

# Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023

## Section 1 – Affirmative Action Statements

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### Policy Statement

The policy statement shall be a clear and unambiguous declaration of commitment to the principles of Equal Employment Opportunity (EEO) and Affirmative Action in the application of all human resource rules, policies, and practices. It shall contain the following or similarly worded language:

- The agency prohibits discrimination in its employment policies and practices on the basis of race, creed, color, religion, national origin, sex, age, mental or physical disability, sexual orientation, gender identity, or pregnancy or pregnancy-related condition 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. The agency is an equal employment opportunity and affirmative action employer.

Please provide your agency's policy statement below:

The Iowa Department of Transportation (DOT) prohibits discrimination in its employment policies and practices on the basis of race, creed, color, religion, national origin, sex, age, mental or physical 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. The agency is an equal employment opportunity and affirmative action employer.

The DOT's Equal Employment Opportunity and Affirmative Action Policy (230.03) prohibits unlawful discrimination, discriminatory harassment and sexual harassment. It establishes employee responsibilities for equal employment opportunity and affirmative action and details procedures and timeframes for action. The DOT affirms its deep commitment to treat all applicants for employment equally. Equal employment opportunity will be provided to all applicants without regard to race, creed, color, religion, sex, national origin, age, physical or mental disability, sexual orientation, gender identity, pregnancy, pregnancy-related condition, or marital status. Every effort will be made to ensure that reasonable accommodations are provided to persons with disabilities and that the rights of veterans in recognized military conflicts and all disabled veterans are protected.

The DOT, its employees and contractors are prohibited from discriminating against an applicant or another employee, excluding them from participation in a selection process, denying them benefits, or subjecting them to discrimination under any project, program or activity funded in whole or in part through federal financial assistance.

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## Administration Statement

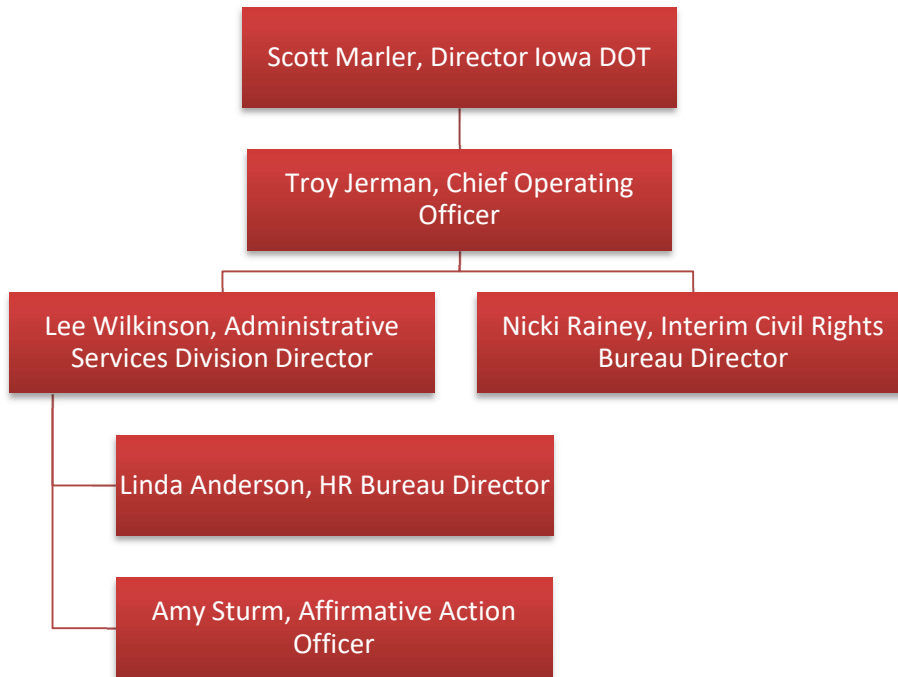
The administration statement shall be a declaration of how the agency's Affirmative Action Policy is to be implemented. It shall contain the name, job title, and work location of the person responsible for the internal process of reviewing and reporting equal employment opportunity and affirmative action information. The administration statement shall contain the following or similarly worded language:

- Name, title, is responsible for affirmative action reporting for FY 2022 and planning for FY 2023 for the Department of \_\_\_\_\_.

Please provide your agency's administration statement below:

The Director of the Iowa Department of Transportation (DOT) administers the Affirmative Action and Equal Employment Opportunity Program. That authority has further delegated this responsibility to the Administrative Services Division (ASD) Director, Lee Wilkinson and Chief Operating Officer Troy Jerman. Functional administration is assigned to the Affirmative Action Officer, Amy Sturm and Civil Rights Bureau Director, Tonnette Harris. Harris separated from the Department in December 2021 leaving the position with interim Civil Rights Bureau Director Nicki Rainey serving through the remainder of this reporting period. The Department Director during this reporting period was Scott Marler.

Under the guidance and supervision of Lee Wilkinson, Administrative Services Division Director, Amy Sturm was responsible for affirmative action reporting for FY 2022 and planning for FY 2023 for the Iowa DOT.



**Director/Elected Official Signature**

  
\_\_\_\_\_  
Director/Elected Official Signature

10-27-22

\_\_\_\_\_  
Date

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## Section 2 – Progress Report on Previous Year Goals (FY 2022)

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Use this space to report the progress of your FY 2022 goals. Please include activities, agency achievements, and any other information available.

During FY21, Iowa DOT leadership prioritized five goals as the overarching direction for the 5-year business plan to be attained between 2021-2025. As a primary focus, DOT will work to advance its workforce for future challenges and opportunities. Outcomes include engaged and empowered employees, increased diversity, equity, and inclusion, and steady reductions in turnover rate (non-retirement).

**Goal #1 – Advance Workforce for Future Challenges & Opportunities: horizontal career paths (HCP).** A Horizontal Career Path (HCP) was developed for DOT mechanics (EEO 7 Category - Skilled Craft Workers) to build knowledge, aptitude, experience, and application of mechanical principles and measures. Employees are expected to improve their knowledge, skills and abilities, take ownership over their work, and hold themselves accountable for efficiently delivering high-quality mechanical maintenance. DOT anticipates that employees participating in the HCP career path will be able to complete all specified requirements of Steps 1-3 within three full calendar years of entering the program. Portions of the HCP needed for advancement is up to the discretion of the individual. Pay increases from advancing levels will occur on the first full pay period after the beginning of the calendar year with required completion and verification of credentials per Administrative Code 53.9(6).

After successfully completing the identified aptitudes of the classification, passing the established metrics and personal performance evaluation, the mechanic will receive a pay increase and be moved to Step 2 of the 3-step program. Program review and modification is guided by the HCP Continuity Team as assigned by the Chief Operating Officer (COO). Steering committees may be formed as requested by the Continuity Team to provide input and support in updating this program. All changes to this HCP will be approved and communicated by the Continuity Team.

**Accomplishments:** EEO-7 positions at DOT show adverse impact for women and minorities within the referral to interview stage. A pilot HCP was implemented July 1, 2021 with 35% of mechanic's across the state participating. During this report period, there were 132 mechanics at Iowa DOT. Required courses focused on enhancing skills as well as developing the individual. Communication regarding the HCP program was done in various ways, to include townhall meetings held with executive leadership, in-person meetings with supervisors, email, and virtual meetings. Direct supervisors were responsible for ensuring the mechanic understood the content. Questions were answered by the HCP Program Coordinator throughout the year. during the review period, diversity and inclusion was a requirement for mechanics learning path in Step 2. The HCP program was put on all applicable job announcements, provided to referred candidates via Neogov and then discussed at interviews. The FY22 HCP year ended June 30, 2022. Metrics will be evaluated from the program and identify difficult to fill positions for program expansion in the future.

**Goal #2 - Advance Workforce for Future Challenges & Opportunities: Prioritize and advance Diversity, Equity & Inclusion (DEI) Task Force Recommendations.** Information learned from the DEI survey and in subsequent focus groups will direct DOTs DEI efforts in FY22. This will likely include a commitment towards enhanced outreach to underrepresented populations and industries within DOTs workforce where barriers to employment exist.

**Accomplishments:** During this reporting period, the Iowa DOT transitioned from a Diversity, Equity and Inclusion (DEI) taskforce to a smaller advisory committee consisting of a team lead, four team members and two support members. The Department's affirmative action office has been involved on both the task force and advisory committee.

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This 2022 objective, which is tied to the 5-year DOT business plan has been sponsored by three Executive Sponsors: Chief Operating Officer Troy Jerman, DOT Director Scott Marler and Administrative Services Division Director Lee Wilkinson. As a result of the taskforce's efforts and support of executive leadership, a survey was provided to all DOT employees the previous report period. The survey was the DOT's initial effort in documenting, monitoring, and reporting on diversity, equity and inclusion. Questions touched on respect, culture, commitment to personal growth, transparency, accountability, and ethical behavior.

This information was relied upon to create a request for proposal (RFP) in February 2022 to hire a DEI consultant. The bids were reviewed by a scoring committee consisting of four individuals from the DEI Taskforce. The review of the proposals occurred throughout the month of April.

Objectives for the consultant are as follows:

- Create and direct focus groups to assist in setting and meeting goals around DEI.
- Propose DEI related efforts that supports the goal of being a more DEI friendly workplace.
- Analyze survey data to better understand results.
- Generate a report summarizing the results of the focus groups.

An action-plan was presented to Executive Leadership and a follow-up kick-off meeting was held with the newly formed advisory committee also in April of 2022. This meeting focused on the topics of recruitment, education, training and increased communication between all levels of the Executive Leadership Team.

Within the contract, the consultant will assist DOT to better understand and analyze the survey findings as well as create next steps in order to work towards the goal of creating a more diverse, equitable and inclusive culture in the workplace. The DEI Consultant contract was awarded in May 2022 to a consultant with demonstrated knowledge and experience of DEI topics in human resources. The contract was not signed by the consultant prior to the close of this report period.

This work will continue into the next report period and include:

- Evaluating the data collected through the focus group process.
- Presenting a report summarizing the findings.
- Developing recommendations for consideration to address issues identified in the focus group work as well as the department's recent DEI survey.
- Developing recommendations, along with the project team, for consideration to support the development of a more diverse, equitable, and inclusive culture.

Additional department efforts supporting DEI are as follows:

- Human Resources led a DOT hosted hiring event at the garage in Marshalltown. Prior to the event, job posting handouts for maintenance positions (EEO 8 Category - Service & Maintenance) were translated and posted to the public in both English and Spanish. This community was chosen due to it being one of the top five Hispanic communities in Iowa. Bilingual brochures and job announcements were provided to various businesses in the community which identified as primarily Hispanic owned via the Marshalltown Chamber. DOT staff met and talked with business employees about the event and job opportunities. At the event, bilingual staff were on-site to assist with the application process for those interested in working for the DOT. Opportunities for application were seasonal workers and highway technician associates.
- Chief Operating Officer Troy Jerman in collaboration with the Civil Rights Bureau organized inclusion events. DOT celebrated pride month by hosting a live webinar with speakers merging pride within transportation; a display highlighted veterans with an honorary reading of names

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that recognized veterans at the Iowa DOT; and DOT celebrated National Hispanic and Latino Heritage month by spotlighting those working in the transportation field.

**Goal #3 - Enhanced Training and Development Program for employees.** The goal is to inspire and empower all employees to continuously learn more and grow in their careers at the DOT. Creating a continuous learning and professional development environment will cultivate employees in the areas of safety/compliance; business/technical/professional; leadership; and people leadership. All employees are to establish annual training and education goals and will be presented as a way to choose their own learning path.

This program has been designed and is to begin implementation in the first quarter of FY 2022. Each employee is to participate in at least 10 hours over the course of 12 months and will be documented through their performance evaluations. Success of this program will improve employee retention; support employees to be strong candidates for internal promotions and leadership positions; increase production and performance; improve customer service; and grow an engaged, adaptive and innovative workforce. This supports an inclusive environment creating a learning environment and path for advancement for all employees.

**Accomplishments:** In August 2021, supervisors were trained on their role within the Employee Training and Development Program and their responsibility as a people leader for empowering and inspiring their team members. People leaders coach employees by promoting professional growth and achievement to help our #1 asset reach their career goals.

Shortly after launch, employees learned through a virtual information session about the newly implemented Employee Training and Development Program. The session was recorded and posted on DOTs internal website. Within the session, Director Marler shared that there were four elements of why this program initiative is important.

1. To equip all employees to be the best version of themselves while working at Iowa DOT.
2. To improve knowledge and performance.
3. To engage with and invest in ourselves.
4. By investing in our greatest asset: our employees.

During FY22, employees were expected to establish continuous training and education goals. As an accountability measure, they were to discuss professional goals with their supervisor; develop a training plan; enroll for courses in IowaDOTU and track their accomplishments. Supervisors supported progress through regular check-ins and celebrated success through annual performance evaluations. Employees and supervisors were expected to regularly discuss individual learning plans, progress and accomplishments. DOTs performance evaluation was re-vamped to align with core values and will be used during FY23 in tandem with the continuous training and development program. Both the employee and their supervisor will be required to attach their individual learning plan to their completed performance evaluation and answer if the required trainings and training for development plan were completed.

The Continuous T & D program for all employees and the Leadership Master Class Series provide a framework to engage our workforce; develop our strengths and purpose and allows everyone the opportunity to learn and grow. All new employees learn about the Program during new employee orientation (NEO) which occurs on a monthly basis. Implementation of this initiative at NEO began in the fourth quarter of FY22.

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DOT is confident this intentional focus and investment in our workforce will equip employees to be strong candidates for future leadership roles, improve employee retention and the customer service experience we provide both internally and externally.

Additional agency-wide training efforts are as follows:

- Human Resources led Intentional Hiring Series (IHS) went live January 1, 2022. The series focused on increasing the hiring managers knowledge, understanding and confidence with the hire and selection process at DOT. A new topic was presented monthly, each one focused on a specific topic of the hire process and included the following: Building A Successful Question Set (April 2022), Candidate Consideration (May 2022), Reference Checks (June 2022), Writing A Justification to Hire (July 2022), Selection Fundamentals for Hiring Managers which addressed unconscious bias in hiring, and proper veteran's preference application. Within the training it recommended creating a diverse panel for each step of the hiring process and will contribute to hiring a more diverse workforce. In addition, interview guides are to be structured and prepared in advance to ensure candidates are provided the same opportunity. Specific guidance was provided related to not inquiring about protected status questions such as disability, marital status, pregnancy, ethnicity, gender inquiry, and religion. It also touched on redirecting interviews in which an applicant has disclosed protected information, thus providing framework for inclusive practices.
- All panel members are required to enroll into a 15-minute Interview Panel Member training prior to participating in the selection and hiring process. The selection, hiring and recruitment policy prescribes this as required training and compliance is verified by the AA/EEO office prior to any full-time offers of employment being provided.
- A development program called HR101 for new supervisors was created and implemented in June 2022. New supervisors are required to complete all three components. HR 101 is a classroom training required for all new supervisors and for those who had not attended the previous New Supervisors Academy. During the live session, it is recorded and made available later through DOTs internal website for on demand use going forward. HR 101 for new and current supervisors was a one-day course designed around the areas that are unique to the DOT and included employee engagement, hiring, performance evaluations, creating and maintaining the right culture with your team, navigating employee issues and investigation, discipline and grievance process.
- The motor vehicle officer (MVO) selection and hire process now includes two required trainings. The first is for anyone who participates in the hiring process focused on what their role is as hiring partner and unconscious bias and the second is for supervisors within MVO to prepare for interviews. The first training is Hiring Partner Education and the second is Interviewing as a Hiring Partner.
- During this reporting period, the recruitment, selection and hiring processes policy was reviewed and finalized in November 2021. The affirmative action office was involved in reviewing the policy and making recommendations in support of equal employment opportunity efforts which was sent to all staff.

### **Goal #4 - Implement Leadership Masterclass.**

Supporting the all-DOT training and development program in FY22, the first cohort of Leadership Master Class began. This is a series of courses designed to enhance and sharpen the leadership skills of DOT managers, supervisors, team leads and emerging leaders. This eight-month leadership series is built on the foundation of increasing self-awareness, exploring possibilities, and inspiring passionate, purposeful

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leadership within a team that is in alignment with the Department's Business Plan. Classes surrounding inclusion and addressing bias are incorporated into this series.

After the first session, employees will team up with an accountability partner and support each other through this learning journey. Throughout the program, they will document leadership goals to implement using the knowledge and skills gained along the way. At the end of the series, the future leaders will have the opportunity to share their goals with the Executive Leadership Team and continue the momentum built with an accountability partner.

**Accomplishments:** Cohort 1 kicked-off in October 2021 and concluded in May 2022. Cohort 2 kicked-off in January 2022 and will conclude in August 2022, outside of this report period. The first two cohorts were determined on a voluntary basis with all eligible employees notified via email. Those interested in attending and joining were instructed to fill out the form found online within DOTs internal website. Staff were selected by who had the schedule capacity to commit to the eight-month experience. All managers are required to participate in the series with a few emerging leaders which are current team leads. There are 24 seats per cohort with four cohorts per year. To date, 24 have graduated and presented a plan to Director Marler with short-term (3-6 months) and long-term (1-2 year) goals developed over the eight-month Leadership Masterclass.

Leadership Masterclass was led by Executive Leadership presenting a 'Vision for Leadership at Iowa DOT' by sharing their collective vision for leadership and organizational culture.

Topics presented within the eight-month/ 10dayprogram are as follows:

- Emotional Intelligence – A Soft Skill Worth the Work
- Servant Leadership
- Strength Based Leadership
- Crucial Conversations, Developing Performance
- Three Core Principles for Managing Performance
- Five Conversations That Drive Performance
- Foundations of Diversity, Equity, and Inclusion,
- Exploring the Influence of Implicit Bias in Our Work and Lives
- Search Committee Practices to Advance DEI and Equitable Hiring
- The Customer Experience
- Crucial Accountability
- Living the DOT Brand and the Impact you Make Through Communication
- Building a Culture of Engagement, and
- The Next 100 Days

Weaved into the series were three equity focused topics; 1) Foundations of Diversity, Equity, and Inclusion; 2) Exploring the Influence of Implicit Bias in Our Work and Lives; 3) Search Committee Practices to Advance DEI and Equitable Hiring.

Foundations of Diversity, Equity, and Inclusion was a half-day introductory workshop where participants learned about the importance of diversity, equity, and inclusion as core values. Participants explored and reflected on the role of identity in their personal and professional experiences through cognitive dissonance and perspective taking.

Learning Objectives:

- Introduce and understand core concepts of diversity, equity, and inclusion.

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- Reflect on our identities, values, and experiences.
- Introduce intersectionality.
- Explore the concepts of bias, stereotypes, prejudice, and discrimination.
- Discover identity barriers to inclusion.

Exploring the Influence of Implicit Bias in Our Work and Lives: This workshop explored unconscious bias, including introducing key research studies showing the prevalence and potential impact of unchecked bias in employment practices, clinical interactions, mentoring, and everyday interactions. Participants explored evidence-based strategies to reduce its impact using case-based discussions related to recruitment, retention, self-advocacy, and more.

### Learning Objectives:

- Explore the concept and characteristics of implicit/unconscious bias.
- Introduce schema as a cognitive framework to organize and interpret vast amounts of information.
- Identify types of implicit and unconscious bias.
- Understand connections between implicit or unconscious bias in our work and lives.
- Discuss strategies to recognize and address bias in your personal and professional life.

Search Committee Practices to Advance DEI and Equitable Hiring is a workshop designed to expand upon exploring the influence of implicit bias in our work and lives by exploring unconscious bias through evidence-based strategies. This is within search committees, recruitment, employment and hiring practices through analysis of the Search Process Model to reduce its impact related to recruitment, retention, and more.

### Learning Objectives:

- Discuss the importance of diversity, equity, and inclusion in the search process.
- Review the characteristics of implicit bias.
- Analyze types of bias.
- Identify implicit bias as a barrier to achieving diverse, equitable and inclusive environments.
- Explore strategies to reduce bias and increase diversity in the search and selection process with the Search Process Model.

After the session, people leaders meet with their accountability partner and commit to work toward achieving professional leadership goals by signing a pledge and putting it into action.

### **Goal #5 - Increase agency Gallup Engagement to at least 30% overall percentile ranking.**

Iowa DOT is committed to building and sustaining a culture of engagement across the organization. Engagement not only drives inclusion, safety, productivity, and innovation, but it makes our work environment a healthier, happier place for each one of us. Our overall grand mean for the entire DOT increased from 3.56 in 2019 to 3.68 in 2020. (The scale runs from 1 for strongly disagree to 5 for strongly agree for all the survey questions.) DOT sets to increase the percentage of engaged employees by 1%, which is an estimated 25 employees. The next annual engagement survey was scheduled to reach employees in the fall of 2021.

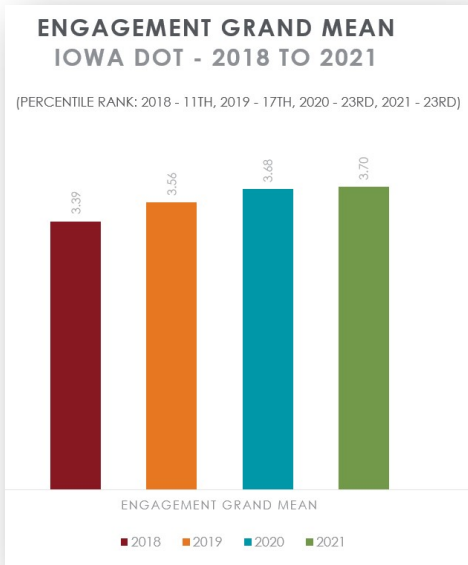
**Accomplishments:** DOT's fourth Employee Engagement Survey wrapped up. Over the past few years, many Iowa DOT teams have used their survey results to develop workplaces where there is open, honest communication where everyone has a voice. One of the best ways to increase the success of the DOT as a whole is to learn from teams who have had success when it comes to engagement.



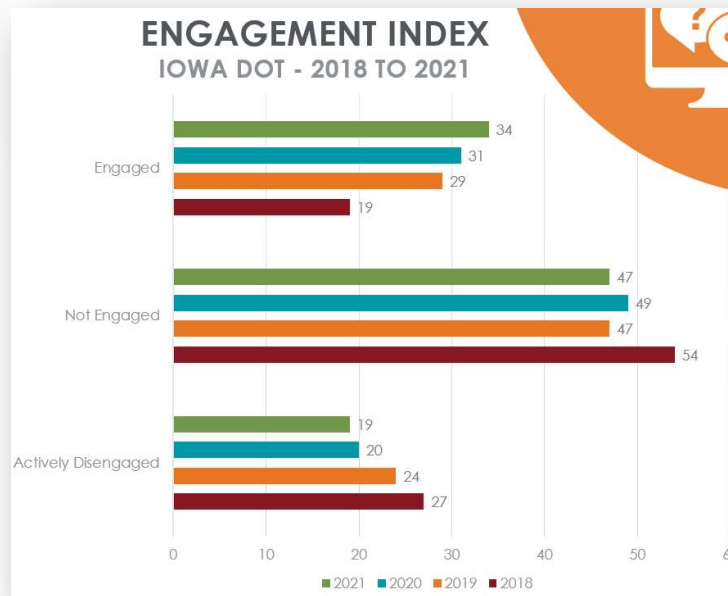
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The results of the annual engagement survey were compiled in the second quarter with the results being distributed at the end of the quarter. Director Marler shared a few highlights from the 2021 Employee Engagement Survey results via email, echoing Iowa DOTs commitment to building and sustaining a culture of engagement. The annual survey is a tool used to gather feedback from employees and measure improvement of our workplace environment.

The survey reported responses received from 1,968 permanent employees (77% participation) this year. The department’s overall mean score inched up +0.02 from last year to 3.70 (see graph on left).



Even though our score didn’t increase significantly, we are pleased that it held steady. In Director Marler’s email, he stated, “Maintaining our score underscores our resiliency as an organization and our ability to weather the pandemic and organizational changes. It remains encouraging to see the percentage of engaged employees increased, and the percentage of disengaged and actively disengaged employees decreased compared to last year’s results. (31% engaged, 49% disengaged and 20% actively disengaged in 2020).” The engagement index below illustrates the overall increase in engaged employees.



As with previous years, DOT saw some variation between divisions. Divisional scores are still all under the median (50<sup>th</sup> percentile) compared to Gallup’s Q12 overall database. Of note, division scores now fall on either side of the median for grand mean scores for public administration organizations.

It is also worth noting that engagement by location has improved since DOT began seeking feedback in 2018. Although no one area made huge leaps with engagement in the last year, engagement levels were sustained and continued to thrive through the pandemic and organizational changes.

Programs recently implemented to support improved engagement are the Employee Training & Development Program, Employee Recognition Program, Horizontal Career Paths, Leadership Master Class, New Employee Buddy Program and upcoming improvements to the employee performance evaluation tool. DOT hopes these tools will continue to strengthen engagement across the organization.

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Supporting department-wide engagement efforts, a group of Gallup trained engagement champions interviewed teams with proven success in this area and put together a set of “best practices” used as a tool to continue building workplaces we all want to come to every day. The “Engagement Success Guide” was distributed through Transportation Matters and reached all DOT employee with an active email account.

Engagement Best Practices for Supervisor’s Guide:

- Set Clear Expectations
- Develop a Team Focus
- Facilitate Meaningful Dialog and Be Transparent
- Mentor and Develop Individuals
- It’s OK to Think Outside the Box with Engagement
- Engage Often

Engagement Best Practices for Employees:

- Understand Expectations
- Develop A Team Focus
- Participate in Meaningful Dialog and Be Transparent
- Mentor & Develop Each Other
- Think Outside the Box with Engagement
- Engage Often

DOTs goal is for every team to discuss their survey results and develop an action plan to achieve their goals by February 1<sup>st</sup>, 2022. 85% of managers reported as having held their state of the team meeting as of March 2021. Supervisors were encouraged to use the survey data to recognize areas where the team is thriving and areas that need additional effort. Then, work together to identify the specific steps to take to improve the culture and performance of their team.

Additional efforts which support engagement as a top-down initiative include:

- A quarterly supervisor briefing led by Director Marler was held during this report period. The townhall meeting addressed creating and maintaining the right culture to support DOTs core values, current events, future briefings and space study conversations.
- All-employee town halls were hosted two times during this report period. December focused on DEI survey updates and answered related questions. January focused on a look back at 2021 and a look ahead to 2022 with some COVID related follow-up questions. Invitations were sent out via email with the recording being posted on DOTs internal website for those unable to attend live.
- Supporting enhanced agency-wide communication and engagement, Friday 15 is a 15-minute informational series that provides timely and relevant updates on topics that impact DOT employees. 15-minute virtual updates occurred the third Friday of every month, with an invitation sent the week prior to the meeting. These began in December 2021 and were held through May 2022 for this report period. Sessions include a leadership moment, interviews on key topics of interest to staff, and a run-down of current events designed to keep everyone in the communication loop.
- The updated telework agreement and policy was built from knowledge gained during the pandemic and created consistent expectations and principles regarding the use of teleworking. It was designed to create greater flexibility for employees and supervisors on how work is accomplished. It helps

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employees from a work/life balance perspective and DOT from a productivity perspective and strengthens engagement. Options to telework full-time or a hybrid of in-person and remote work became available formally in June 2021. A townhall meeting was held virtually to address employee questions.

- Skip level meetings refers to meetings that managers hold with staff other than the employees they manage directly. When management initiates these meetings, this platform encourages them to speak with areas they may not typically get an opportunity to and these areas also get to speak to managers / area experts they wouldn't otherwise be able to meet with. Through these meetings, both sides get to learn more about what the other does and gain a better understanding of the DOT as a whole. It fosters growth, connectivity, and innovation.
- An onboarding buddy is a current employee assigned to help a new employee's transition into life at the DOT. While supervisors play a critical role in shaping a new employee's first weeks and months, a broader team effort can ensure the experience is both positive and productive. A buddy provides informal guidance to the new employee often shaping early impressions of the Iowa DOT. Typical tasks assigned to a buddy might include a workspace tour, help acquiring office supplies, joining the team member for lunch on their first day, and introducing the new employee to stakeholders or other employees they need to know as part of their role. Although the role of the buddy mainly comes into play during the first few weeks of employment, it is a relationship that should be allowed to foster naturally without time limits. A good buddy experience has the potential to grow into a long-term relationship that could potentially exist throughout the employee's time at the DOT and beyond creating a culture of inclusion where everyone feels welcome.
- The department's core values are the foundation of the culture we want for the Iowa Department of Transportation. How we treat each other as we conduct our day-to-day business is the basis for creating and maintaining this culture. Within the supervisor success guide launched this reporting period, it provided managers with Creating and Maintaining the Right Culture with Your Team training by Human Resources staff. The core values directly impact how we want employees in the department to be treated.
  - People Matter – We are committed to diversity, respect, listening well, and engaging all employees in meaningful ways. Our culture emphasizes civility, continuous improvement, innovation, and reasonable risk-taking.
  - Servant Leadership – We are intentional to never be complacent and to always follow through with serving the public and each other. Leading by serving embraces a positive commitment to personal growth, being helpful, and aligning our efforts.
  - Integrity Without Exception – We foster a culture of respect, honesty, and commitment. Transparency, accountability, and ethical behavior are the foundation for all we do as stewards of Iowa's transportation resources.

As stated in the Workplace Environment Policy 230.08, 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. New supervisors and seasoned supervisors were provided the following steps which are vital to helping create and maintain the positive work environment we all want.

- Set expectations
- Be the example

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- See something, say something
- Seek guidance

Beginning in April of 2022, the Chief Operating Officer, ASD Director, HR Director and Employee Relations staff met with all business units to discuss resetting expectations. A handout displaying this information also provided quick links to DOT work rules, Iowa DOT policies and State of Iowa policies located in the State of Iowa Employee Handbook.

- As DOT works towards improving climate and culture, performance reviews, previously called IPPEs were rebuilt with the DOTs core values in mind. Beginning FY23, employees will be evaluated on core values and performance competencies. This will aide the supervisor and employee in holding conversations around DOT core values. Supervisors will also be evaluated on leadership components and engagement. This sets expectations that personal development is a part of everyone’s job. Additionally, the supervisor’s performance evaluation will include a conversation regarding employee engagement accountability with progress update on the team they manage. At conclusion of this report period, the new evaluation tool was still pending approval from DAS before implementation. After approval, training will be provided to all supervisors and implemented. A Workday Wednesday session is scheduled to be held in August in combination with a job aid for the next FY report period.
- The development and implementation of compensation strategies was intended to create consistent compensation practices within the Iowa Department of Transportation. The intention is to strengthen DOTs compensation package to better recruit quality applicants as well as to retain current employees. Four strategies were implemented in September of 2021; recruitment incentive, retention incentive, advance appointment rates and additional compensation tools such as extraordinary duty pay and special duty pay. Each strategy has consistent qualifying criteria that needs to be met, in addition to approval by Department of Administrative Services and the Chief Operating Officer at DOT.

Annual reporting related to DOT’s contractor compliance from October 1, 2020 – September 30, 2021 is included as Addendum A. Contractor compliance refers to the External Equal Employment Opportunity Program for Disadvantaged Business Enterprises (DBE). DBEs are for-profit small businesses where socially and economically disadvantaged individuals own at least a 51% interest and also control management of daily business operations.

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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.

### **WORK FLOW ANALYSIS – GENDER FY 2022 (March)**

#### **Department Level**

Using the DOT as the unit of analysis, review of “four-fifths” rule results for females indicated equitable progress for 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 Officials and Administrators (01), 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 in the Protective Service: Sworn (04) and Service and Maintenance (08) categories.

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

- *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), Professional (02), Technician (03), 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 Protective Service: Sworn

## **Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023**

(04) and Skilled Craft (07) categories.

Results from the “two standard deviation” test indicated results in the Protective Service: Sworn (04) category were within the realm of random occurrence.

Results from the “two standard deviation” test indicated results in the Skilled Craft (07) categories should be looked at in more detail.

- *Interview to Hire Stage*

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

Results from the “two standard deviation” test indicated results in the Technician (03), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories were all within the realm of random occurrence.

### **BARRIER ANALYSIS – GENDER FY 2022 (March)**

#### **Department Level**

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

#### **Category Level**

First, as reported earlier, an EEO category-level analysis was performed. At the “application to referral” stage, review of “four-fifths” rule results for females indicated equitable progress in all but the Protective Service: Sworn (04) and Service and Maintenance (08) categories. Further review found these to be within the realm of random occurrence. As noted previously, DAS-HRE has sole responsibility over the “application to referral” stage.

Review of the “four-fifths” rule results for females indicated a need for further statistical analysis for the “referral to interview” stage in the Protective Service: Sworn (04) and Skilled Craft (07) categories. Results of the “two standard deviation” test identified results in the Skilled Craft (07) categories should be looked at in more detail.

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

#### **Largest Applicant Pool Analysis**

Second, an analysis of results was done by splitting applicants into two pools – those applying for positions in the Administrative Support (06) category and those applying for positions outside the category. A total of 2,130 of the 2,952 (72.2%) applications from females seeking employment at the

## **Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023**

Iowa DOT were for Administrative Support (06) positions.

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

Results from the category 06 / non-category 06 analysis for the “refer to interview” stage showed females applying for positions in the Administrative Support (06) group progressed equitably having passed the “four-fifths” rule, while the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08) failed to progress equitably, with both the “four-fifths” rule and the “two-standard deviation” test failing.

Results from the category 06 / non-category 06 analysis for the “interview to hire” stage showed females applying for positions in the Administrative Support (06) group progressed equitably having failed the “four-fifths” rule but passed the “two standard deviation” test, while the combined non-category 06 group (categories 01, 02, 03, 04, 07 & 08) progressed equitably, having passed the “four-fifths” rule.

### **Discussion**

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

An area which may merit attention within the “referral to interview” stage is the Skilled Craft (07) category, where both the “four-fifths” rule and “two-standard deviation” test failed.

### **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 was looked at in more detail.

### **WORK FLOW ANALYSIS – ETHNICITY FY 2022 (March)**

#### **Department Level**

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

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

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

#### **Category Level**

- *Application to Referral Stage*

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated equitable progress in the “application to referral” stage in the Officials and Administrators (01), Professional (02), Technician (03), Protective Service: Sworn (04), Administrative Support (06), and Skilled Craft (07) categories, while the results in the Service and Maintenance (08) category should be looked at in more detail.

Results from the “two standard deviation” test indicated results in the Service and Maintenance (08)

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category were within the realm of random occurrence. DAS-HRE has sole responsibility over the “application to referral” stage.

- *Referral to Interview Stage*

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

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

Results from the two “standard deviation test” in the “referral to interview” stage indicated results in the Officials and Administrators (01), Technician (03), and Protective Service: Sworn (04) categories were within the realm of random occurrence, while results in the Administrative Support (06), and Skilled Craft (07) categories should be looked at in more detail.

- *Interview to Hire Stage*

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

Results from the two “standard deviation test” in the “interview to hire” stage indicated results in the Technician (03) and Service and Maintenance (08) categories were within the realm of random occurrence, while results in the Professional (02), category should be looked at in more detail.

### **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, female and person with disability categories. DAS determines which candidates are selected for referral to the DOT, where a hiring authority typically utilizes a review of resume and supporting materials to determine interview invitations.

### **BARRIER ANALYSIS – ETHNICITY FY 2022 (March)**

#### **Department Level**

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

#### **Category Level**

First, as reported earlier, an AA/EEO category-level analysis was performed. Review of “four-fifths” rule



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results for minorities indicated equitable progress in the “application to referral” stage for all except the Service and Maintenance (08) category, where “two standard deviation” test results indicated results were within the realm of random occurrence. DAS-HRE has sole responsibility over the “application to referral” stage.

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

Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis in 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 in Technician (03), and Service and Maintenance (08) categories were within the realm of random occurrence while the results in the Professional (02) category should be looked at in more detail.

### **Largest Applicant Pool Analysis**

Second, an analysis of results was done by splitting the applicants into two pools – those applying for positions in the Administrative Support (06) category and those applying for positions outside the category. A total of 553 of the 1,080 (51.2%) applications from minorities seeking employment at the Iowa DOT were for Administrative Support (06) positions.

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

Results from the category 06 / non-category 06 analysis showed minorities in both groups failed to progress equitably through the “referral to interview” stage, having failed both the “four-fifths” rule and the “two standard deviation” test.

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

### **Discussion**

The results of the category level and largest applicant pool analyses point to the “refer to interview” stage as an area needing to be looked at in more detail. These findings are consistent with department-level findings in regard to potential barriers to minorities at this stage.

Areas which may merit attention are the Administrative Support (06) and Skilled Craft (07) categories within the “referral to interview” stage, where both the “four-fifths” rule and the “two standard deviation” test failed.

Another area which may merit attention is the “interview to hire” stage, where the Professional (02),

## **Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023**

Technician (03), and Service and Maintenance (08) all failed the “four-fifths” test. Of these, the Professional (02) category failed the “two standard deviation” test while the Professional (02) and Technician (03) categories were found to be within the realm of random occurrence having passed the “two standard deviation” test.

### **Findings**

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

## Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023

### FY 2022 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	2,952						
Refer	2,204	<i>Apply to Refer</i>	92.4%	Yes			
Interview	311	<i>Refer-Interview</i>	40.2%	No	15.07	No	B, C
Hire	80	<i>Interview-Hire</i>	99.9%	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	480						
Refer	332	<i>Apply to Refer</i>	90.6%	Yes			
Interview	78	<i>Refer-Interview</i>	97.6%	Yes			
Hire	20	<i>Interview-Hire</i>	126.3%	Yes			

FEMALES: Category 2 – Professional.

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	199						
Refer	147	<i>Apply to Refer</i>	102.1%	Yes			
Interview	55	<i>Refer-Interview</i>	82.9%	Yes			
Hire	21	<i>Interview-Hire</i>	130.0%	Yes			

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	20	<i>Apply to Refer</i>	104.7%	Yes			
Interview	15	<i>Refer-Interview</i>	91.3%	Yes			
Hire	2	<i>Interview-Hire</i>	44.3%	No	1.14	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	27						
Refer	17	<i>Apply to Refer</i>	70.1%	No	1.39	Yes	A, E
Interview	1	<i>Refer-Interview</i>	51.8%	No	0.65	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.71	Yes	A

Note	Comment
A	Results fail the 80% test but passed the 2 standard deviation test.
B	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
C	Given protected class status (PCS) is typically unknown to DOT at this stage.
D	A bubble of female applicants (72.2% of all female applicants) sought Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

Note: March 2021 to March 2022 results

## Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023

### FY 2022 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	2,130						D
Refer	1,619	<i>Apply to Refer</i>	108.5%	Yes			
Interview	145	<i>Refer-Interview</i>	87.9%	Yes			
Hire	36	<i>Interview-Hire</i>	62.6%	No	1.82	Yes	A

#### 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	84						
Refer	68	<i>Apply to Refer</i>	92.0%	Yes			
Interview	16	<i>Refer-Interview</i>	55.8%	No	2.35	No	B, C
Hire	1	<i>Interview-Hire</i>	26.0%	No	1.45	Yes	A

#### 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>	44.6%	No	0.82	Yes	A, E
Interview	1	<i>Refer-Interview</i>	160.9%	Yes			
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.59	Yes	A

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

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Fem/Male)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	822						
Refer	585	<i>Apply to Refer</i>	85.6%	Yes			
Interview	166	<i>Refer-Interview</i>	71.5%	No	4.10	No	B, C
Hire	44	<i>Interview-Hire</i>	105.6%	Yes			

Note	Comment
A	Results fail the 80% test but passed the 2 standard deviation test.
B	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
C	Given protected class status (PCS) is typically unknown to DOT at this stage.
D	A bubble of female applicants (72.2% of all female applicants) sought Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

Note: March 2021 to March 2022 results

## Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023

### FY 2022 ADVERSE IMPACT STUDY – Minority Results Summary – All Stages

#### MINORITIES: Overall

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	1,080						
Refer	767	<i>Apply to Refer</i>	89.0%	Yes			
Interview	124	<i>Refer-Interview</i>	55.4%	No	6.43	No	B, C
Hire	29	<i>Interview-Hire</i>	89.7%	Yes			

#### MINORITIES: Category 1 – Officials & Administrators

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	124						
Refer	77	<i>Apply to Refer</i>	83.0%	Yes			
Interview	12	<i>Refer-Interview</i>	63.1%	No	1.56	Yes	A, C
Hire	3	<i>Interview-Hire</i>	112.2%	Yes			

#### MINORITIES: Category 2 – Professional

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	186						
Refer	135	<i>Apply to Refer</i>	99.9%	Yes			
Interview	50	<i>Refer-Interview</i>	83.9%	Yes			
Hire	8	<i>Interview-Hire</i>	42.4%	No	2.34	No	B

#### MINORITIES: Category 3 – Technicians

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	14						
Refer	8	<i>Apply to Refer</i>	81.6%	Yes			
Interview	5	<i>Refer-Interview</i>	76.1%	No	0.60	Yes	A,C
Hire	0	<i>Interview-Hire</i>	0.0%	No	1.21	Yes	A

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

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	28						
Refer	21	<i>Apply to Refer</i>	85.3%	Yes			
Interview	1	<i>Refer-Interview</i>	41.1%	No	0.89	Yes	A, C
Hire	1	<i>Interview-Hire</i>	228.6%	Yes			

Note	Comment
<b>A</b>	Results fail the 80% test but passed the 2 standard deviation test.
<b>B</b>	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
<b>C</b>	Given protected class status (PCS) is typically unknown to DOT at this stage.
<b>D</b>	A bubble of minority applicants (51.2% of all minority applicants) applied for Category 6 positions.
<b>E</b>	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

Note: March 2021 to March 2022 results

## Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023

### FY 2022 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	553						D
Refer	385	<i>Apply to Refer</i>	92.4%	Yes			
Interview	22	<i>Refer-Interview</i>	57.2%	No	2.51	No	B, C
Hire	10	<i>Interview-Hire</i>	164.0%	Yes			

#### 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	163						
Refer	136	<i>Apply to Refer</i>	94.6%	Yes			
Interview	30	<i>Refer-Interview</i>	51.5%	No	3.64	No	B, C
Hire	7	<i>Interview-Hire</i>	98.1%	Yes			

#### 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	12						
Refer	5	<i>Apply to Refer</i>	72.0%	No	0.69	Yes	A, E
Interview	4	<i>Refer-Interview</i>	132.0%	Yes			
Hire	0	<i>Interview-Hire</i>	0.0%	No	1.26	Yes	A

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

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	527						
Refer	382	<i>Apply to Refer</i>	88.1%	Yes			
Interview	102	<i>Refer-Interview</i>	68.2%	No	3.75	No	B, C
Hire	19	<i>Interview-Hire</i>	72.1%	No	1.40	Yes	A

Note	Comment
<b>A</b>	Results fail the 80% test but passed the 2 standard deviation test.
<b>B</b>	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
<b>C</b>	Given protected class status (PCS) is typically unknown to DOT at this stage.
<b>D</b>	A bubble of minority applicants (51.2% of all minority applicants) applied for Category 6 positions.
<b>E</b>	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

Note: March 2021 to March 2022 results

## Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023

### Section 3 - Utilization Analysis

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#### Instructions (after reading, please continue on to section 4)

Use the following reports in your utilization analysis:

- *Applicant Flow (by Minority and Sex)*
- *Requisition List (Req List)*
- *Workforce Composition (Wkf Comp)*
- *Workforce/Labor Force Comparison by Occupational Code*

Use the reports listed above, along with your experience and knowledge of your operations, to identify areas of focus to increase participation of females, minorities, and/or persons with disabilities. (Use these areas of focus to create your goals in Section 4.)

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## Section 4 – Goal Setting

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Effective Goals should be written using the S.M.A.R.T. goal setting process.

**S** = Specific - What are we going to do? What do I want to ultimately accomplish? How am I going to do it?

**M** = Measurable - How will I know that I have reached my goal?

**A** = Attainable – Can I see myself achieving this goal? Can I break it down into manageable pieces?

**R** = Realistic – Is the goal possible to reach? Is it too difficult or too easy?

**T** = Time-bound – What is my target completion date for reaching my goal?

Identify Goals:

The Executive Leadership Team developed and refined the objectives for 2022 via workshops, strategy sessions, and conversations with many employees. The six objectives identified for calendar year 2022 provide a near term focus to bring the DOT's vision from 25 years out down to 5-year goals all the way down to what needs to be done in calendar year 2022.

- 1. Continuation of FY22 Goal - Prioritize and advance Diversity, Equity & Inclusion (DEI) Task Force Recommendations:** As previously noted, information learned from the survey, subsequent focus groups, and affirmative action analysis will direct DOTs DEI efforts in FY23.

Objectives for the DEI Advisory Committee include:

- Contract signed by consultant for DEI work to commence
- Consultant will meet with Leadership Sponsors
- Consultant Lead Focus Groups – A consultant will determine a schedule of focus group member and meeting dates during this reporting period.
- Training, Recruitment and Communication – The DEI Advisory Committee will select training courses for DOT employees; research recruiting and advertisement platforms; establish a method of communication to the leadership team.
- Summary of Focus Group Meetings – Consultant will prepare a summary of the focus group meeting and recommendations to present to the DEI Committee.

Executive Sponsors: Troy Jerman, Scott Marler, and Lee Wilkinson

Project Leaders: Maria Hobbs. DEI Committee Members: Jacqui DiGiacinto, Mohamed Mohamed, Angela Poole, and Amy Sturm. Support Members: Christina Andersen and David Putz.

- 2. Continuation of FY22 Goal: Create additional horizontal career paths (HCP) opportunities.**

Objectives for the horizontal career path include:

- Strategically identify additional classifications,
- Propose additional classification to executive leadership team and begin development of program
- Build out program for new HCP classifications(s)

Responsibility of this retention objective is led by Human Resources Bureau Director Linda Anderson.



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- 3. New FY23 Goal: Advance Workforce for Future Challenges & Opportunities - Create a more Diverse/Equitable/Inclusive Culture.** The Iowa DOT will achieve a more diverse, equitable, and inclusive (DEI) work environment driven by our core values and our foundational belief that all employees are valuable.

The DOT will implement improvements in multiple areas to affect affirmative action including:

- Adopt DEI policy
- Developing inclusive leaders
- Increasing leadership diversity
- Establishing a permanent DEI council/committee
- Establishing anonymous reporting mechanisms to executive leadership, and
- Increasing substantive interactions between the dot workforce and senior leaders to contribute to career advancement.

Success will be measured by each item put into place, quarterly progress reports provided to DOT leadership, and subsequent Gallup Q12 Engagement results.

Executive Sponsors: Troy Jerman, Scott Marler, and Lee Wilkinson

Project Leaders: Maria Hobbs. DEI Committee Members: Jacqui DiGiacinto, Mohamed Mohamed, Angela Poole, and Amy Sturm. Support Members: Christina Andersen and David Putz.

- 4. New FY23 Goal: Modernize Recruitment and Hiring Processes - Formalize a recruitment strategy**

DOT will develop a plan for recruitment strategies that empowers all department employees to take ownership in recruitment.

Efforts will include:

- Tools and resources will be developed.
- A focus will be on building relationships with underrepresented populations.
- Funding will be allocated specifically to support recruitment efforts.
- An employee referral program will be developed.
- An external website dedicated to DOTs hire process and benefits will be created.

Responsibility of this goal will be led by Human Resources Bureau Director Linda Anderson.

- 5. New FY23 Goal: Modernize Recruitment and Hiring Processes - HR Training to Supervisors**

The June quarterly virtual supervisor briefing introduced hiring changes related to references, written justifications, and time efficiency improvements for the hiring process.

New supervisor training program will begin in FY23. This will be held quarterly and welcomes supervisors to attend as a refresher. The framework includes three components: one-day course in-person, six PDS courses (hybrid of online and in-person) and the Leadership Master Class are intended to provide a foundational component to be a leader within DOT.

HR specific topics quarterly trainings will include:

- Grievance procedures
- Workforce planning
- Unconscious bias
- Interviewing towards the department's core values
- Safety

## **Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023**

- Employee engagement
- Training and development

Responsibility of this goal will be led by Human Resources Bureau Director Linda Anderson.

By December 31, 2025, transportation throughout Iowa will be safer and performing better, with fatalities significantly reduced and a more resilient, reliable, and efficient system. Our internal and external customers will be better served, employees will be more engaged, and customer satisfaction across all programs and services will be increasing. Empowered employees will be well-equipped to meet both the challenges and opportunities of the future, and a culture of innovation and modernization will be integrated throughout the DOT. As stewards of Iowa's transportation system, we will have addressed our greatest resource needs and identified new, stable, and sustainable funding to ensure our transportation system is well-maintained.

## Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023

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

October 1, 2020 through September 30, 2021

#### Organization and Structure

The Director of the Iowa Department of Transportation (DOT) administers the External Equal Employment Opportunities/Affirmative Action Program. By delegation that authority has been further delegated to the Chief Operating Officer, Troy Jerman. Functional administration is assigned to the Civil Rights Bureau Director. The Department Director during this reporting period was Scott Marler.



Responsibility for administering the External EEO Program is assigned to the Civil Rights Bureau located on the Ames Central Complex. The team members during this reporting period were:

**Tonnette Harris, J.D.** – Civil Rights Bureau Director (FT); with the Iowa DOT since November 2019. The Civil Rights Bureau Director reported directly to the Chief Operating Officer. This position has the overall responsibility for monitoring and administering the Department’s Title VI, Disadvantaged Business Enterprise

## **Agency Affirmative Action: Reporting for FY 2022 and Planning for FY 2023**

(DBE) including small businesses, the On-the-Job training, EEO/AA Compliance and Supportive Services programs and activities.

**Yareli Reeve-Mendoza** – External Civil Rights Administrator (FT); since August 2020. This position reported to the Civil Rights Bureau Director. This position focuses on the On-the-Job Training & Supportive Services (OJT & OJT/SS), DBE Supportive Services (DBE/SS), and National Summer Highway Institute (NSTI) programs and activities.

**Tracey Bradley** - AA Compliance Officer 2 (FT); since July 2017. The AA Compliance Officer reports to the Civil Rights Bureau Director. This position focuses on Title VI and Contractor Compliance.

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

**Nikita Rainey** – AA Compliance Officer 2 (FT); since July 2011. The AA Compliance Officer 2 reports to the Civil Rights Bureau Director. This position focuses on Title VI and Contractor Compliance, DBE certifications, audits and supportive services.

**Danny Wagener** – AA Compliance Officer 2 (FT); since December 2016. The AA Compliance Officer 2 reports to the Civil Rights Bureau Director. This position focuses on DBE certification, audits and supportive services.

### **District/Division Personnel**

The Iowa DOT centralized civil rights administration with the development of the Civil Rights Team in 2011. The Civil Rights Team became the Civil Rights Bureau in May 2019. The Bureau is supported by personnel in district and field offices who oversee and document contractor compliance.

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

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

### **Guidance for Development of Compliance Procedures**

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

### **Implementation**

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- 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, Civil Rights Bureau staff is available to discuss the EEO/AA Program and its ramifications as well as respond to questions.

### Accomplishments

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

### **Compliance reviews completed during FFY21:**

Number of compliance reviews conducted:	32
Number of contractors reviewed:	32
Number of contractors found in compliance:	13
Number of contractors found in noncompliance:	19
Number of Voluntary Corrective Action Plans:	19
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 Civil Rights staff determined the contractors who needed to submit a Voluntary Corrective Action Plan (VCAP). The Civil Rights staff concurred with the actions taken in each of the VCAPs submitted by the respective contractors, to be fully implemented. Once the terms and conditions of the VCAP were completed, the Civil Rights staff issued letters of compliance with corresponding notice to FHWA. FHWA concurred with the Bureau's decisions.

The Civil Rights Bureau's goal is to review 24 contractors in FFY22.

### Desk Audit Selection

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

1. Deficiencies or observations made during most recent compliance review.
2. EEO/AA complaint against the contractor.
3. Observation(s) during prior review that warrants follow up.
4. No compliance review conducted within the past five years.
5. First time contractor or subcontractor receiving work of \$50,000 or more.
6. The dollar amount of work on DOT projects during the past 12 months.  
Contractors with higher dollar amounts of work have more potential for impact, i.e. \$5,000,000 or more.
7. Work in geographic areas of greatest potential for the recruitment of females or minorities.
8. Random selection of any contractor or subcontractor with work in excess of \$50,000.
9. A high dollar value project will be given consideration for project-specific review.

### Desk Audit Procedure

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

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

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

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

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

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

### On-Site Review

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

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

1. Methods used to recruit employees, including minorities and females (e.g. job orders, newspaper ads) and the specific time period(s) during which these efforts were made.
2. How the contractor advised applicants or current employees of the availability of training programs and the qualifications necessary for entry into such programs.
3. Methods utilized to assess the training needs and promotional potential of minority and female employees.
4. Which of their job classifications received training.
5. Methods utilized to assess the progress of all trainees.
6. Documentation of the contractor's ratio of trainee to journey level employees.

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7. Documentation that EEO training was provided to supervisory employees, including dates, who attended and what topics were discussed.
8. Documentation that the contractor's EEO officer has provided instruction on the company's EEO/AA obligations to new supervisors within thirty days of their hire.
9. Documentation that all personnel engaged in direct recruitment have been provided instruction by the company's EEO/AA Officer on the company's procedures for locating and hiring minority and female applicants.
10. Documentation of EEO/AA policy and the procedures to implement such policy being brought to the attention of employees via meetings, employee handbooks, or other appropriate means.
11. Company office's notices and posters.
12. Documentation of all EEO/AA on-site inspections by EEO Officer or designee on all projects let by the Iowa DOT.
13. Documentation of periodic evaluation of the spread of wages paid within each classification on all projects let by the Iowa DOT.
14. Documentation of the periodic review of selected personnel action(s) to determine whether or not there is evidence of discrimination.
15. Documentation of initiation of an investigation into all complaints of alleged discrimination within fourteen (14) days of receipt of complaint.
16. Documentation of the names, addresses and telephone numbers of all applicants, including minority and female applicants and what action was taken with respect to each.
17. The company's standard subcontract and vendor purchase order.
18. If joint checks were issued on completed Federal-Aid projects during the past year, a list of all joint check recipients must be provided.
19. Provide all cancelled checks or proof of payment to DBE subcontractors on the selected list of completed projects.
20. Documentation of any requests for reasonable accommodation/ADA.

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

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

### Contractor Sanctions

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

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

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

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

### **Complaints**

The Iowa DOT's Civil Rights Bureau follows the Iowa DOT Title VI Complaint process when a contractor files a complaint of discrimination against another contractor. The complainant must complete the Title VI Complaint intake form or provide the necessary intake information in writing. The Standard Specifications for Highway and Bridge Construction, Section 1102.19 (F) (5) describes the complaint process as follows:

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

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

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

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

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

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

Any comments or recommendations from the AG will be reviewed by the Chief Operating Officer. The Chief Operating Officer will review the report and recommendations with the Civil Rights Bureau Director. If appropriate, the report will be revised and finalized.

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

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

If the complainant is not satisfied with the results of the investigation, he/she shall be advised of the right to appeal the Department's determination to the FHWA, Washington Division Office, USDOT or USDOJ. Appeals



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must be filed within 180 days after FHWA's final resolution. Unless new facts not previously considered come to light, reconsideration of the Department's determination will not be available.

The Department will serve as the appellate forum to a complainant who is not satisfied with the outcome of an investigation conducted by a Departmental sub-recipient. The Department will review the facts of the case and issue its findings to the appellant within sixty (60) days of receipt of the appeal.

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

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

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

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

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

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

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

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

2. Contractor Industry Training (CIT) is a training fund from which contractors may request funds to provide necessary and pertinent training for their employees. All contractors are required to provide race and gender data for all participants in approved training activities. The Civil Rights Bureau maintains and updates a database to track female and minority participation.
3. The Female and Minority in Highway Construction Training program provides training to eligible participants in flagging, core highway construction knowledge and skills and to assist them in obtaining a Class A commercial driver's license. Participant information is reported and tracked on an annual basis

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by Eastern Iowa Community College and monthly progress reports are submitted to the External Civil Rights Administrator.

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

1. The OJT training requirement is monitored through a reporting system required of the contractor, with the involvement of the Project Engineer's office and the Civil Rights Bureau's External Civil Rights Administrator. Once the trainee is on the project, the Civil Rights Bureau will schedule on-site trainee visits as part of the monitoring process. The intent of these visits is to observe the trainee and conduct an interview to verify they are being trained in accordance with their training plan. On-site reviews are to be conducted with a minimum of 15% of all trainees enrolled each construction season.
2. It is expected that a trainee will begin training as soon as possible once the employing contractor begins work on the project. The trainee should have ample opportunity to use and refine the skills for which training is being provided. This program encourages keeping the trainee on the project if training opportunities in that work classification are available or until the trainee has completed training. The Contractor's responsibilities will have been met when approved training has been provided to the required number of participants.

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

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

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

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

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

The Civil Rights Bureau maintains a trainee database. The OJT Program Coordinator will ensure that all records of approved trainees under the OJT contract hour requirement are kept on file and trainees' relevant information is kept up to date.

For the 2021 construction season, 15 contractors were required to have trainees, for a total of 19 trainees. This year, there were 81 trainees identified including those in an apprentice program; some were rollover trainees from the previous year and others were employed by contractors that opted to train more than the minimum number required. The 81 trainees and apprentices fell into the following categories:

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Caucasian Female	4
African American Male	2
African American Female	1
Hispanic Male	17
Hispanic Female	2
Asian Male	4
Two or More Races Male	2
Caucasian Male	49
<b>Total</b>	<b>81</b>

3. Construction Industry Training (CIT): One goal of the program is that the funds will be used to provide training for minority and female employees. All requests are pre-approved and data is gathered on race/gender of trainees. A year-end summary is compiled to ensure that training opportunities are provided to female and minority participants. This program is intended to help improve overall industry performance and encourage contractors to participate in ongoing training programs supported by the Iowa DOT.
  
4. The *Women and Minorities in Highway Construction* program is administered in partnership with Eastern Iowa Community College District (EICCD) to provide pre-vocational training to qualified women and minorities. The program is designed to provide instruction in general life skills, a basic classroom core curriculum and an opportunity to develop the skills needed to be a productive part of a contractor's workforce. Upon successful completion of the program, some students will be certified flaggers, while others may opt to continue their training to earn a Class A Commercial Driver's License. These skills and certifications are very attractive in the current job market. The goal for 2020-2021 was to train 52 students in flagging, core construction certification and obtaining a Class A commercial driver's license. This year, there were 58 trainees identified and enrolled in the program. The 58 trainees fell into the following categories:

Caucasian Female	7
African American Male	18
African American Female	6
Hispanic Male	1
Asian Male	3
Native American Male	1
Caucasian Male	22
<b>Total</b>	<b>58</b>

As the main purpose of the program shifted toward employment outcomes, the goal of two-thirds of the 52 trainees finding industry specific employment was set. People in the state are continuously seeking training from the Women and Minorities in Highway Construction Program throughout the year.

### Demonstrate successful training programs

The Iowa DOT supported three (3) OJT programs to increase the workforce and productivity level of female and minority employees working on DOT let projects. Contractors are able to find qualified candidates for entry level positions among trainees who have completed the Women and Minority in Highway Construction program as discussed above. Contractors are encouraged to provide training and promotional opportunities to aid in the advancement of females and minorities employees through the OJT program as well as the Construction Industry

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Training (CIT) program. Since the inception of the OJT program, career advancement for minorities has been observed in a significant number of construction specific job classifications.

### **Disadvantaged Business Enterprise Program**

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

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