP
18	2	174	04407	GEOLOGIST 3	*		
19	2	263	08518	GRAPHIC ARTIST	*		
20	2	240	01337	HISTORICAL PROGRAM SPECIALIST	*		
21	2	062	00756	HUMAN RESOURCES PROFESSIONAL 1	B	PN	NP
22	2	282	00751	INFO SPECIALIST 2	M		NP
23	2	282	00754	INFO SPECIALIST 3	M		NP
24	2	101	00119	INFO TECH SPECIALIST 2	B	PN	NP
25	2	101	00120	INFO TECH SPECIALIST 3	B	PN	NP
26	2	100	00121	INFO TECH SPECIALIST 4	M		NP
27	2	100	00122	INFO TECH SPECIALIST 5	M		NP
28	2	054	00453	INSURANCE PROGRAM SPECIALIST	*		
29	2	071	00734	MANAGEMENT ANALYST 2	*		
30	2	071	00736	MANAGEMENT ANALYST 3	*		
31	2	071	00737	MANAGEMENT ANALYST 4	*		
32	2	184	04022	PROGRAM PLANNER 2	*		
33	2	184	04023	PROGRAM PLANNER 3	*		
34	2	500	00780	PUBLIC SERVICE SUPERVISOR 3	M		NP
35	2	053	00211	PURCHASING AGENT 2	B	PN	NP
36	2	053	00212	PURCHASING AGENT 3	B	PN	NP
37	2	080	00344	REVENUE AUDITOR 3	B	PN	NP
38	2	081	04111	RIGHT OF WAY AGENT 2	*		
39	2	081	04112	RIGHT OF WAY AGENT 3	*		
40	2	081	04113	RIGHT OF WAY AGENT 4	*		
41	2	130	04236	ROADSIDE DEVELOPMENT SPEC 2	M		NP
42	2	130	04237	ROADSIDE DEVELOPMENT SPEC 3	M		NP
43	2	136	04245	SENIOR TRANSPORTATION ENGIN	*		
44	2	124	00744	STATISTICAL RESEARCH ANALYST 2	*		
45	2	141	04779	TELECOMMUNICATIONS DESIGN SPEC	*		
46	2	062	00763	TRAINING SPECIALIST 1	B	PN	NP
47	2	062	00768	TRAINING SPECIALIST 2	B	PN	NP
48	2	136	04243	TRANSPORTATION ENGINEER	*		
49	2	136	04219	TRANSPORTATION ENGINEER INTERN	*		
50	2	136	04244	TRANSPORTATION ENG SPECIALIST	*		
51	2	184	04049	TRANSPORTATION PLANNER 1	*		
52	2	184	04051	TRANSPORTATION PLANNER 2	*		
53	2	184	04052	TRANSPORTATION PLANNER 3	*		
54	2	184	04054	TRANSPORTATION PLANNER 4	*		
3 TECHNICIANS							
1	3	512	00290	ACCOUNTING TECHNICIAN 1	M		PN
2	3	512	00292	ACCOUNTING TECHNICIAN 2	M		PN
3	3	512	00294	ACCOUNTING TECHNICIAN 3	*		
4	3	154	04363	ARCHITECTURAL TECHNICIAN 1	F	PN	
5	3	154	04364	ARCHITECTURAL TECHNICIAN 2	F	PN	
6	3	193	04308	ASST SOILS PARTY CHIEF	B	PN	PN
7	3	131	04325	ASST SURVEY PARTY CHIEF	F	PN	
8	3	666	08133	BRIDGE INSPECTOR 1	F	PN	

EEO CAT	OCC CODE	JOB CLASS	JOB CLASS TITLE	CURRENT UU	HIRING GOALS BOFY		
					F	M	
9	3	666	08137	BRIDGE INSPECTOR 2	F	PN	
10	3	156	04320	CONSTRUCTION TECHNICIAN	M		PN
11	3	156	04319	CONSTRUCTION TECHNICIAN ASST	M		PN
12	3	156	04321	CONSTRUCTION TECHNICIAN SENIOR	M		PN
13	3	154	04371	DESIGN TECHNICIAN	F	PN	
14	3	154	04370	DESIGN TECHNICIAN ASSOCIATE	*		
15	3	154	04372	DESIGN TECHNICIAN SPECIALIST	F	PN	
16	3	522	06300	DRIVERS LICENSE EXAMINER	*		
17	3	155	04742	ELECTRONIC ENGINEER TECHNICIAN	B	PN	PN
18	3	155	04385	ENGINEERING OPERATIONS TECH	B	PN	PN
19	3	155	04323	ENGINEERING TECHNICIAN SENIOR	B	PN	PN
20	3	536	00772	HUMAN RESOURCES ASSOCIATE	M		PN
21	3	131	04240	LAND SURVEYOR	F	PN	
22	3	131	04241	LAND SURVEYOR SENIOR	F	PN	
23	3	874	04343	MATERIALS FABRICATION INSPEC 1	B	PN	PN
24	3	874	04344	MATERIALS FABRICATION INSPEC 2	B	PN	PN
25	3	874	04342	MATERIALS TECHNICIAN 3	B	PN	PN
26	3	874	04345	MATERIALS TECHNICIAN 4	B	PN	PN
27	3	874	04353	MATERIALS TECHNICIAN 5	B	PN	PN
28	3	155	04006	PLANNING AIDE 2	M		PN
29	3	193	04310	SOILS PARTY CHIEF	B	PN	PN
30	3	131	04326	SURVEY PARTY CHIEF	F	PN	
31	3	131	04330	SURVEYS MANAGER	F	PN	
32	3	941	00684	TRACK INSPECTOR	*		
4 PROTECTIVE SWORN							
1	4	384	86362	MOTOR VEHICLE CAPTAIN	B	PN	PN
2	4	385	86364	MOTOR VEHICLE COMMANDER INVEST	F	PN	
3	4	385	86365	MOTOR VEHICLE COMMANDER UNIFORM	F	PN	
4	4	384	86340	MOTOR VEHICLE INVESTIGATOR	B	PN	PN
5	4	384	86360	MOTOR VEHICLE OFFICER	B	PN	PN
6	4	385	86361	MOTOR VEHICLE SERGEANT	F	PN	
6 ADMINISTRATIVE SUPPORT							
1	6	512	00305	ACCOUNTING CLERK 1	M		NP
2	6	512	00306	ACCOUNTING CLERK 2	M		NP
3	6	512	00307	ACCOUNTING CLERK 3	M		NP
4	6	586	00017	CLERK-ADVANCED	*		
5	6	586	00018	CLERK-SPECIALIST	*		
6	6	522	06298	DRIVERS LICENSE CLERK	*		
7	6	522	06299	DRIVERS LICENSE CLERK-SENIOR	*		
8	6	586	04380	ENGINEERING OFFICE ASST 1	*		
9	6	586	04381	ENGINEERING OFFICE ASST 2	M		NP
10	6	570	15005	EXEC SECRETARY	M		NP
11	6	514	00770	HUMAN RESOURCES TECHNICAL ASST	*		
12	6	580	00115	INFO TECH SUPPORT WORKER 2	*		
13	6	580	00116	INFO TECH SUPPORT WORKER 3	*		
14	6	585	00260	MAIL CLERK 1	*		
15	6	585	00261	MAIL CLERK 2	*		
16	6	590	00083	MICROFILM OPERATOR 3	*		
17	6	562	08140	PARTS WORKER	B	NA	NP
18	6	515	00205	PURCHASING ASST	*		
19	6	540	00006	RECEPTIONIST	*		
20	6	593	04107	RIGHT OF WAY AIDE 3	M		NP
21	6	593	04108	RIGHT OF WAY AIDE 4	M		NP
22	6	570	00025	SECRETARY 1	*		
23	6	570	00026	SECRETARY 2	*		

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

SECTION 6

MANAGER AND SUPERVISORS AFFIRMATIVE ACTION RESPONSIBILITIES AND ACCOUNTABILITY

Responsibilities of Managers and Supervisors

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

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

In the hiring process, managers and supervisors have the responsibility to implement the affirmative action requirements under the Iowa DOT policy on EEO/AA, initiate recruitment activities when necessary to meet affirmative action goals, consider protected class applicants for all hires, and make affirmative action appointments when feasible. (Copy of Iowa DOT's PPM 230.03 *Equal Employment Opportunity and Affirmative Action* is attached as Addendum A-7.) When filling a position within a job classification that has been designated as underutilized for either minority or female by DAS-HRE Job Classes Underutilization List, the selecting authority shall consult with the Recruitment Officer in the Office of Employee Services and establish an enhanced recruitment action plan and any additional recruitment effort. (Refer to Addendum A-1.)

SECTION 7

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

Hiring Practices

- The DOT reviewed and revised Policy 210.02 Recruitment, Selection, and Hiring Process. The revised policy included changes to steps in the following processes:
 - A. Preparing to fill a vacancy
 - Review of position description questionnaire (PDQ);
 - Completion of P-5 and HDJ now on the same online system; and
 - Positions underutilized in more than one category require enhanced recruitment.
 - B. Screening and Interviewing Applicants
 - Affirmative Action Officer's (AAO) approval of pre-interview screening criteria, applicant scores, and proposed list of interview questions prior to interviewing is now required when underutilization exists in more than one category; and
 - Nepotism prohibition expanded to include all supervisors and lead workers in the chain of command.
 - C. Hiring Decision Justification and Reference Checks

The policy more clearly defines what is required to be submitted for approval prior to an offer being made. The selecting authority shall submit a written narrative addressing

 - essential functions of the position,
 - screening criteria utilized,
 - a comparison of applicants interviewed to the essential functions and screening criteria based on the answers provided during the interview,
 - justification for the recommended hire to the AAO in the Office of Employee Services (OES),
 - a copy of the following documents shall also be submitted:
 - BrassRing certificate list,
 - pre-interview screening criteria and scores, if applicable,
 - interview questions,
 - interview scores/matrix,
 - PDQ/essential functions, and
 - reference check(s).
- The DOT created a Hiring Kaizen Team which first met in November 2011. The goal of the Kaizen was to develop a hiring implementation process to reduce the amount of time it takes to hire a new employee.

A. Objectives

- Have a hiring process that is less cumbersome.
- Have a hiring process that is easy to understand.
- Have all required documents and information for the new employee to assume position.
- Have improved screening process using electronic measures.
- Maximize automated information.
- Ensure a pool of qualified and diverse candidates is available.
- Hire quality candidates.
- Documented process.
- Greater consistency across the department for selection and hiring process.
- Faster approvals.
- Better communication within the department.

B. Goals

- Decrease the amount of time to make a hire from 106 (estimate) to 60 days or less.
- Complete interviews within 10 business days of receiving the list from DAS.
- Decrease time between when the hiring team makes a decision to when the letter is sent to the selected applicant.
- Online documentation of hiring process in place within 60 days.

C. Improvements/action items (not inclusive)

- Posting and recruiting
 - Interview
 - P5/HDJ Application
 - Approval of HDJs
- Through the Office of Employee Services, the DOT developed proposals to restructure the DOT's hiring process.

A. Retooling the DOT's hiring process with the goals of:

- Reducing the number of variables in order to increase consistency in hiring.
- Broadening the applicant pool.
- Improving diversity.
- Reducing the time needed to hire.

B. 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; and
- Elimination of the traditional hiring decision justification (HDJ) written

narrative, but keeping complete hiring documentation.

(A new and better process initiative by DAS-HRE to streamline and enhance the hiring system of the executive branch will likely replace DOT's proposed hiring process strategies. As of December 2012, DAS-HRE has partnered with the DOT to establish a technology solution and methodology for job applicants to self-screen to the Minimum Qualifications and the specific requirements a vacancy by the use of job-related screening and ranking questionnaires. This joint project is anticipated to be developed in 2013.)

C. Recruitment

- The use of social media for professionals such as “LinkedIn” as an outlet for finding and contacting top candidates as well as passive and active candidates.
- Working with consultant to discuss outreach opportunities to diversify our workforce.

SECTION 8

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

Recruitment

Job Postings and Advertisement/Promotion:

- The DOT continues to utilize All-Applicant lists posted through the State of Iowa's employment website (DAS – Brass Ring) from which most if not all positions are additionally posted at Iowa Workforce Development and Smartcareermove.com. At the discretion of the hiring manager, vacancies may be advertised using paid postings. These postings have been placed at Careerbuilder.com, Monster.com, and Dice.com.
- Transportation engineering and planning positions are routinely sent to the American Association of State Highway and Transportation Officials website.
- Additionally, positions are routinely sent via email to 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
 - City Human Rights/Civil Rights/Human Relations Commission contacts for:

Ames, Bettendorf, Burlington, Cedar Rapids, Clinton, Council Bluffs, Davenport, Decorah, Des Moines, Dubuque, Fort Dodge, Indianola, Iowa City, Marshalltown, Mason City, Muscatine, Ottumwa, Sioux City, Urbandale, Waterloo, West Des Moines
Iowa College Recruiting Network.

Proactive Minority Community Involvement:

- The DOT also continued to develop and maintain a community presence by participation in minority community events. Examples of events with emphasis on diversity outreach that the DOT participated in during FY 2012 are:
 - Iowa Latino Conference and Iowa Latino Conference Planning Committee
 - Iowa State Conference On Race and Ethnicity (ISCORE)
 - Greater Des Moines Partnership's Quarterly Multicultural Receptions
 - Iowa Juneteenth celebration festival in Des Moines
 - CelebrAsian
 - Latinos Unidos Job Resource Fair
 - Latino Heritage Festival

- Additionally, the DOT participated in the following outreach events (not all inclusive):
 - Iowa State University Fall Engineering Fair
 - University of Iowa Fall Engineering Fair
 - Iowa State University Spring Engineering Fair
 - University of Iowa Spring Engineering Fair
 - Boone High School Career Fair
 - Iowa Black Business Summit
 - Iowa Immigrant Entrepreneur Summit
 - Veteran’s Career Fair events in Iowa City, Des Moines
 - Summit on the Black Male held at the University of Northern Iowa campus.

Collaborative Efforts with other State agencies and entities:

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

Statewide Advertisement Campaign:

- The DOT continued to place a statewide print and radio campaign to promote employment opportunities and increase awareness of the DOT’s employment site.
 - Two statewide newspaper display ads through Customized Newspaper Advertising (CNA) – a network of over 200 print publications throughout the state.
 - Radio spots were purchased through African American-focused stations KJMC in Des Moines and KBOL in Waterloo.
 - Several other stations also ran Public Service Announcements (PSAs) free of charge.
 - Display ads were also run in several Spanish and bilingual publications: Hola America, El Latino, El Heraldillo Hispano, El Comunicador, El Viento del Tropic and El Enfoque in addition to continuously running ads in the Iowa Bystander, Iowa’s African American newspaper.
 - Recruitment marketing cards for the Motor Vehicle Division’s Office of Motor Vehicle Enforcement were distributed at the Iowa State Fair.
 - Electronic version of the DOT employment flier was sent to a community outreach distribution list and the Iowa Workforce Development for distribution to their respective networks.
 - Statewide ads on the temporary winter maintenance opportunities were placed.

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 job postings (through DAS). Visitors interested in employment opportunities with the DOT may sign up to receive updates via Really Simple Syndication (RSS) feeds and/or through Twitter. A very brief welcome video based on the DOT vision statement and

workforce guiding principles is showcased on the employment page. The video displays and emphasizes the diversity that exists within the DOT both in careers and people. During the last 6 months of FY 2012, the site logged 22,793 absolute unique visitors and 34,597 visits to the site. The Job Alerts email service had over 2,210 email subscriptions toward the end of FY 2012.

- The development and recent creation of a Civil Rights webpage on the DOT website would help in accelerating the DOT's efforts for transparency, community outreach, and providing access of external and internal customers to the DOT's EEO/Affirmative Action plan to minorities, women, community action groups, and professional organizations.

SECTION 9

**RETENTION, PROMOTION AND
TRAINING PROGRAMS**

Retention

- The DOT's Management Team continues to determine action steps in the following areas:
 - Employee Interaction and Development
 - Recognition
 - Decision Making
 - Trust
- The DOT continues to conduct exit interviews with employees who leave the DOT.
- The DOT has evaluated its new employee orientation process. This resulted in process improvements involving a management team member and OES director welcoming the employees at the beginning of the orientation.
- The DOT continues to plan and prepare for establishing a formal mentoring program, and on-boarding of employees continues. This resulted in an Onboarding Partnership and Mentoring Program proposal.
- The DOT continues to evaluate the re-establishment of an EEO Advisory Committee (EEOAC). This resulted in an EEOAC bylaws proposal with the mission: to assist and advise the DOT in identifying methodologies that seek to create a diverse workforce through recruitment, selection and retention, and to make the DOT a better place to work where individuals are accepted and appreciated for their unique contributions to the organization.

Promotion

- Qualified permanent and temporary DOT employees who apply for vacancies in permanent positions and meet screening criteria shall be interviewed for promotion, demotion or pay grade-transfers.
- Qualified permanent and temporary DOT employees who apply shall not be screened out solely on the basis of current work location, home location or salary.
- If a selecting authority becomes aware that an applicant is an employee within his or her immediate supervision or area of responsibility, the selecting authority shall use a team that includes the selecting authority or his/her designee and at least one current employee who is outside the section/unit, office, division or area of responsibility.

Training

- Mandatory diversity training for supervisors and managers included information on recruiting for increased diversity. All employees were required to take a Valuing Diversity course.
- The DOT continued to require new supervisors and managers to attend two diversity courses and all other new employees to attend one.
- The DOT continued to conduct Supervisor Roundtables/Academy with emphasis on human resource topics, including recruiting, hiring, diversity and ADA/Reasonable Accommodation.
- In last year's Affirmative Action Overview report, the DOT reported the ninth annual Supervisors' Training Conference that was conducted in September 2011 focused on diversity, Equal Employment Opportunity/Affirmative Action/ADA-Reasonable Accommodation, and other human resource topics. (Refer to Addendum A-2.) On October 11, 2012, the DOT conducted its Supervisor Development Training Session focused on Workplace Environment, communication and other leadership topics. (Refer to Addendum A-3.)
- Employees statewide continued to take training in different areas relevant to job duties and responsibilities. (Refer to Table 5C - Training statewide for FY 2012.)

SECTION 10

SYSTEM OF MONITORING AND MEASURING PROGRESS

Program Monitoring

In compliance with regulatory requirements, the Iowa DOT monitors its Affirmative Action Program to acknowledge its achievements, identify potential problems and devise recommendations for continual improvement to ensure that the program is successful. The Iowa DOT supports the concept of an active affirmative action (AA) program consistent with federal laws, court decisions, Executive Orders, and regulations, including goals and timetables, in order to overcome the effects of past discrimination on minorities and women.

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

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

The Iowa DOT does an annual evaluation which illustrates Iowa DOT program measures and effectiveness. The FY 2012 AAP/Program evaluation will focus on reviewing appointments, promotions, reallocations, demotions, terminations, disciplinary actions and training opportunities.

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

EEO Tracking Procedures

Iowa DOT's Recruitment, Selection and Hiring Process policy and the Iowa DAS-HRE's Applicant Screening Manual set forth our commitment to equal employment opportunity for all qualified persons. (For more information, please visit the Iowa DAS-HRE's internet page at http://das.iowa.gov/hre/documents/publications/applicant_screening_manual.pdf.) Managers and supervisors shall appoint, promote, assign, train and evaluate the performance of employees on the basis of individual qualification and merit and shall not unlawfully discriminate against applicants and employees. Hiring goals for underutilized job classes shall be established when vacancies are anticipated and hiring opportunities exist.

DAS-HRE continues to have oversight responsibility for the affirmative action programs within the executive branch of state government. This responsibility includes recruitment (in collaboration with DOT staff), qualifying applicants, testing applicants referred to the

DOT for open positions, maintaining applicant databases for referral to state departments and determining underutilization information. The adverse impact analysis data was provided by DAS and is based on all applicant flow information for applicants and positions filled during this fiscal year.

In the hiring process, managers and supervisors have the responsibility to implement the affirmative action requirements under the Iowa DOT policy on EEO/AA, initiate recruitment activities when necessary to meet affirmative action goals, consider protected class applicants for all hires, and make affirmative action appointments when feasible. When filling a position within a job classification that has been designated as underutilized for either minority or female by DAS-HRE Job Classes Underutilization List, the selecting authority shall consult with the Recruitment Officer in the Office of Employee Services and establish an enhanced recruitment action plan and any additional recruitment effort.

When a selection decision is made, the selecting authority submits a hiring decision justification (HDJ) along with documents for review and approval by the Affirmative Action Officer as required under Policy No. 230.03, *Equal Employment Opportunity and Affirmative Action*. (Refer to Addendum A-7.) The HDJ addresses the essential functions of the position, the screening criteria used, a comparison of applicants to the essential functions and screening criteria, and justification for the recommended hire.

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

SUMMARY OF EMPLOYMENT ACTIVITIES

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

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

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

WORK FLOW ANALYSIS

Gender

Department Level

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

Using the DOT as the unit of analysis, review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “referral to interview” 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), 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 “application to referral” stage for Officials and Administrators (01), Protective Service: Sworn (04), and Service and Maintenance (08) categories.

Results from the “two standard deviation” test indicated results in the Officials and Administrators (01) and Service and Maintenance (08) categories were within the realm of random occurrence, while results for the Protective Service: Sworn (04) category indicated the “application to referral” stage should be looked at in more detail.

Referral to Interview Stage

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

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

Results from the “two standard deviation” test indicated results in the Skilled Craft (07) category were within the realm of random occurrence, while results for the Professional (02) category indicated the “application to referral” stage should be looked at in more detail.

Interview to Hire Stage

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

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “interview to hire” stage in the Professional (02), Technician (03), Service and Maintenance (08) categories.

Results from the “two standard deviation test” indicated results in the three categories were within the realm of random occurrence.

Comments

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

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

Ethnicity

Department Level

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

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

Results from the “two standard deviation” test indicated both the “referral to interview” stage and “interview to hire” stages 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 minorities indicated equitable progress on the “application to referral” stage in the Professional (02), 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 minorities indicated a need for further statistical analysis for the “application to referral” stage in the Officials and Administrators (01), Protective Service: Sworn (04), and Service and Maintenance (08) categories.

Results from the “two standard deviation” test indicated results in the Protective Service: Sworn (04), and Service and Maintenance (08) categories were within the realm of random occurrence while results for the Officials and Administrators (01) category indicated the “application to referral” stage should be looked at in more detail.

Referral to Interview Stage

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

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

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

random occurrence, while results for the Professional (02) category indicated the “referral to interview” stage should be looked at in more detail.

Interview to Hire Stage

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities in the “interview to hire” stage indicated a need for further statistical analysis for all categories in which minorities were interviewed (no minorities were interviewed in the Protective Service: Sworn (04) category).

Results from the two “standard deviation test” indicated findings in all categories in the “interview to hire” stage were within the realm of random occurrence.

Comments

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

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

BARRIER ANALYSIS

Gender

Department Level

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

Category Level

First, as reported earlier, an AA/EEO category-level analysis was performed. Review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “application to referral” stage for the Officials and Administrators (01), Protective Service: Sworn (04) and Service and Maintenance (08) categories. Results from the “two standard deviation” test identified results for the Officials and Administrators (01) and Service and Maintenance (08) categories were within the realm of random occurrence, while results for the Protective Service: Sworn (04) category should be looked at in more detail.

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

Review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “interview to hire” stage for the Professional (02), Technician (03), and Service and Maintenance (08) categories. Results of the “two standard deviation” test identified results for all three categories were within the realm of random occurrence.

These results suggest potential barriers for employment within the Protective Service: Sworn (04) category in the “application to referral” stage and the Professional (02) category in the “refer to interview” stage.

Largest Applicant Pool Analysis

Second, an analysis of results was done by splitting the applicants into two pools – those applying for positions in the Professional (02) category and those applying for positions outside the category. It should be noted this is a shift, with the largest applicant pool in fiscal year 2011 being the Administrative Support (06) category (62.4 percent) compared to the Professional (02) category (44.9 percent) in fiscal year 2012.

Results from the category 02 / non-category 02 analysis showed women applying for Professional (02) positions progressed equitably through the “application to referral”

stage, having passed the “four-fifths” rule. Results of the “four-fifths” and “two standard deviation” test indicated women progressed equitably across the combined non-category 02 group (categories 01, 03, 04, 06, 07 & 08).

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

Results from the category 02 / non-category 02 analysis for the “interview to hire” stage showed women applying for positions in category 02 progressed equitably, having failed the four-fifths” test but passed the “two standard deviation” test. Analysis also showed women progressed equitably across the combined non-category 02 group (categories 01, 03, 04, 06, 07 & 08) having passed both the “four-fifths” and “two standard deviation” tests.

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 to females at the “referral to interview” stage.

The other area which may merit attention is the Protective Service: Sworn (04) category within the “application to referral” stage, having failed both the “four-fifths” rule and “two standard deviation” test. Efforts by the Department of Transportation in this area would need to be done in coordination with DAS.

In reviewing the 2012 fiscal year data, it became clear circumstances were quite different than in fiscal year 2011. For example, the total number of hires in fiscal year 2012 fell to 128 from 351 in fiscal year 2011 (63.5 percent decrease). The fiscal year 2012 total applicant pool was also significantly smaller than the 2011 fiscal year pool having fallen from 13,740 to 2,489 (81.9 percent decrease). This was matched by a significant drop in women applying to the DOT with 675 applying in fiscal year 2012 compared to 4,442 in fiscal year 2011 (84.8 percent decrease).

With the changes in the state government approach to filling vacancies, the DOT can fill only those vacant positions deemed and approved as critical vacancies. A hiring supervisor is required to submit a hiring justification request for every vacancy to the Iowa Department of Administrative Services (DAS)/Department of Management (DOM). Approval of the request for hiring must be received by DAS/DOM first before a vacancy may be posted. Once approved, the vacant position can be filled through transfer, promotion, demotion, recall, outplacement, reinstatement or a new hire. The DOT can request the available type of applicant list for any given vacancy. Lists must be requested in the order identified in the applicable collective bargaining agreement that covers the

vacancy to be filled. The types of BrassRing requisitions are Recall, Outplacement, Promotional Applicant Lists (Intra/Inter-agency) and All Applicant Lists (all applicants including promotional and non-promotional). The DOT's new hires are generally hired from an All Applicant List, and promotions are generally from a Promotional Applicant (Intra-agency) List. The All Applicant List tends to draw a larger pool of applicants because the position (especially entry-level positions such as Highway Tech Associate or Driver's License Clerk) is opened for anyone interested to apply while the Promotional Applicant (Intra-agency) List tends to draw a limited pool of applicants because the resource would be the current available workforce. In reviewing the employment P1-activity statistics for FY 2011 and FY 2012, of the 351 positions filled in FY 2011, 179 (51 percent) were new hires; 148 (42 percent) were promotions; 17 (5 percent) were demotions and 7 (2 percent) were transfers. Of the 186 positions filled in 2012, 96 (52 percent) were promotions; 45 (24 percent) were new hires; 44 (24 percent) were transfers; and 1 was a demotion. These results explain the drop in the total applicant pool.

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 reviewed in more detail.

The DOT recognizes there are procedural challenges and is working with DAS-HRE in finding methods, strategies and innovative processes to improve the employment process. The DOT has successfully completed its plan of a greater utilization of web technology to promote employment opportunities with the DOT by including an employment page.

The Iowa DOT has taken several steps in recent years to broaden the pool of applicants for vacant positions and improve the diversity of the department. Most recently these steps have included increased auditing and review efforts of hiring decisions. The foundation for consistency in hiring, broadening the applicant pool and increasing diversity has been put in place through policy changes, training, jobs page on DOT Website and increased auditing. In spite of these changes, the DOT realized that additional steps are still needed:

- A. The need to restructure its hiring process with the goals of:
 - Reducing the number of variables in order to increase consistency in hiring.
 - Broadening the applicant pool.
 - Improving diversity.
 - Reducing the time needed to hire.

- B. Some hiring process strategies proposed are:
 - The development and utilization of a consistent Knowledge, Skills and

Ability (KSA)-based selection tool that includes: questions that focus on candidates' real-life experiences, questions that prompt factual answers, and a repository of sample questions related to specific KSAs. The hiring manager and/or selecting authority could access the repository list of sample questions and select the questions that best solicit the kind of information needed for that position.

- 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; and
- Elimination of the traditional hiring decision justification (HDJ) written narrative, but keeping complete hiring documentation.

C. Additional recruitment strategies:

- The use of social media for professionals such as “LinkedIn” as an outlet for finding and contacting top candidates as well as passive and active candidates.
- Working with consultants to discuss outreach opportunities to diversify our workforce.

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” and “interview to hire” stages suggested these stages were 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 Officials and Administrators (01), Protective Service: Sworn (04) and Service and Maintenance (08) categories. Results from the “two standard deviation” test identified results for the Protective Service: Sworn (04) and Service and Maintenance (08) categories were within the realm of random occurrence, while results for the Officials and Administrators (01) category should be looked at in more detail.

Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis for the “referral to interview” stage for the Professional (02) Technician (03), Protective Service: Sworn (04), and Skilled Craft (07) categories. Results of the “two standard deviation” identified results for the Technician (03), Protective Service: Sworn (04), and Skilled Craft (07) categories were within the realm of random occurrence, while results for the Professional (02) category should be looked at in more detail.

Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis for the “interview to hire” stage for all categories in which minorities were interviewed. Results of the “two standard deviation” identified results for all categories were within the realm of random occurrence.

These results suggest potential barriers for employment for minorities within the Officials and Administrators (01) category in the “application to referral” stage and the Professional (02) category in the “refer to interview” stage.

Largest Applicant Pool Analysis

Second, an analysis of results was done by splitting the applicants into two pools – those applying for positions in the Professional (02) category and those applying for positions outside the category. It should be noted this is a shift, with the largest applicant pool in fiscal year 2011 being the Administrative Support (06) category (34.2 percent) compared to the Professional (02) category (45.9 percent) in fiscal year 2012.

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

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

Results from the category 02 / non-category 02 analysis for the “interview to hire” stage showed minorities applying for positions in category 02 progressed equitably, having failed the “four-fifths” test but passed the “two standard deviation” test. Analysis also showed minorities did not progress equitably across the combined non-category 02 group (categories 01, 03, 04, 06, 07 & 08) having failed both the “four-fifths” and “two standard deviation” tests.

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 to minorities at the “referral to interview” stage.

Less clear is the consistency of the AA/EEO category and largest applicant pool results with the department-level findings. The “four-fifths” test results suggest the “interview to hire” stage should be looked at, while the “two standard deviation” test results suggest things are within the realm of random occurrence. This may be due to the reduced number of minorities in the process, thus impacting the statistical test’s power.

Another area which may merit attention is the Officials and Administrators (01) category within the “application to referral” stage, having failed both the “four-fifths” rule and “two standard deviation” test. Efforts by the Department of Transportation in this area would need to be done in coordination with DAS.

In reviewing the 2012 fiscal year data, it became clear circumstances were quite different than in fiscal year 2011. For example, the total number of hires in fiscal year 2012 fell to 128 from 351 in fiscal year 2011 (63.5 percent decrease). The fiscal year 2012 total applicant pool was also significantly smaller than 2011 fiscal year pool having fallen from 13,740 to 2,489 (81.9 percent decrease). This was matched by a significant drop in minorities applying to the DOT with 342 applying in fiscal year 2012 compared to 1,593 in fiscal year 2011 (78.5 percent decrease).

With the changes in the state government approach to filling vacancies, the DOT can fill only those vacant positions deemed and approved as critical vacancies. A hiring supervisor is required to submit a hiring justification request for every vacancy to the Iowa Department of Administrative Services (DAS)/Department of Management (DOM). Approval of the request for hiring must be received by DAS/DOM before a vacancy may be posted. Once approved, the vacant position can be filled through transfer, promotion, demotion, recall, outplacement, reinstatement or a new hire. The DOT can request the available type of applicant list for any given vacancy. Lists must be requested in the

order identified in the applicable collective bargaining agreement that covers the vacancy to be filled. The types of BrassRing requisitions are Recall, Outplacement, Promotional Applicant Lists (Intra/Inter-agency) and All Applicant Lists (all applicants including promotional and non-promotional). The DOT's new hires are generally hired from an All Applicant List, and promotions are generally from a Promotional Applicant (Intra-agency) List. The All Applicant List tends to draw a larger pool of applicants because the position (especially entry level positions such as Highway Tech Associate or Driver's License Clerk) is opened for anyone interested to apply while the Promotional Applicant (Intra-agency) List tends to draw a limited pool of applicants because the resources would be the current available workforce. In reviewing the employment P1-activity statistics for FY 2011 and FY 2012, of the 351 positions filled in FY 2011, 179 (51 percent) were new hires; 148 (42 percent) were promotions; 17 (5 percent) were demotions and 7 (2 percent) were transfers. Of the 186 positions filled in 2012, 96 (52 percent) were promotions; 45 (24 percent) were new hires; 44 (24 percent) were transfers; and 1 was a demotion. These results explain the drop in the total applicant pool.

Findings

Given the analysis of disaggregated data, minority applicants are generally progressing equitably through the "application to referral" stage. In terms of potential barriers to employment for minorities, analysis suggests the "referral to interview" stage should be the first stage looked at in more detail. The next stage to look at would be the "interview to hire" stage.

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. The DOT has successfully completed its plan of a greater utilization of web technology to promote employment opportunities with the DOT by including an employment page.

The Iowa DOT has taken several steps in recent years to broaden the pool of applicants for vacant positions and improve the diversity of the department. Most recently these steps have included increased auditing and review efforts of hiring decisions. The foundation for consistency in hiring, broadening the applicant pool and increasing diversity has been put in place through policy changes, training, jobs page on DOT Website and increased auditing. In spite of these changes, the DOT realized that additional steps are still needed:

- A. The need to restructure its hiring process with the goals of:
 - Reducing the number of variables in order to increase consistency in hiring.
 - Broadening the applicant pool.
 - Improving diversity.
 - Reducing the time needed to hire.

B. Some hiring process strategies proposed are:

- The development and utilization of a consistent Knowledge, Skills and Ability (KSA)-based selection tool that include: questions that focus on candidates' real-life experiences, questions that prompt factual answers, and a repository of sample questions related to specific KSAs. The hiring manager and/or selecting authority could access the repository list of sample questions and select the questions that best solicit the kind of information needed for that position.
- 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; and
- Elimination of the traditional hiring decision justification (HDJ) written narrative, but keeping complete hiring documentation.

C. Additional recruitment strategies:

- The use of social media for professionals such as “LinkedIn” as an outlet for finding and contacting top candidates as well as passive and active candidates.
- Working with consultants to discuss outreach opportunities to diversify our workforce.

FY 2012 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	675						
Refer	566	<i>Apply to Refer</i>	111.7%	Yes			
Interview	113	<i>Refer-Interview</i>	54.1%	No	6.00	No	B, C
Hire	22	<i>Interview-Hire</i>	92.4%	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	14						
Refer	7	<i>Apply to Refer</i>	72.7%	No	0.81	Yes	A
Interview	5	<i>Refer-Interview</i>	86.3%	Yes			
Hire	1	<i>Interview-Hire</i>	81.5%	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	303						D
Refer	234	<i>Apply to Refer</i>	121.4%	Yes			
Interview	47	<i>Refer-Interview</i>	61.6%	No	2.77	No	B, C
Hire	7	<i>Interview-Hire</i>	56.3%	No	1.37	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	28						
Refer	25	<i>Apply to Refer</i>	104.4%	Yes			
Interview	19	<i>Refer-Interview</i>	171.3%	Yes			
Hire	2	<i>Interview-Hire</i>	41.4%	No	1.21	Yes	A

FEMALES: Category 4 – Protective Service: Sworn

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	7						
Refer	0	<i>Apply to Refer</i>	0%	No	2.02	No	B, E
Interview	0	<i>Refer-Interview</i>	na				
Hire	0	<i>Interview-Hire</i>	na				

Note	Comment
A	Results fail the 80% test but passed the “two standard deviation” test.
B	Results failed both the 80% test and the “two 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, approximately 4 out of 9 (44.9%) of all female applicants sought Category 2 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

FY 2012 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	268						
Refer	263	<i>Apply to Refer</i>	99.8%	Yes			
Interview	33	<i>Refer-Interview</i>	485.6%	Yes			
Hire	10	<i>Interview-Hire</i>	100.0%*	Yes			

FEMALES: Category 7 – Skilled Craft

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	51						
Refer	36	<i>Apply to Refer</i>	91.5%	Yes			
Interview	8	<i>Refer-Interview</i>	62.1%	No	1.34	Yes	A
Hire	2	<i>Interview-Hire</i>	131.0%	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	4						
Refer	1	<i>Apply to Refer</i>	27.3%	No	1.37	Yes	A
Interview	1	<i>Refer-Interview</i>	100%	Yes			
Hire	0	<i>Interview-Hire</i>	0%	No	0.18	Yes	A

FEMALES: Overall without 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	372						
Refer	332	<i>Apply to Refer</i>	112.5%	Yes			
Interview	66	<i>Refer-Interview</i>	52.0%	No	5.01	No	B,C
Hire	15	<i>Interview-Hire</i>	115.4%	Yes			

Note	Comment
A	Results fail the 80% test but passed the “two standard deviation” test.
B	Results failed both the 80% test and the “two 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, approximately 4 out of 9 (44.9%) of all female applicants sought Category 2 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
*	All hires were Female
	Passes Test
	Fails Test

FY 2012 ADVERSE IMPACT STUDY – Minority Results Summary – All Stages

MINORITIES: Overall

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	342		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	227	<i>Apply to Refer</i>	83.8%	Yes			
Interview	46	<i>Refer-Interview</i>	60.5%	No	3.32	No	B, C
Hire	3	<i>Interview-Hire</i>	29.7%	No	2.21	No	B

MINORITIES: Category 1 – Officials & Administrators

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	16		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	4	<i>Apply to Refer</i>	34.0%	No	2.20	No	B, E
Interview	4	<i>Refer-Interview</i>	124.1%	Yes			
Hire	0	<i>Interview-Hire</i>	0%	No	1.02	Yes	A

MINORITIES: Category 2 – Professional

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	157		(Min/Maj)	(Yes/No)		(Yes/No)	D
Refer	97	<i>Apply to Refer</i>	87.6%	Yes			
Interview	15	<i>Refer-Interview</i>	51.9%	No	2.45	No	B, C
Hire	2	<i>Interview-Hire</i>	55.8%	No	0.81	Yes	A

MINORITIES: Category 3 – Technicians

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	23		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	18	<i>Apply to Refer</i>	89.8%	Yes			
Interview	5	<i>Refer-Interview</i>	53.8%	No	1.37	Yes	A
Hire	0	<i>Interview-Hire</i>	0.0%	No	1.08	Yes	A

MINORITIES: Category 4 – Protective Service: Sworn

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	6		(Min/Maj)	(Yes/No)		(Yes/No)	
Refer	2	<i>Apply to Refer</i>	64.9%	No	0.59	Yes	A, E
Interview	0	<i>Refer-Interview</i>	0.0%	No	0.97	Yes	A
Hire	0	<i>Interview-Hire</i>	na				

Note	Comment
A	Results fail the 80% test but passed the “two standard deviation” test.
B	Results failed both the 80% test and the “two 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 (45.9% of all minority applicants) applied for Category 2 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

FY 2012 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	43						
Refer	41	<i>Apply to Refer</i>	96.8%	Yes			
Interview	5	<i>Refer-Interview</i>	133.0%	Yes			
Hire	0	<i>Interview-Hire</i>	0%	No	1.27	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	92						
Refer	62	<i>Apply to Refer</i>	86.6%	Yes			
Interview	14	<i>Refer-Interview</i>	62.3%	No	1.74	Yes	A, C
Hire	1	<i>Interview-Hire</i>	35.7%	No	1.06	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	5						
Refer	3	<i>Apply to Refer</i>	68%	No	0.64	Yes	A, E
Interview	3	<i>Refer-Interview</i>	100%	Yes			
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.32	Yes	A

MINORITIES: Overall without 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	185						
Refer	130	<i>Apply to Refer</i>	84.8%	Yes			
Interview	31	<i>Refer-Interview</i>	68.4%	No	2.05	No	B, C
Hire	1	<i>Interview-Hire</i>	15.1%	No	2.17	No	B

Note	Comment
A	Results fail the 80% test but passed the “two standard deviation” test.
B	Results failed both the 80% test and the “two 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 (45.9% of all minority applicants) applied for Category 2 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

SECTION 11

EEO COMPLAINTS PROCEDURES/MECHANISMS

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

A. Filing EEO/AA complaints within the DOT.

- To file an EEO/AA complaint, the employee shall report the incident in writing, including all pertinent details, to the Affirmative Action Officer (AAO) in the Office of Employee Services. (Refer to Addendum A-7.)
- The AAO meets with the complainant to determine if an alternative dispute process, such as mediation, is a viable option for resolution of the issue.
- If the employee is willing to attempt an alternative dispute resolution process, the AAO shall coordinate the process with the appropriate staff.
- If an investigation is necessary, the AAO shall conduct the investigation. The investigation shall be conducted in accordance with Policy 230.09, *Investigations*. (A copy of the policy is attached as 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 No. 230.02, *Discipline and Other Corrective Action*. (A copy of the policy is attached as 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 and is readily available for reporting. The excel data includes a list of discrimination complaints that contains:

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

C. Filing of Workplace Environment Complaint Processes

Complaints regarding DOT employees:

- To file a workplace environment complaint, a complainant shall report the inappropriate and /or offensive behavior in writing, including all pertinent details, to an Employee Relations Officer in the Office of Employee Services. (A copy of the Workplace Environment policy, PPM 230.08 is attached as Addendum A-10.)
- The Employee Relations Officer shall review the complaint with the immediate supervisor to obtain background and to get input on the situation. However, if the immediate supervisor is the subject of the complaint, the Employee Relations Officer shall, instead, discuss the issue with the next higher level supervisor.
- If the complainant is willing to attempt an alternative dispute resolution process, the Employee Relations Officer and/or the Affirmative Action Officer shall work with the appropriate supervisory and non-supervisory staff to determine if there is a feasible alternative dispute resolution process available and if so, facilitate the process.
- If an alternative dispute resolution is not feasible or is unsuccessful and it is determined that an investigation is necessary, the Employee Relations Officer shall work with the appropriate division director or designee to determine who will conduct the investigation. The investigation shall be conducted in accordance with Policy No.230.09, *Investigations*. (Refer to Addendum A-9.)
- The Employee Relations Officer shall keep the division director or designee and the complainant informed of the status of the investigation.
- After the investigation is complete, the person conducting the investigation shall notify the Employee Relations Officer. The Employee Relations Officer shall schedule a meeting with the person conducting the investigation, other appropriate management staff, and, if applicable, the Affirmative Action Officer to review the results of the investigation. Before the meeting, the Employee

Relations Officer shall provide a copy of the completed investigation report to those attending.

- If the report of the investigation documents a violation of this policy, a decision shall be made as to whether just cause exists and what level of discipline or other corrective action is warranted under DOT's Policy No. 230.02, *Discipline and Other Corrective Action*. (A copy of the policy is attached as Addendum A-10.)

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

Policy, Responsibilities and Procedures:

I. Policy

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

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

It is the policy of the DOT that the Office of Employee Services shall coordinate all decisions and activities related to discipline or other corrective action. (Refer to Addendum A-10.)

II. Responsibilities

The Office of Employee Services shall:

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

III. Procedures

A. Investigation

A supervisor who becomes aware that an individual may have violated a policy or work rule must contact the Office of Employee Services and conduct an investigation of the incident in accordance with Policy No. 230.09, *Investigations*, (Refer to Addendum A-9.) in order to determine if a violation of a policy or work rule has occurred.

B. Determination of discipline or other corrective action

After the investigative report has been reviewed and approved:

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

C. Discipline

If it is determined that discipline is warranted:

1. The employee's supervisor is responsible for implementing and supporting this determination.
2. Discipline may include, but is not limited to:
 - Written reprimand.
 - Suspension without pay for a determined number of days.

- Suspension with pay for an employee exempt from FLSA.
 - Demotion.
 - Discharge.
3. The supervisor shall document in a letter to the employee the disciplinary action to be taken. The letter must be reviewed and approved by an Employee Relations Officer in the Office of Employee Services before it is given to the affected employee. As mentioned above, the Office of Employee Services maintains records of disciplinary actions and is integrated into the Iowa DOT's Data Management Systems/Records Database. Disciplinary actions of employees such as terminations, suspensions, demotions, etc. are recorded, tracked and reported with breakdowns of race, sex and age.

TABLE 8

EEO COMPLAINT ANALYSIS REPORT																					
FY 2012 which ended June 30, 2012																					
ID	Race	Gender	Division	Allegations/Issues	AGENCY FILED WITH				Complai- nant	Race	Gen- der	Disabi- lity	Natio- nal Ori- gin	Reli- gion	Sexual Harass- ment	Color	Politi- cal	Reta- liation	Others	Status	Investi- gating Entity
					Iowa Civil Rights Comm.	EEOC	Cedar Rapids Civil Rights Comm.	Des Moines Human Rights Comm.													
1	W	M		Public Accommodation	5/28/2012				Customer			X								Closed. No discrimination found. ICRC has administratively closed on 12/12/2012. ICRC will take no further action.	PALOALTI O TREAS /DOT- MVD OES AAO-
2	W	F	HD-Dist 6	Disparate treatment based on her sex	4/14/2012	4/14/2012	1/25/2011				X									Closed. No discrimination found. ICRC has administratively closed on 10/29/2012. ICRC will take no further action. Cedar Rapids Civil Rights issued a no probable cause finding on 10/18/2012.	DOT-OES- AAO
3	B	M	Highway	Employment; failure to promote; Retaliation	3/23/2012	3/23/2012			Internal Applicant	X							X			Closed. No discrimination found. ICRC has administratively closed on 07/19/2012. ICRC will take no further action. EEOC adopted ICRC findings and has closed its file on 10/16/2012.	DOT-OES- AAO
4	W	M	Highway	Employment; Age	11/18/2011	11/8/2011			Internal Applicant			X								Closed. No discrimination found. EEOC closed its file as of 3/6/2012. ICRC has administratively closed 3/29/2012. ICRC will take no further action.	DOT-OES- AAO
5	B	M	O & F (filed against PPM division)	Employment, Retaliation, Failure to Promote based on race (black)	9/28/2011	9/28/2011			Internal Applicant	X							X			Closed. No discrimination found. ICRC has administratively closed on 4/25/2012. ICRC will take no further action. EEOC adopted ICRC findings of no probable cause of discrimination and closed its file on 7/03/2012.	DOT-OES- AAO
6	W	F	Highway	Employment, Failure to Promote; Unequal Pay based on sex (female)	9/23/2011	9/23/2011			Internal Applicant		X									Awaiting for ICRC & EEOC's findings. Pending with ICRC & EEOC. DOT submitted response to ICRC on 11-29-2011 and additional information request on 4/13/12.	DOT-OES- AAO

AGENCY FILED WITH														Investigating Entity									
Race	Gender	Division	Allegations/Issues	Iowa Civil Rights Comm.	EEOC	Cedar Rapids Civil Rights Comm.	Des Moines Human Rights Comm.	US DOT	Complainant	Race	Gender	Age	Disability		National Origin	Religion	Sexual Harassment	Color	Political	Retaliation	Others	Status	
7	W	M	Highway	Employment, Retaliation, Denied Accommodation, Other: Bad faith recruitment and notification	4/27/2011	4/27/2011			Internal Applicant	X	X	X	X	X						X		Closed. No discrimination found. EEOC adopted findings of ICRC and closed its file as of 3/14/2012. ICRC has administratively closed 11/21/2011. ICRC will take no further action.	DOT-OES-AAO
8	B	M		Employment, denied service and failure to hire based on Race (Black)	3/17/2011	3/17/2011			External Applicant	X												Closed. No discrimination found. EEOC adopted findings of ICRC and closed its file as of 3/13/2012. ICRC has administratively closed 12/14/2011. ICRC will take no further action.	DOT-OES-AAO
9	B	F		Employment, denied service and failure to hire based on Race (Black)	3/16/2011	3/16/2011			External Applicant	X												Closed. No discrimination found. ICRC has administratively closed 12/14/2011. ICRC will take no further action. EEOC adopted findings of ICRC and closed its file as of 3/13/2012.	DOT-OES-AAO
10	W	M	Motor Vehicle	Public Accommodation and harassment based on Physical Disability	1/13/2011	3/16/2011			Customer				X									Closed. No discrimination found. ICRC has administratively closed 10/17/2011. ICRC will take no further action.	DOT-OES-AAO
11	W	(T)	Motor Vehicle	Retaliation (Amended Complaint); Public Accommodation/Gender	11/18/10 Amended Complaint to 8/21/2009				Customer		X									X		Closed. No discrimination found. ICRC has administratively closed 12/01/2011. ICRC will take no further action.	DOT-OES-AAO

LEGEND: W = WHITE; B = BLACK; M = MALE; F = FEMALE

Exit Interview

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

115 employees left the DOT in FY 2012

38 resignations: other job (21), personal (5), moved (6),
stay at home (5), school (1)

52 retirements

11 dismissals

8 health/medical or death

5 transfers

1 return to recall

27 females: 22 white, 2 Latino, 1 Asian, 2 Black

88 males: 86 white, 1 Asian, 1 black,

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

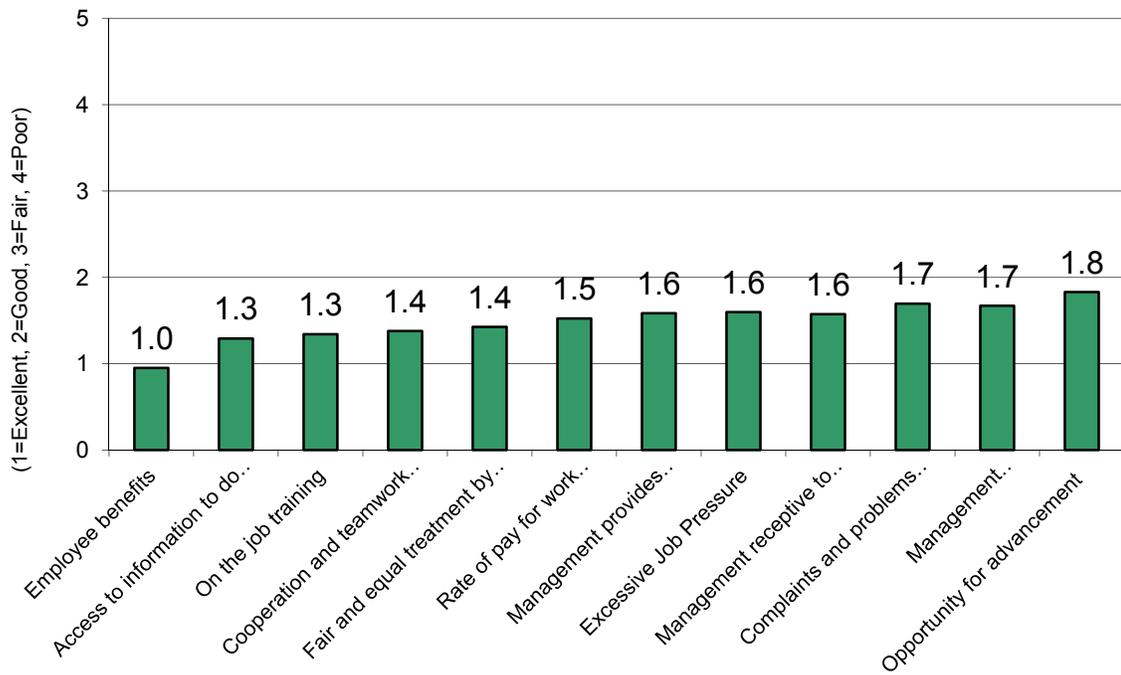
There were 35 former employees that responded to the exit interview questionnaire in FY 2012.

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

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

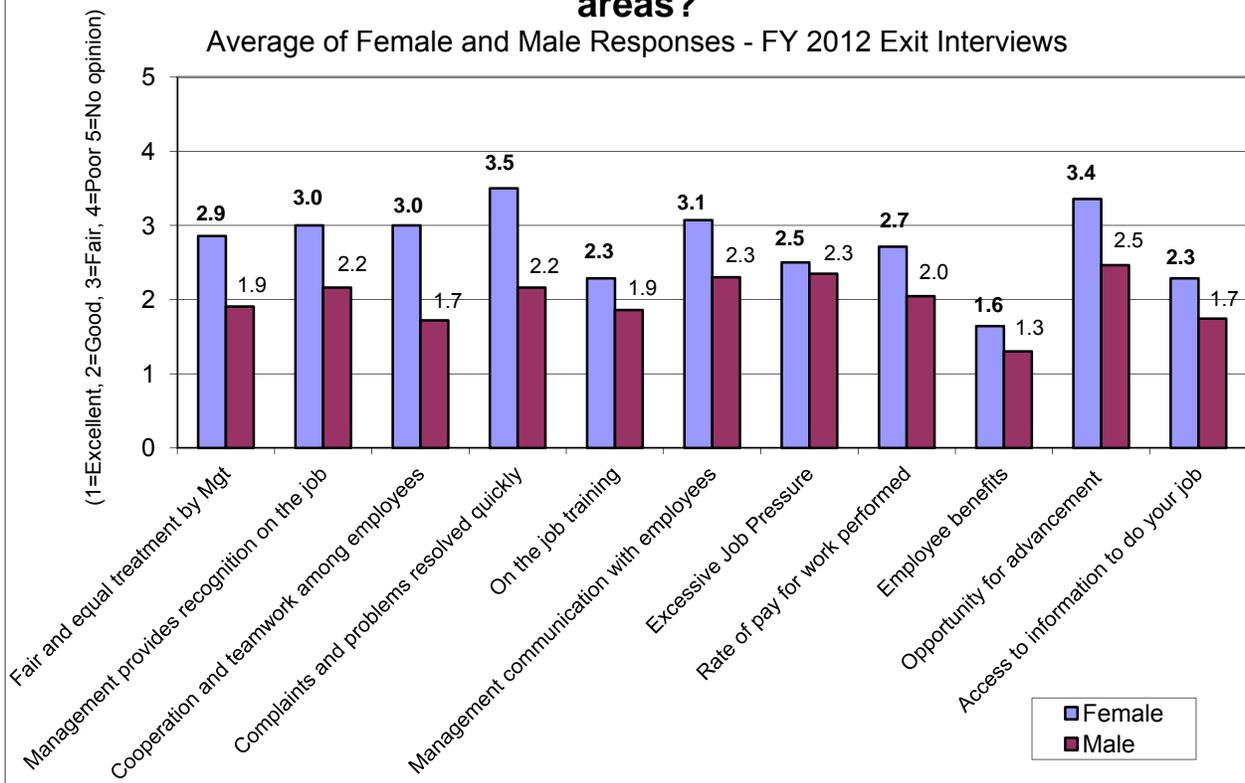
The higher number indicates more people identified an area as less satisfying while working at the DOT. An average of employee responses has been sorted to show the areas of concern in ascending order. Opportunity for advancement shows to be the main concern for departing employees.

How would you rate the DOT in each of the following areas?
Average of Employee Responses - FY 2012 Exit Interviews



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

Average of Female and Male Responses - FY 2012 Exit Interviews



PART II

ADDENDA



Title Recruitment/Selection/Hiring Process		Policy No. 210.02
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) See A. Wilkinson	

Authority: Director of the Operations and Finance Division.

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

Affected Offices: All

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

Definitions:

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

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

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

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

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

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

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

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

References:

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

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

AFSCME and IUP collective bargaining agreements, Article VII

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

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

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

Forms:

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

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

131049 – *Reference Check*

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

CFN552-0072 – *Application for State Employment*

P-1, *Report of Personnel Action*

P-5, *Hiring Authority*

Policy and Procedure:

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

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

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

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

I. Preparing to Fill a Vacancy

A. Review of Position Description Questionnaire (PDQ)

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

B. Completion of P-5, Hiring Authority

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

C. Coordination of Recruitment

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

consult with the Recruitment Officer and establish an enhanced recruitment action plan. Any additional recruitment effort will be determined by the Recruitment Officer and the selecting authority. All efforts and resources expended shall be documented by the selecting authority and placed as an attachment in the P-5/HDJ system.

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

D. Receipt of List of Eligible Applicants

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

II. Screening and Interviewing Applicants

A. Procedures

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

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

- a. A PDQ. This document must include a purpose of position, essential functions, competencies and any special requirements that appear on the classification.
 - b. A copy of the class specification.
 - c. The salary range for the position being filled.
3. Establish pre-interview screening criteria, as needed, to determine which applicants will be considered further. All screening criteria shall be job related, consistently applied and veteran's preference points taken into consideration. Depending on the number of applicants, multiple screening steps may be used.
 4. When a vacant position is underutilized in more than one category, submit the pre-interview screening criteria, applicant scores, and the proposed list of interview questions to the Affirmative Action Officer for approval, prior to interviewing.
 5. Use a selection team in the hiring process. The selecting authority should participate as a member of the selection team and must participate in the final selection of the candidate. At least one of the team members must have attended the Department of Administrative Services' PDS course, From Interview to Hire.
 6. Ask the following questions of each applicant as part of the interview process:
 - a. "Are you legally able to accept permanent employment in the United States?"

Note: If the applicant responds **yes** to this question, and the applicant cannot accept permanent employment based on his/her I-9 status, the applicant cannot be hired.
 - b. "Can you perform the essential functions of the position with or without reasonable accommodation?"

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

B. Consideration of Internal Applicants

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

3. If a selecting authority becomes aware that an applicant is an employee within his or her immediate supervision or area of responsibility, the selecting authority shall use a team that includes the selecting authority or his/her designee and at least one current employee who is outside the section/unit, office, division or area of responsibility.

C. Prohibiting Nepotism

1. A member of the immediate family of any current employee shall not be given preferential treatment in hiring for any position. The selecting authority shall determine if an applicant is a member of the immediate family of a current employee during the screening process.
2. If a selecting authority becomes aware that an applicant is an immediate family member of anyone in the chain of command above or below the position, that selecting authority shall immediately notify the selecting authority's next higher level supervisor/manager and the Office of Employee Services. The selecting authority shall ensure that the applicant is disqualified from further consideration for employment for this position under this policy.
3. No employee shall serve on the selection team when an applicant is a member of his/her immediate family.
4. An employee in a supervisory position shall not directly supervise a member of his/her immediate family.
5. Employees assigned as lead workers, while not supervisors, shall not serve as a leadworker for an immediate family member.

D. Time Off for Job Interviews

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

E. Temporary/Seasonal Appointments

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

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

III. Hiring Decision Justification

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

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

- A. Positions Affected
 1. Applicants for positions that are involved in the manufacture or production of driver's licenses and nonoperator's identification cards or that have the ability to affect identity information that appears on a driver's license or nonoperator's identification

card (covered positions), shall be subject to a background check as required by 6 CFR 37.45. The background check shall include the validation of references from prior employment, a name-based and fingerprint-based criminal history records check, and employment eligibility verification otherwise required by law.

2. Covered positions include: accounting clerk 1, 2 and 3, administrative assistant 1 and 2, clerk advanced, clerk specialist, compliance officer 1 and 2, driver's license clerk, driver's license clerk senior, driver's license examiner, driver's license hearing officer, executive officer 1, 2 and 3, information technology administrator 2, information technology specialists 1 through 5, information technology support worker 3, management analyst 2, 3 and 4, Office of Driver Services director, program planner 3, secretary 1 and 2, statistical research analyst 2, supervisor, telecommunication design specialist, training specialist 1 and 2, transportation division director, and typist advanced.

B. Validation of References from Prior Employment

If not already completed as part of the reference check required by Section III.D.2 of this policy, the selecting authority shall contact any prior employers identified by the applicant to confirm employment in the identified capacity and for the identified period of time, and to inquire into any other matters relevant to the employment decision, such as why the applicant left the previous employment. The Department recognizes that some employers will only verify employment and the dates of employment, but encourages diligent and respectful inquiry.

C. Criminal History Records Check

1. The criminal history records check is a name-based and fingerprint-based criminal history records check using the FBI's National Crime Information Center (NCIC) and the Integrated Automated Fingerprint Identification (IAFIS) database and state repository records on each applicant for a covered position to determine if the applicant has been convicted of any of the following disqualifying crimes:
 - a. Permanent disqualifying criminal offenses. An applicant has a permanent disqualifying offense if convicted, or found not guilty by reason of insanity, in a civilian or military jurisdiction, of any of the felonies set forth in 49 CFR 1572.103(a). These felonies are:
 - (1) Espionage or conspiracy to commit espionage.
 - (2) Sedition or conspiracy to commit sedition.
 - (3) Treason or conspiracy to commit treason.
 - (4) A federal crime of terrorism as defined in 18 U.S.C. 2332b(g), or comparable state law, or conspiracy to commit such crime.
 - (5) A crime involving a transportation security incident. A transportation security incident is a security incident resulting in a significant loss of life, environmental damage, transportation system disruption, or economic disruption in a particular area, as defined in 46 U.S.C. 70101. The term "economic disruption" does not include a work stoppage or other employee-related action not related to terrorism and resulting from an employer-employee dispute.

- (6) Improper transportation of a hazardous material under 49 U.S.C. 5124 or a state law that is comparable.
 - (7) Unlawful possession, use, sale, distribution, manufacture, purchase, receipt, transfer, shipping, transporting, import, export, storage of, or dealing in an explosive or explosive device. An explosive or explosive device includes, but is not limited to, an explosive or explosive material as defined in 18 U.S.C. 232(5), 841(c) through 841(f), and 844(j); and a destructive device, as defined in 18 U.S.C. 921(a)(4) and 26 U.S.C. 5845(f).
 - (8) Murder.
 - (9) Making any threat, or maliciously conveying false information knowing the same to be false, concerning the deliverance, placement, or detonation of an explosive or other lethal device in or against a place of public use, a state or government facility, a public transportation system, or an infrastructure facility.
 - (10) Violations of the Racketeer Influenced and Corrupt Organizations Act, 18 U.S.C. 1961, et seq., or a comparable state law, where one of the predicate acts found by a jury or admitted by the defendant, consists of one of the crimes listed in Section IV.C.1.a of this policy.
 - (11) Attempt to commit the crimes in Sections IV.C.1.a.1 to IV.C.1.a.4 of this policy.
 - (12) Conspiracy or attempt to commit the crimes in Sections IV.c.1.a.5 to IV.C.1.a.10 of this policy.
- b. Interim disqualifying criminal offenses. The felonies listed in 49 CFR 1572.103(b) are disqualifying if the applicant was either convicted of those offenses in a civilian or military jurisdiction, or admits having committed acts which constitute the essential elements of any of those criminal offenses within the 7 years preceding the expected date of employment in the covered position; or the applicant was released from incarceration for the crime within the 5 years preceding the expected date of employment in the covered position. The interim disqualifying offenses are:
- (1) Unlawful possession, use, sale, manufacture, purchase, distribution, receipt, transfer, shipping, transporting, delivery, import, export of, or dealing in a firearm or other weapon. A firearm or other weapon includes, but is not limited to, firearms as defined in 18 U.S.C. 921(a)(3) or 26 U.S.C. 5845(a), or items contained on the U.S. Munitions Import List at 27 CFR 447.21.
 - (2) Extortion.
 - (3) Dishonesty, fraud, or misrepresentation, including identity fraud and money laundering where the money laundering is related to a crime described in Sections IV.C.1.a. or IV.C.1.b of this policy. Welfare fraud and passing bad checks do not constitute dishonesty, fraud, or misrepresentation for purposes of this paragraph.
 - (4) Bribery.

- (5) Smuggling.
 - (6) Immigration violations.
 - (7) Distribution of, possession with intent to distribute, or importation of a controlled substance.
 - (8) Arson.
 - (9) Kidnapping or hostage taking.
 - (10) Rape or aggravated sexual abuse.
 - (11) Assault with intent to kill.
 - (12) Robbery.
 - (13) Fraudulent entry into a seaport as described in 18 U.S.C. 1036 or a comparable state law.
 - (14) Violations of the Racketeer Influenced and Corrupt Organizations Act, 18 U.S.C. 1961, et seq., or a comparable state law, other than the violations listed in Section IV.C.1.a.10 of this policy.
 - (15) Conspiracy or attempt to commit the crimes described in paragraphs "1" to "14" immediately above.
- c. Under want, warrant, or indictment. An applicant who is wanted or under indictment in any civilian or military jurisdiction for a disqualifying crime is disqualified until the want or warrant is released or the indictment is dismissed.
 - d. Determination of arrest status. When a fingerprint-based check discloses an arrest for a disqualifying crime without indicating a disposition, the disposition of the arrest must be determined. If, despite reasonable and diligent efforts, the disposition cannot be determined and the offense is a permanent disqualifying offense, the applicant may not be employed in a covered position. If, despite reasonable and diligent efforts, the disposition cannot be determined and the offense is an interim disqualifying offense, the applicant may not be employed in a covered position unless the applicant provides a certified statement from an appropriate custodian of records in the judicial branch of the jurisdiction of arrest that no record of conviction for the offense exists.

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

2. Notice

Every applicant for a covered position must be given notice that he or she must undergo a background check and the contents of the check before beginning employment in a covered position. The selecting authority must ensure that this notice is included in any posting or paid advertisement for a covered position, by

including the following in the P-5 for the covered position.

NOTICE: This position is a covered position under the REAL ID Act of 2005, 49 U.S.C. § 30301 note, as further defined in 6 CFR Part 37. Any applicant selected for employment in this position must submit to and pass a background check of the form and content required by 6 CFR 37.45.

During preparation of the P-5, the selecting authority should review the PDQ for the covered position to assure that successful completion of the background check is listed as an essential function of the position, and, if it is not, the selecting authority shall submit an updated PDQ to the Office of Employee Services for approval and the updated PDQ shall include successful completion of the background check as an essential function.

3. Process

- a. Once an applicant has been selected for employment in a covered position, the selecting authority shall obtain from the Office of Motor Vehicle Enforcement a fingerprint packet, and submit that packet to the selected applicant. The packet must include a consent and disclosure form, a fingerprint instruction sheet, a fingerprint card, and an Office of Motor Vehicle Enforcement self-addressed envelope. The instructions shall direct the selected applicant to complete the consent form and to present the fingerprint card for completion by a certified technician at the local law enforcement agency of the selected applicant's choice, and to request the local law enforcement agency return the completed consent form and fingerprint card to the Office of Motor Vehicle Enforcement, by regular U.S. mail using the self-addressed envelope provided.
- b. Upon receipt of a properly completed consent form and fingerprint card, the Office of Motor Vehicle Enforcement shall forward the selected applicant's fingerprint card and accompanying documents to the Iowa Division of Criminal Investigations for completion of the criminal history records check.
- c. The Office of Motor Vehicle Enforcement shall arrange for personal pick-up of the results of the criminal background check by Office of Motor Vehicle Enforcement staff and shall forward those results to the selecting authority by sealed, confidential envelope.
- d. The selecting authority shall review the results of the criminal history records check. If the results show a criminal history, the selecting authority shall consult with the Director of the Office of Employee Services and the Director of the Office of Driver Services to determine if any offense identified in the results is a permanent disqualifying criminal offense or an interim disqualifying criminal offense.
- e. The Department shall be responsible for the charge assessed by the local law enforcement agency for completion of the fingerprint card, and for the cost of the criminal history records check. If the local law enforcement agency will not bill the Department for completion of the fingerprint card, and requires the applicant to advance pay that cost, the Department will reimburse the selected applicant upon submission of a valid invoice or receipt showing advance payment of that cost.

D. Employment Eligibility Verification

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

E. Disqualification

1. If results of the criminal history records check reveal a permanent disqualifying criminal offense or an interim disqualifying criminal offense, the applicant may not be employed in a covered position. An applicant whose employment eligibility has not been verified as required by Section 274A of the Immigration and Nationality Act (8 U.S.C. 1324a) and its implementing regulations (8 CFR Part 274A) may not be employed in any position.
2. If a selected applicant is disqualified from employment in a covered position or from employment in any position, the selecting authority shall notify the selected applicant in writing of the disqualification, the scope and extent of the disqualification, and the reason for the disqualification. If the disqualification is based on the results of a criminal records history check, the selecting authority shall provide a copy of the results to the selected applicant. The written notice to the selected applicant shall state that the selected applicant has 7 days in which to contest the disqualification by providing information sufficient to show that the reason for disqualification is inaccurate.

V. Post-Offer Process

- A. A new hire who is not currently employed by the State of Iowa may be offered a salary above the minimum of the pay grade if prior approval has been granted. Form 131047, *Special Pay/Appointment Action*, must be completed and approved by the appropriate division director and the personnel officer from the Department of Administrative Services prior to the selecting authority committing to a salary amount for a new hire or making any offer of employment. If the selecting authority wants to offer more than the minimum of the pay grade, Form 131047 must be completed. A copy of the employee's current pay stub and resume must be attached to the form. (See Policy No. 210.07, *Pay, Pay Increases and Special Assignments*, for information on advanced appointment rates.)
- B. If the new hire is a current employee of the State of Iowa, a pay increase is limited to 5 percent above his or her current salary or to the minimum of the new pay grade, whichever is greater.
- C. The selecting authority shall prepare a proposed offer of employment letter and submit it to the Office of Employee Services prior to distribution. The assigned personnel assistant in Employee Services shall approve an offer of employment letter prior to it being sent to the selected applicant. The letter shall include the following information, at a minimum:
 1. The salary being offered.
 2. Start date.
 - a. A current employee of the State of Iowa must start the new position at the beginning of a pay period.
 - b. A new external hire may start at any time.

3. Specific provisions that the employment offer is subject to, if any, including:
 - a. Passing the drug and alcohol pre-employment test for positions requiring a commercial driver's license (CDL).
 - b. Passing a pre-employment, post-offer physical for positions requiring a CDL and for Motor Vehicle Enforcement officer positions.
 - c. Obtaining a CDL with the proper endorsements within 14 days of the date of hire, if applicable.
 - d. Completing a promotional probationary period, if applicable.
 - e. Meeting residency requirements, as necessary.
 - f. Completing educational requirements within established time frames.
 - g. Meeting other requirements, as necessary.
 - h. Maintaining a valid work permit for noncitizens.
 - i. Passing a polygraph examination for Motor Vehicle Enforcement officer positions.
 - j. Passing an Iowa Law Enforcement Academy physical test for Motor Vehicle Enforcement officer positions.
 4. Requirement to bring social security card, or if applicable, a federal identification number on the employee's first day for payroll processing.
- D. The selecting authority shall ensure that the list of applicants within the P-5/HDJ system is coded and approved upon acceptance of an employment offer by the final applicant, which will notify the assigned personnel assistant that the information may be entered into the State of Iowa's BrassRing employment system.
- E. The supervisor is responsible for ensuring that a new hire P-1 is created to place the employee on the payroll. The new hire P-1 and all supporting documentation must be received by the personnel assistant in the Office of Employee Services by the beginning of the pay period in which the hire takes effect. New hire P-1s will not be processed until step D above is completed.
- F. Original appointments, reemployments, and reinstatements may be made effective any day of the pay period.
- G. If the new hire is currently an employee of an executive branch agency of the State of Iowa (including the DOT), the starting date must be the first day of the pay period.

VI. Conflict

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

Schedule

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

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

BREAKOUT SESSIONS

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

▶ Attend breakout sessions according to your name tag color.

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

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

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

Federal and state laws prohibit employment and/or public accommodation discrimination on the basis of age, color, creed, disability, gender identity, national origin, pregnancy, race, religion, sex, sexual orientation or veteran's status. If you believe you have been discriminated against, please contact the Iowa Civil Rights Commission at 800-457-4416 or Iowa Department of Transportation's affirmative action officer. If you need accommodations because of a disability to access the Iowa Department of Transportation's services, contact the agency's affirmative action officer at 800-262-0003.

Schedule

Iowa State Center – Scheman Building, Ames Thursday Oct. 11, 2012

8:30 a.m. – 9 a.m.	Registration (<i>First Floor Lobby</i>)
9 a.m. – 9:15 a.m.	Motor vehicle enforcement color guard presentation of flags and Pledge of Allegiance
9:15 a.m. – 10:30 a.m.	Welcome – Craig Markley, chair, training sessions planning committee (<i>Benton Auditorium</i>)
10:30 a.m. – 11 a.m.	Welcome and Keynote – Iowa DOT: Safety – Mobility – Economics Iowa DOT Director Paul Trombino III (<i>Benton Auditorium</i>)
11 a.m. – noon	Break and wellness fair (<i>Second Floor Lobby</i>)
noon – 1 p.m.	Breakout sessions (<i>See below for locations</i>)
1 p.m. – 2 p.m.	Lunch buffet (<i>Rooms 220-240</i>)
2 p.m. – 2:20 p.m.	Breakout sessions
2:20 p.m. – 3:20 p.m.	Break and wellness fair (<i>Second Floor Lobby</i>)
3:20 p.m. – 3:30 p.m.	Breakout sessions
3:30 p.m. – 3:45 p.m.	Closing Remarks – Iowa DOT Director Paul Trombino III (<i>Benton Auditorium</i>)

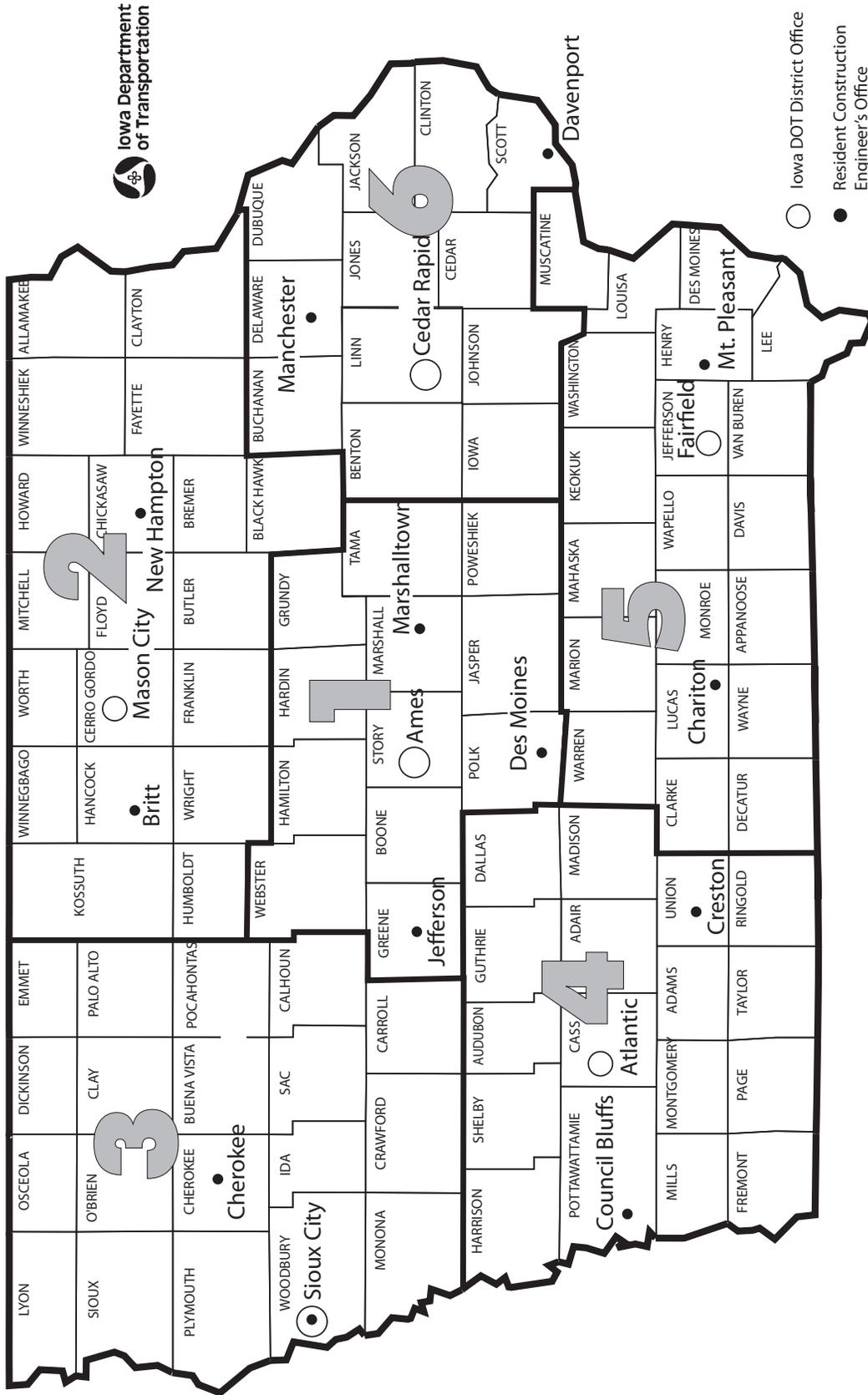
BREAKOUT SESSIONS

Breakout 1 – Room 275	Continuing the Conversation with the Iowa DOT Management Team Iowa DOT Management Team
Breakout 2 – Rooms 250-252	Work Place Environment Todd Sadler and Linda Anderson
Breakout 3 – Rooms 260-262	Lean Six Sigma Iowa Quality Center

Attend breakout sessions according to your name tag color.

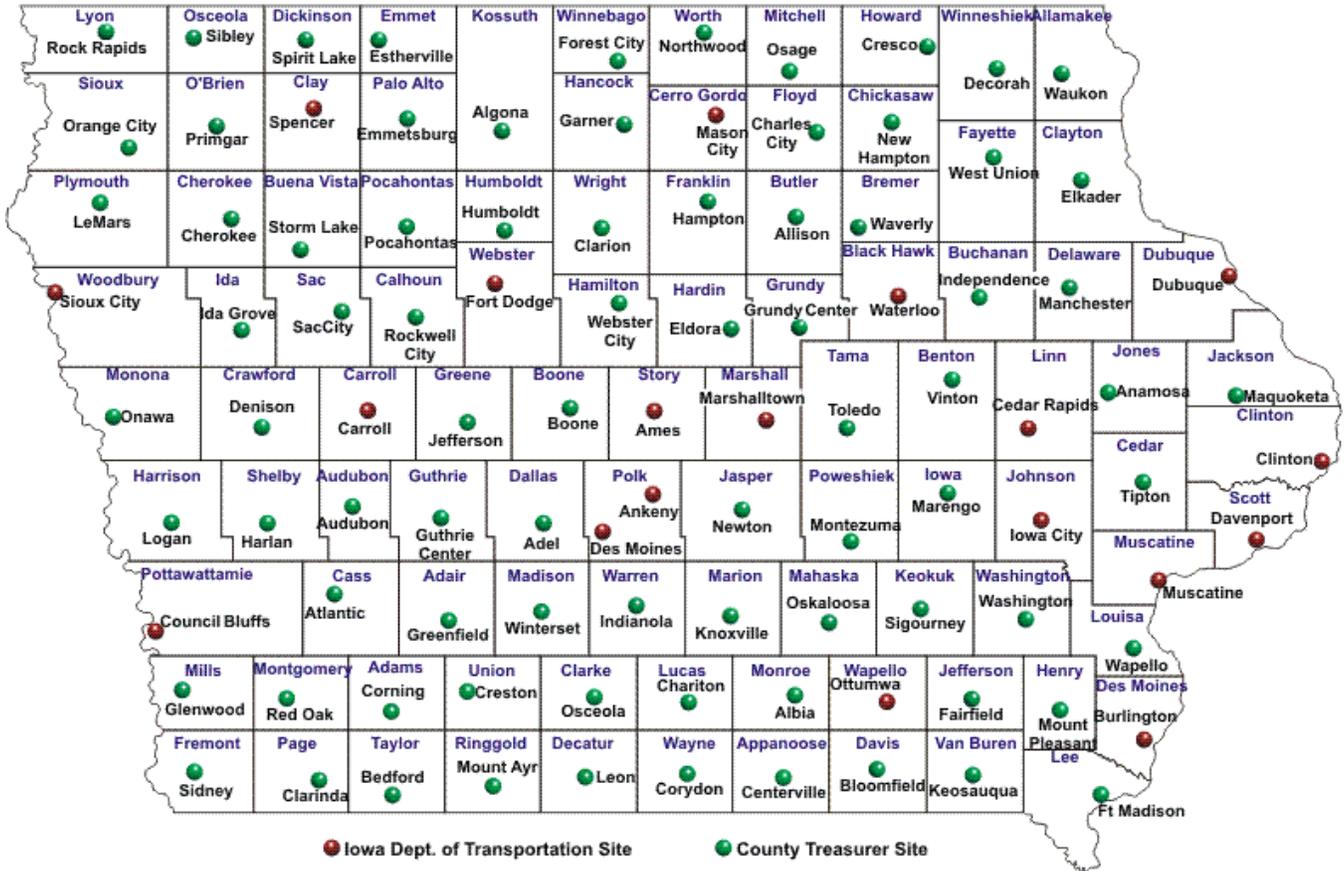
	GREEN	RED	BLUE
11 a.m. – noon	Breakout 1	Breakout 2	Breakout 3
1 p.m. – 2 p.m.	Breakout 2	Breakout 3	Breakout 1
2 p.m. – 2:20 p.m.	Break (<i>Location</i>)		
2:20 p.m. – 3:20 p.m.	Breakout 3	Breakout 1	Breakout 2

Iowa Transportation Districts



Iowa Driver's License Issuance Sites

Click on city for station location & hours



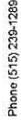
Driver License Stations by County

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

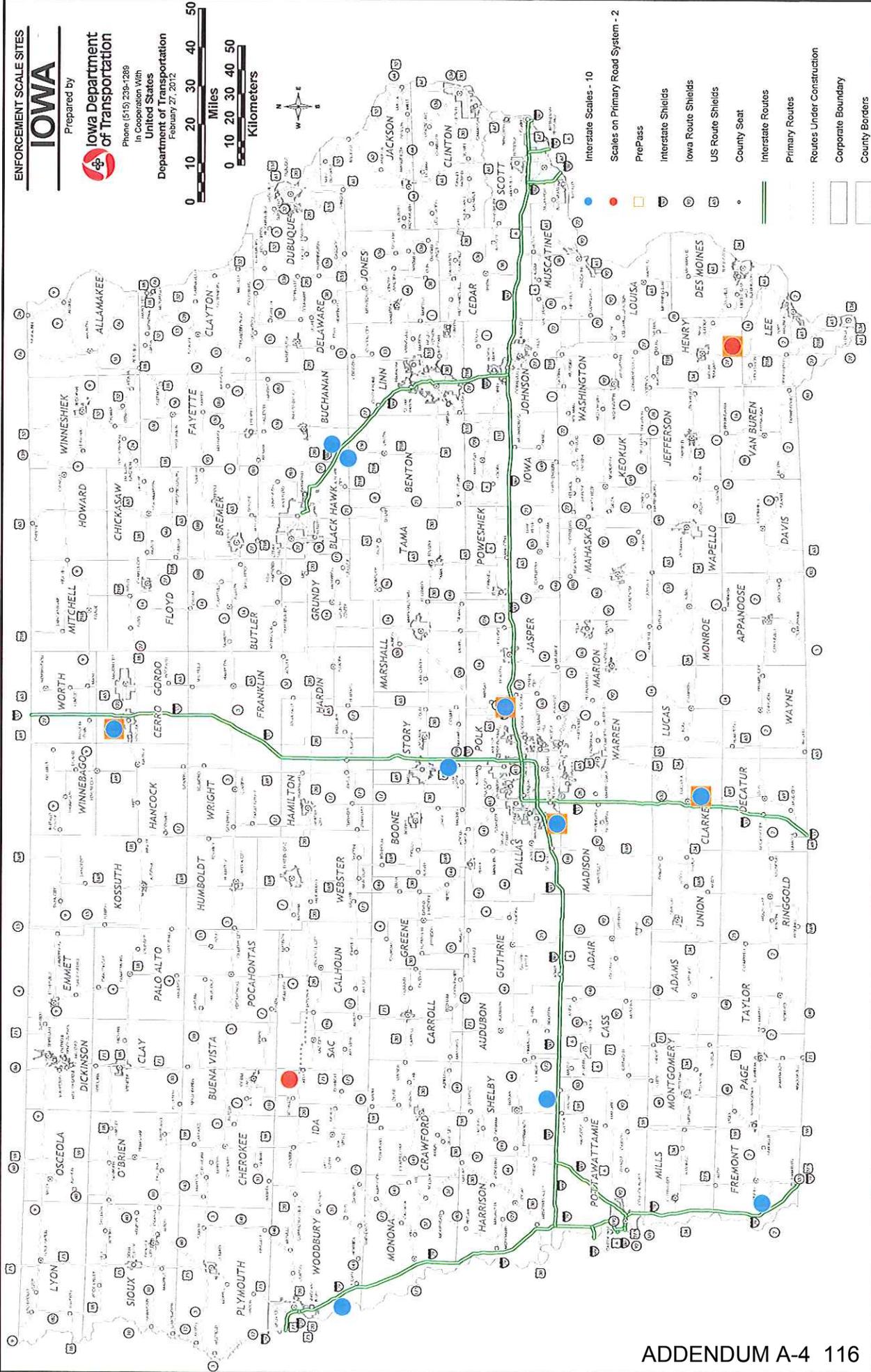
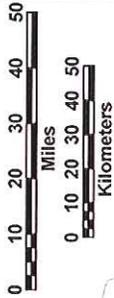
ENFORCEMENT SCALE SITES



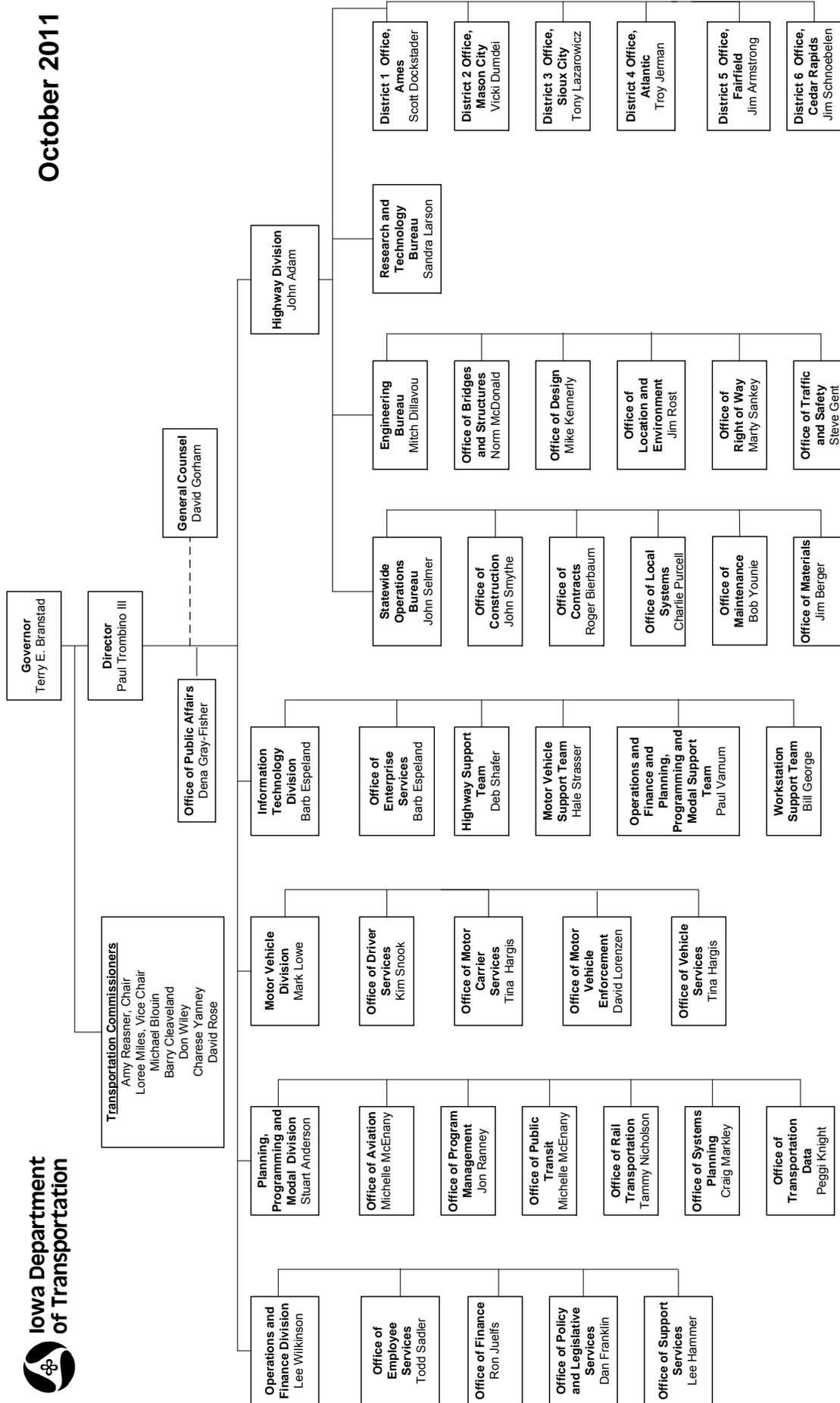
Prepared by
Iowa Department of Transportation



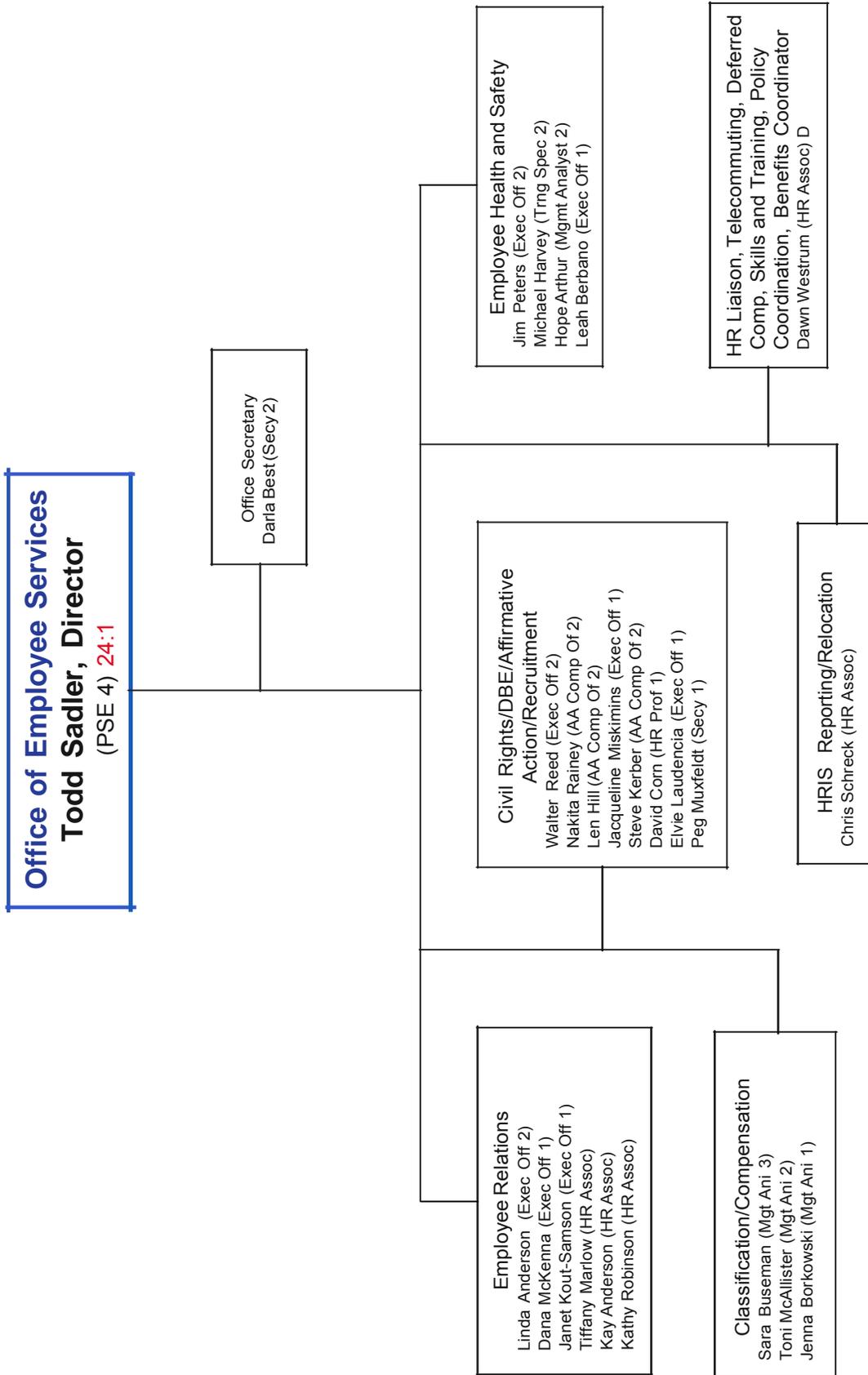
Phone (515) 281-1289
In Cooperation With
United States
Department of Transportation
February 27, 2012



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



Operations and Finance Division



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

Authority: Director of the Director's Staff Division.

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

Affected Offices: All

Who to Contact for Policy Questions: Affirmative Action Officer in the Director's Staff Division; telephone 515-239-1102.

Definitions:

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

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

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

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

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

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

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

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

Protected classes -

- Ethnic minorities. Persons having origins in any of the following--African racial groups (Blacks); Spanish cultural groups (Hispanic); original North American racial groups (American Indian or Alaskan native); or Far Eastern, Southeast Asian, Indian, or Pacific Island groups (Asian or Pacific Islander).

- Women.
- Persons with disabilities. Persons who a) have a physical or mental impairment that substantially limits one or more major life activities, b) have a record of such an impairment, or c) are regarded as having such an impairment.
- Persons age 18 or older.

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

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

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

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

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

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

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

Forms:

140009 - *Hiring Decision Justification/Applicant Interview Report* {available on DOTNET}
140039 - *Internal Complaint of Discrimination* {available on DOTNET}

CFN 552-0674 - *Individual Performance Plan and Evaluation (IPPE)* {available on DOTNET}
P-1 - *Report of Personnel Action* {mainframe program}

Policy and Procedure:

I. Policy

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

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

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

II. Responsibilities of Employees, Managers and Supervisors

- A. **Employees.** All employees of the Department, including managers and supervisors, are responsible for maintaining a work environment free of unlawful discrimination, discriminatory harassment and sexual harassment. Employees shall:
- Be a positive role model for co-workers.
 - Tell a person who is acting in violation of this policy to stop.
 - Report, in detail, acts of unlawful discrimination, discriminatory harassment or sexual harassment that the employee has experienced or witnessed to a supervisor, the Affirmative Action Officer in the Director's Staff Division or the Office of Employee Services.
 - Cooperate with any investigation by offering detailed information and responding openly, truthfully and completely to all questions.
- B. **Managers and Supervisors.** In addition to the responsibilities listed above, managers and supervisors shall:
1. Assure compliance with this policy and assist employees in understanding the concept of affirmative action and its application at the Department of Transportation. The Affirmative Action Officer in the Director's Staff Division is available to help managers and supervisors educate employees.
 2. In the hiring process, implement the affirmative action requirements of this policy as follows:
 - Initiate recruitment activities when necessary to meet affirmative action goals. Managers and supervisors shall contact the Recruitment Coordinator in the Office of Employee Services for guidance on recruitment activities. The Recruitment Officer will work with the Department of Administrative Services as needed.
 - Consider protected class applicants for all hires and make affirmative action appointments when feasible (see **Definitions** on page 1).
 - (Selecting authority) Complete Form 140009, *Hiring Decision Justification/ Applicant Interview Report*, after the candidates have been interviewed but prior to extending a job offer, and forward the form to the Affirmative Action Officer in the Director's Staff Division. This form is required for the following permanent full-time appointments: new hires, promotions, reinstatements, demotions, outplacements and non-contract transfers.
 - (Selecting authority) As an attachment to Form 140009 or in an E-mail to the Affirmative Action Officer, provide justification that addresses the essential functions of the position, the screening criteria used, and a comparison of applicants to the essential functions and screening criteria. The justification shall also indicate that reference checks are complete. The Affirmative Action Officer will advise the selecting authority whether or not the justification is sufficient.
 3. Provide fair and equitable access to appropriate training opportunities and work assignments.

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

III. EEO/AA Complaint Process

A. Filing complaints within the DOT.

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

process, such as mediation, is a viable option for resolution of the issue.

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

IV. Disciplinary Matters

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

V. Other Equal Employment Opportunity and Affirmative Action Activities

The Affirmative Action Officer in the Director's Staff Division shall:

- A. Coordinate the preparation of the agency's affirmative action plan and required reports, distribute the plan and reports, advise employees regarding implementation of the plan, and maintain records required by law.

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

VI. Policy Violations

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

VII. Conflict

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

VIII. Required Posting

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

Title Investigations		Policy No. 230.09
Responsible Office Office of Employee Services		Related Policies and Procedures 230.02, 230.03, 230.08
Effective/Revision Dates 4-5-99/ 12/5/05	Approval(s) Mary Christy	

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 (DOT) policies
- Department of Transportation work rules
- Drug and alcohol testing program policies
- Established policies or work rules 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:

Garrity warning – A statement, either verbal or written, given to employees who refuse to answer investigative questions. At the time an employee refuses to answer a question, the employee must be told:

1. That the employee is being directed to respond to all questions completely and truthfully.
2. That failure to respond to the questions completely and truthfully is considered insubordination and may lead to disciplinary action.
3. That 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 11.21 of the 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 Manager's and Supervisor's Manual.

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

Iowa Department of Administrative Services administrative rules 11 IAC Chapter 60
Web site: <http://www.legis.state.ia.us/Rules/Current/iac/gnac/gnac1/gna2.pdf>

Managers and Supervisors Manual, Chapters 9 and 11 (this manual is issued by Department of Administrative Services-Human Resources Enterprise)

Web site: http://das.hre.iowa.gov/ms_manual.html

Sample letters

Forms: None.

Policy and Procedure:

I. Policy

- A. It is the policy of the DOT that all managers and 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 Employment Relations Officer in the Office of Employee Services.
- C. An investigation shall begin within 7 days of the supervisor becoming aware of the alleged violation. It must be completed within 21 days unless statutory provisions apply. Exceptions to these time frames may be approved by the Office of Employee Services if any of the parties involved in the investigation are ill, on vacation, have scheduling conflicts, or for another valid reason.
- 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. **Managers and Supervisors Manual.** The supervisor shall first review Chapter 11 of the Managers and Supervisors Manual.
- B. **Development of investigation plan.** The supervisor shall then contact an Employment Relations Officer in the Office of Employee Services and with his or her assistance develop an investigation plan. In the investigation plan, the supervisor shall:
 1. Determine, in consultation with the Employment Relations Officer, whether to remove the employee from work pending the results of the investigation.
 - The employee should be removed from work if the supervisor believes the employee's presence would impede the investigation or create a safety or health risk.
 - If the employee is removed from work, the supervisor shall document this action in a letter to the employee, with a copy sent to the Personnel Assistant in the Office of Employee Services. (See sample letter in Supervisor's Toolbox.)

2. Determine and review 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. Identify anyone who was involved in or may have knowledge of the alleged violation(s) in order to determine who should be interviewed.
4. Outline the questions to be asked so that all witnesses are asked for the same information. For example, ask:
 - What happened, when did it happen and where did it happen?
 - Who was present or may have additional information?
 - Are there any notes, documents or other evidence relating to this or similar violations?
 - Has a similar situation occurred in the past? If yes, repeat all of the above questions for that occurrence.
 - Is there anything else they would like you to know?

C. **Approval of investigation plan.** The supervisor shall submit the proposed investigation plan to an Employment Relations Officer for approval. The investigation shall not be conducted until the Employment Relations Officer has reviewed and approved the investigation plan.

1. The Employment Relations Officer shall inform the appropriate personnel officer with the Iowa Department of Administrative Services-Human Resources Enterprise 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 Office of Employee Services shall, in the investigation planning process and/or throughout the investigation, include the Affirmative Action Officer in the investigation process.
3. The Office of Employee Services shall work with the appropriate management staff to determine who should conduct the investigation and if it is advisable to bring in an outside investigator to assist. An outside investigator is someone outside the normal chain of command, but may be another DOT employee. Managers and supervisors are not authorized to use an outside investigator without the approval of the Office of Employee Services.
4. If the Office of Employee Services approves the use of an outside investigator, Employee Services shall coordinate efforts with, and be the primary contact for, the investigator.
5. The Office of Employee Services shall keep the appropriate management staff (e.g., division director, Director of Transportation) informed of the status of the outside investigator's involvement.

D. **Supporting documents.** Following approval of the investigation plan, the person performing the investigation (investigator) shall collect all supporting documents and provide these documents to the appropriate management staff and the assigned Employment Relations Officer (the officer who approved the investigation plan) for review. Supporting documents include:

- The supervisor's records of any similar infractions in the work unit.
- Documentation that the employee had been made aware that the conduct was unacceptable.
- 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. Contract-covered 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. If the employee is in a contract-covered position, the employee may ask for and be granted union representation at that time. If the employee is in a non-contract covered position, the employee may be granted, upon request, the presence of a non-contract covered co-worker but not a union representative. This is in compliance with Section 11.21 of the Managers and Supervisors Manual.
3. Following are guidelines for conducting an interview:
 - If an employee refuses to answer any question, invoke the Garrity warning.
 - Do not promise confidentiality or anonymity.
 - Ask open-ended questions.
 - Take detailed notes and date and sign the notes after each interview.
 - Do not conduct group interviews.
 - Ask follow-up questions to determine if statements are facts or opinions.
 - If you obtain any conflicting information, ask the interviewee to explain the inconsistency.
 - 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.
 - Direct the interviewee not to discuss the investigation with others.

- Review the interview notes with the interviewee and ask the interviewee to sign and date the notes. As an alternative, record the interview or ask the interviewee to prepare a written statement. You must let the interviewee know that you are recording the interview.
4. After the witness and background interviews are complete, the investigator shall consult with and provide all documentation of these interviews to the Employment 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 Employment Relations Officer of any significant behavior or nonverbal clues observed during the interviews.

F. Interviewing the subject of the investigation.

1. After witness and background interviews are complete and have been reviewed, the investigator shall interview the employee who is the subject of the investigation. The investigator shall:
 - Advise the employee that this is an investigation that could lead to discipline.
 - Grant an employee's request for a union representative to be present if the employee's position is contract-covered. If the employee is in a non-contract covered position, the employee may request and be granted the presence of a non-contract covered co-worker but not a union representative. This is in compliance with Section 11.21 of the Managers and Supervisors Manual.
 - Follow the guidelines in II.E.3. for conducting this interview.
 - Ask the employee to respond to all allegations made.
2. Following the interview, the investigator shall discuss the results of the interview with the Employment Relations Officer. The Employment Relations Officer shall determine if the investigation is complete.

G. Determination of discipline or other corrective action. If the report of the investigation documents 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 of whether to request that criminal charges be filed must be made.

- This decision shall be made by the Director of Transportation, in consultation with the Office of Employee Services, other affected program managers, and the Attorney General's Office.
- If criminal charges are sought, the division director and the Office of Employee Services shall ensure that the Director of Transportation and appropriate program managers are kept informed of the status of law enforcement involvement.
- If criminal charges are sought, managers must be aware of their responsibility to guarantee the employee's rights under Garrity. (See Section 11.21 Managers and Supervisor Manual.)

- I. **Conclusion of investigation.** When it is determined that the investigation is complete and the appropriate action has been taken, it is the responsibility of the investigating supervisor to advise all parties involved that the investigation is closed and appropriate action has been taken.
- J. **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.



Title		Policy No.
Discipline and Other Corrective Action		230.02
Responsible Office		Related Policies and Procedures
Office of Employee Services		230.01, 230.09
Effective/Revision Dates	Approval(s)	
5-25-1976/3-27-2012	<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.legis.state.ia.us/asp/ACODocs/chapterList.aspx?agency=11>.

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

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

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

Forms: None

Policy and Procedure:

I. Policy

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

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

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

II. Responsibilities

A. Employee relations officers shall:

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

B. Supervisors shall:

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

III. Procedures

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

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

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

imposition of discipline. If the decision stands after this discussion, the employee must be informed of the action in writing (see Section III.C.3.).

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

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

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

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

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

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

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

IV. Conflict

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



Title Workplace Environment		Policy No. 230.08
Responsible Office Office of Employee Services		Related Policies and Procedures 230.01, 230.02, 230.03, 230.09
Effective/Revision Dates 3-31-92/ 8-21-09	Approval(s) <i>Lee 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: The following may be found in the Supervisor's Toolbox on the front page of DOTNET or, for the administrative rule, on the Web site listed below.

Iowa Department of Administrative Services administrative rule 11 IAC 66.4(8A).
Web site: <http://www.legis.state.ia.us/aspx/ACODocs/chapterList.aspx?agency=11>

Department of Transportation (DOT) Work Rules booklet

State of Iowa Violence Free Workplace Policy

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:
- 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.
 - 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.
 - Behavior that is meant to disrupt another employee's ability to complete work assignments.
 - False, malicious, or defamatory statements concerning co-workers or supervisors.
 - Malicious gossip or rumors regarding co-workers, supervisors or the DOT, whether repeated or initiated.
 - Retaliation, punishment, reprisal, or adverse treatment directed toward a person who reports conduct prohibited by this policy.
 - Failure to cooperate with an investigation by lying or withholding information that may allow inappropriate and/or offensive behavior to continue.
 - Granting special privileges or learning advantages when the decision is not based on operational considerations.
 - Using 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:
- Playing practical jokes or horseplay.
 - 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:
 - Be a positive role model for co-workers.
 - Tell a person who is acting in an inappropriate and/or offensive manner to stop.
 - 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.
 - 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:
 - Be aware of and sensitive to all employees' behavior.
 - Establish and maintain an environment that makes it comfortable for employees to report inappropriate and/or offensive behavior.
 - Act promptly to stop observed inappropriate and/or offensive behavior or retaliatory actions without waiting for a written workplace environment complaint or grievance, and contact the Office of Employee Services for assistance in developing an investigation plan. See Policy No. 230.09, *Investigations*.
 3. Work with the Office of Employee Services to investigate and resolve inappropriate and/or offensive behavior as follows:
 - Notify an Employee Relations Officer in the Office of Employee Services if they have observed, intervened in, or received a report of behavior that violates this policy.

- When notified by an Employee Relations Officer in the Office of Employee Services 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*.
- 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*.
- Verify with the work unit and employee that no one has experienced retaliatory behavior following the close of an investigation.

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 in the Office of Employee Services.
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 the next higher level supervisor.
3. If the complainant is willing to attempt an alternative dispute resolution process, the Employee Relations Officer and/or the Affirmative Action Officer shall work with the appropriate supervisory and non-supervisory staff to determine if there is a feasible alternative dispute resolution process available and if so, facilitate the process.
4. If an alternative dispute resolution is not feasible or is unsuccessful and it is determined that an investigation is necessary, the Employee Relations Officer shall work with the appropriate division director or designee to determine who will conduct the investigation. The investigation shall be conducted in accordance with Policy No. 230.09, *Investigations*.
5. The Employee Relations Officer shall keep the division director or designee and the complainant informed of the status of the investigation.
6. After the investigation is complete, the person conducting the investigation shall so notify the Employee Relations Officer. The Employee Relations Officer shall schedule a meeting with the person conducting the investigation, other appropriate management staff, and, if applicable, the Affirmative Action Officer to review the results of the investigation. Before the meeting, the Employee Relations Officer shall provide a copy of the completed investigation report to those attending.
7. 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. 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:
 - Tell the person who is acting in an inappropriate and/or offensive manner to stop.
 - 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 the Office of Employee Services to begin an investigation consistent with Policy No. 230.09, *Investigations*.

IV. Policy Violations

Any employee is subject to potential disciplinary action for:

- The employee's own acts of inappropriate and/or offensive behavior in, or reasonably related to, the workplace.
- Failing to cooperate with an investigation of behavior prohibited by this policy.
- Failing 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 COMPLIANCE REVIEW

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

October 1, 2011 through September 30, 2012

Organization and Structure

The Director of the Department of Transportation administers the External Equal Employment Opportunities Program. That authority has been designated to the Operations & Finance Director (Lee Wilkinson). The functional administration is assigned to the DBE Coordinator, Jacqui Miskimins and Civil Rights Team in the Office of Employee Services.



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

Jacqui Miskimins- EEO Administrator (Full-Time) 2 years with Iowa DOT, in current position since June 2012. The EEO Administrator reports to the Director of the Office of Employee Services.

Training: FHWA-NHI: Writing Effective Program Reviews; January 2013, Ames, IA

Len Hill- AA Compliance Officer - 2 (Full-Time) 23 Years with the Iowa DOT. This AA Compliance Officer 2 reports to the Director of the Office of Employee Services. His primary role is processing DBE Certifications/Audits and providing DBE Supportive Services Assistance to all certified DBEs.

Training: FHWA Title VI Training; May 2002, Ames, IA
Complaint Investigation April 2003
External Civil Rights 101, April 2003, FHWA, Ames, IA
DBE Certification Peer Review, Michigan DOT/FHWA August 2005
Small Midwestern Conference (KS, NE, MO, AR, IA) Kansas City, September 2005
DBE Certification Training (Web Conference) FHWA Ames, July 2006
FHWA Title VI, ADA/Section 504, & Investigating External Complaints of
Discrimination, January 2012
2012 AMAC Airport Business Diversity Conference, St. Louis, MO, June 9-12, 2012
FTA/Iowa Public Transit Training Conference and Annual Meeting, Waterloo, IA,
June 20-22, 2012
AASHTO National Civil Rights Subcommittee Training Conference, Detroit, MI,
August 5-9, 2012
FHWA National Highway Institute – Writing Effective Program Review, Ames, IA,
January 29-30, 2013

Steven Kerber – AA Compliance Officer 2, Title VI Compliance (Full-Time) In current position since October 26, 2012. The AA Compliance Officer 2 reports to the Civil Rights Coordinator and the Director of the Office of Employee Services.

Training: ADA Training (FHWA and Iowa DOT), January 28, 2013
Writing Effective Program Review (FHWA) January 29 & February 6, 2013
Title VI Sub-Recipient Review Process (FHWA) February 06, 2013
The Nexus: Title VI Non-Discrimination and Public Involvement Practice
(FHWA), February 14, 2013
Title VI Basic Training (FHWA), February 20, 2013
Title VI Sub-Recipient Review Process (FHWA and IADOT), February 25, 2013
FHWA-NHI: Writing Effective Program Reviews; January 2013, Ames, IA

Peg Muxfeldt- Secretary (Full-Time) 24 years with the Iowa DOT.
Secretary reports to the Civil Rights Coordinator and the Director of the Office of Employee Services, Civil Rights. Her primary role is to provide supportive services in processing documentation in the EEO/AA sections within the Office of Employee Services, Civil Rights

Training: FHWA Title VI Training; May 2002, Ames, IA
FHWA Title VI, ADA/Section 504, & Investigating External Complaints of
Discrimination, January 2012, Ames, IA
FHWA National Highway Institute – Writing Effective Program Review, Ames, IA,
January 29-30, 2013, Ames IA

Nikita Rainey – AA Compliance Officer 2 (Full-Time). Began work in the Office of Employee Services – Civil Rights on July 11, 2011, primarily conducting and implementing all of the Title VI Program activities. Effective December 9, 2011 the role now includes conducting contractor compliance reviews. The AA Compliance Officer 2 reports to the Civil Rights Coordinator and the Director of the Office of Employee Services.

Training: FHWA Title VI, ADA/Section 504 & Investigating External Complaints of Discrimination Training; January 2012, Ames,
IA FTA/Iowa Public Transit Training Conference and Annual Meeting, Waterloo, IA, June 20-22, 2012
AASHTO National Civil Rights Subcommittee Training Conference, Detroit, MI, August 5-9, 2012
FHWA National Highway Institute – Writing Effective Program Review, Ames, IA, January 29-30, 2013

District or Division Personnel

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

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

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

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

Compliance Procedures

1. 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, the Employee Services Office staff is available to discuss the EEO/AA Program and its ramifications and respond to questions.

Accomplishments

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

EEO staff will complete a compliance review report on each contractor that is reviewed. The Office of Employee Services will retain that report for 3 years and a copy will be sent to Iowa FHWA as they have elected to monitor the process and review the individual reports.

Compliance reviews completed by the external EEO/AA fiscal year 2012:

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

The one Voluntary Corrective Action Plan (VCAP) was fully addressed by the contractor; the EEO staff concurred with the action taken and later found the contractor in compliance.

The EEO Section plans to review at least 30 prime and subcontractors in fiscal year 2013.

Desk Audits Selection

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

1. Deficiencies or observations made during most recent compliance review.
2. Concerns or questions regarding EEO/AA complaints.
3. History of deficiencies or observations.
4. No compliance reviews in the last three years.
5. First time contractor or subcontractor with work of \$50,000 or more.

6. The dollar amount of work on DOT projects during the past 12 months. Contractors with higher dollar amounts of work have more potential for impact, i.e. \$5,000,000 or more.
7. Work in geographic areas of greatest potential for the recruitment of females or minorities.
8. Random selection of any contractor or subcontractor with work in excess of \$50,000.

Desk Audits Procedures

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

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

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

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

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

The Compliance Officer will review all submittals of the contractor. If there are no questions or concerns after comparing the submittal to their company's EEO/AA policy, the contractor will be notified by mail that their desk audit was approved. However, if there are questions or

concerns, an on-site compliance review will be performed. An on-site will typically not be performed on contractors with 15 or fewer employees.

Home Office Review

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

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

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

16. Documentation of the names, addresses and telephone numbers of all applicants, including minority and female applicants and what action was taken with respect to each individual.
17. The company's standard subcontract and vendor purchase order.
18. If joint checks were issued on completed Federal-Aid projects during the last year, a list of all joint check recipients must be provided.
19. Provide all cancelled checks or proof of payment to DBE subcontractors on the 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 submittal, the company's EEO Policy, the Iowa DOT EEO/AA Specification, Form 1391 for the company at peak employment, and the compliance review form. The preceding information will be reviewed for compliance with the Iowa DOT EEO/AA Specification and the contractor's EEO/AA Policy.

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

Summary of Compliance Reviews Conducted

Next year, a complete report will be provided for the next fiscal year's reviews. In addition to a summary of the reviews conducted, the action taken to address the areas of concern will be outlined with a summary of the follow-up reviews and any voluntary corrective action plans.

Contractor Sanctions

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

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

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

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

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

Complaints

The Iowa DOT Office of Employee Services will follow the Iowa DOT Title VI Compliant process procedures when a contractor files a complaint against another contractor, for a discrimination complaint. The complainant must complete the Title VI Complaint intake form or provide the necessary intake information. The Standards Specification for Highway and Bridge Construction Section 1102.19 F 5 describes the compliant 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 will determine its jurisdiction, acceptability, need for additional information, and investigative 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 the jurisdiction and will investigate and adjudicate the case.

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

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

Within 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 (DOF) to review. The report shall include a narrative description of the incident, identification of persons interviewed, findings and recommendations for disposition. *This can be the District/Division Title VI Liaison, Coordinator or Title VI Specialist.

The investigative report and its finding will be sent to the Attorney General's Office (AGO) for review. The AGO will review the report and associated documentation and will provide input within 10 calendar days.

Any comments or recommendations from the AGO will be reviewed by the DOF. The DOF will discuss the report and recommendations with the Title VI Coordinator. The report will be modified as needed and made final for its release.

Once the Department's investigative report becomes final, the parties will be properly 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 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 their rights 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 appealing forum to a complainant that is not satisfied with the outcome of an investigation conducted by a Department sub-recipient. The Department will analyze the facts of the case and will issue its conclusion to the appellant within 60 days of the receipt of the appeal.

In addition, the Office of Employee Services in review with the Contracts Engineer may recommend sanctions be imposed upon respondent that are consistent with those outlined in 1102.03 in the Iowa Department of Transportation's Standard Specifications for Highway and Bridge Construction.

External Training Programs/Supportive Services

Review of work Classifications of Trainees

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

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

Overall the racial/ethnic minority males increased from a participation rate of 15.48 percent to 18.31 percent in the trade job categories when compared to the 2003 report period. Closer analysis does show advances for racial/ethnic minority males in all job classifications, where employed, with the exceptions of equipment operators Groups C & D, mechanics, pipefitters, plumbers and Group B laborers. Minority males have increased from a participation rate of 8.57 percent to 60.00 percent for on-the-job-trainees trade job categories in comparison to the 2003

report period. Lastly, minority males have increased from a participation rate of 0.00 percent to 14.29 percent in apprentice categories in comparison to the 2003 report period.

American Indians and Alaskan Natives, who presently participate at a rate of 0.32 percentage showed a decrease from 0.54 percentage.

Asians, and Native Hawaiian or Pacific Islanders, with a present participation rate of 0.09 percent or less, showed a slight decrease of 0.02 percent in their participation rates when compared to the 2003 report period.

Black Americans employed among the trade categories for this report period have shown a slight decrease presence within the workforce with a participation rate of 3.01 percent in 2003 to 2.06 percent in 2012.

Hispanic employed among the trade categories for this report period has shown steady “gains” within the workforce participation rate from 11.82 percent in 2003 to 15.69 percent in 2012.

Overall, women experienced a slight increase from a participation rate of 5.54 percent to 5.59 percent in the trade job categories when compared to the 2003 report period. Closer analysis shows decreases for females in equipment operators (with the exception of Class A and B), truck drivers, carpenters and Group B and C laborers. Females have decreased from a participation rate of 6.25 percent to 2.86 in apprentice categories but increased from a participation rate of 17.14 percent to 30.00 percent in on-the-job trainee categories, in comparison to the 2003 report period.

Three ways to provide training opportunities

1. Our current OJT Program has been in effect since 2002. The contractors that are required to have trainees is determined by the Office of Employee Services annually using a three year average of awarded contract dollars bid through the Office of Contracts. We will continue to assist these contractors in any way possible to make this specification a success for everyone. All contractors involved with this program by the end of the calendar year will be required to furnish the Office of Employee Services a detailed report on their training experience for 2012, this information will be used as a tool to make any modifications that may be needed to improve the program. A full description of this program can be found in the Standard Specifications under section 1102.19 D. Training and Promotion Plan.

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

2. Contractor Industry Training (CIT) is a training fund program were contractors can request funds to provide necessary and pertinent training to their employees. All contractors are required to submit race and gender information for all participants in the training courses and a database is kept to track the female and minority participation.
3. The Female and Minority in Highway Construction Training program provides training to eligible participants in flagger, core highway construction and Class A commercial

driving license. This information is reported and tracked on an annual basis by Eastern Iowa Community College and monthly progress reports are submitted to the External Civil Rights Coordinator.

Three ways to monitoring and track training opportunities

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

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

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

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

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

- Trainee interview by the Project Engineers staff and or staff of the Office of Employee Services.
- Contract compliance reviews.
- Statewide work force report.
- Payroll verification by the field engineering staff.
- OJT Training 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 Office of Employee Services, Civil Rights Team, December 31, or at the conclusion of the Construction season.

The Office of Employee Services, Civil Rights Team will maintain a trainee database. The OJT Program Coordinator will ensure that all records of approved trainees under the OJT contract hour requirement are kept on file and trainees' relevant information is kept up to date. The table below provides the demographic data for the twenty-two trainees of the sixty-six approved who have completed their respective programs during the construction season. The names of all contractors, trainees and level of skill obtained for those who have completed a course during the construction season. There are no project site interviews to list for this report's timeframe.

For the 2012 Construction Season, 32 Contractors were required to hire trainees. The 66 approved trainees fell into the following categories:

Caucasian Female	18	African American Female	0
African American Male	3	Native American Male	0
Hispanic Female	1	Asian Male	2
Hispanic Male	40	Caucasian Male	2

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

This agreement is designed to improve overall industry performance, and encourage contractors to participate in ongoing training programs supported by the Iowa DOT. The Office of Employee Services, EEO Section continues to be committed to assisting contractors in improving their EEO strategies and training opportunities. For State Fiscal Year 2012 \$57,090.75 was used to train 252 minorities and 220 females in various highway related courses.

3. The Female and Minorities in Highway Construction program is administered in partnership with (EICCD) to provide pre-vocational training to qualified women and minorities. The program is designed to provide instruction on general life skills, a basic classroom core curriculum, and an introduction to the skills needed on the job to become a productive part of an employer's workforce. Successfully completed, this training can lead to the student becoming a certified flagger and/or eligible to receive a Commercial Drivers License, Class A. This license and the skills learned should make the student very marketable to companies seeking workers. The budget created for 2013 through 2014 is for a total of \$261,420.00 and is based on a projection of 50 students receiving core construction certification, Iowa and national flagging certificates and obtaining a class-A commercial driver's license. This budget would support the numbers that went through the program in 2012. Scott Community College (SCC) would host 20 students, Hawkeye Community College (HCC) would host 20 students, and Des Moines Area Community College (DMACC) would host 10 students. These training sessions would be split up into two different sessions throughout the year at the respective colleges. The budget proposal has taken into account the rising cost of CDL class tuition at the different colleges as the cost of diesel fuel increases costs each year. It is expected that at least two thirds of the students will receive employment upon completion of the program.

Demonstrate successful training programs

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

Through the combination of these three programs a collective total of 604 females and minorities have been afforded the opportunity to receive additional training in course/job skills that are vital to highway construction. When compared to previous year's reports, we have been able to increase participation for training toward full time employment and promotion by 2%.

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

Minority Business Enterprise Program

Annually a Disadvantaged Business Enterprise (DBE) Directory of all Iowa certified DBE contractors capable of, or interested in, highways construction contracting or subcontracting is created in January. The Iowa DOT has provided Standard Specifications for Highway and Bridge Construction section 1102.17 Disadvantaged Business Enterprises as an instrument to

encourage and increase participation of disadvantaged individuals. The Contractor's Affirmative Action Responsibilities are described and the utilization of the Directory of Certified DBEs is referenced to provide a list of certified disadvantaged businesses available for contracting opportunities.

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

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

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

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

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

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

All contractors and subcontractors must submit their companies' proposed EEO/AA policy to the Employee Services Office staff for approval. Civil Rights Team will check each policy to verify if the proposed program is in compliance. If the contractor's EEO/AA policy is found to be in

compliance an approval letter will be sent. If not, communications will be established with the contractor to assist them. A list of contractors with approved policies will be maintained in the Client Server program and be posted on the "W" Drive for Field Offices.

Verifying Policies Prior to Contract Awards:

Prime contract awards

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

Subcontract approvals

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

Liaison

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