

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

Section 1 – Affirmative Action Statements

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.

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 2023 and planning for FY 2024 for the Department of _____.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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 Chief Operating Officer Troy Jerman and Administrative Services Division (ASD) Director, Lee Wilkinson. Functional administration is assigned to the Affirmative Action Officer, Amy Sturm and Civil Rights Bureau Director, Nikita Rainey. Rainey served as the interim Civil Rights Bureau Director beginning in December 2021 until selected in September 2022 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 2023 and planning for FY 2024 for the Iowa DOT.



Director/Elected Official Signature

Director/Elected Official Signature

8-2-2023

Date

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

Section 2 – Progress Report on Previous Year Goals (FY 2023)

Use this space to report the progress of your FY 2023 goals. Please include activities, agency achievements, and any other information available.

Beginning FY21, Iowa DOT leadership prioritized five foals as the overarching direction for the 5-year business plan to be attained between 2021-2025. The Executive Leadership Team (ELT) developed and refined the objectives for calendar year 2022 via workshops, monthly strategy sessions, and conversations with employees. The six objectives identified for calendar year 2022 provided a near term focus to bring the DOT’s vision from 25 years out down to 5-year goals and all the way down to what needs to be done in calendar year 2022. The previous report period identified five affirmative action related objectives with DOTs accomplishments listed below.

5-YEAR GOAL – ADVANCE WORKFORCE FOR FUTURE CHALLENGES AND OPPORTUNITIES:

FY22 Goal #1: Prioritize and advance Task Force Recommendations

As previously reported, information learned from the survey, subsequent focus groups, and affirmative action analysis will direct DOTs DEI efforts in FY23.

Rocks for the Task Force include:

- a. The committee worked through a process that included surveying employees and in person input.
- b. Training, Recruitment and Communication – The Task Force will select training courses for DOT employees; research recruiting and advertisement platforms; establish a method of communication to the leadership team.
- c. 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.

Accomplishments:

Overall, 10 focus groups were identified by job roles, departments/divisions, and personal characteristics which are listed below.

1. Administrative Services and Information Technologies
2. Black, Indigenous, and Persons of Color (BIPOC)
3. Field Operations
4. Front-Line Employees
5. Individuals with Disabilities and/or Who Need Accommodations
6. LGBTQIA+ Community and Allies
7. Managers
8. Motor Vehicle Division
9. Transportation Development Division
10. Women

Individuals were recruited to participate in these focus groups in two ways. Firstly, a communication was sent to all employees asking those who were interested to respond to a survey indicating their interest in

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

participating in these focus groups. Additionally, individuals were randomly selected based on relevant human resources collected data (e.g., job position, department/division, race/ethnicity, and sex). Altogether, 127 individuals were invited to participate via email by the consultant. The email contained information about the focus group process as well as a link to the virtual focus group. Individuals received a follow up reminder the day before their scheduled focus group. In total, 36 employees participated across the 10 focus groups during the months of November and December 2022.

The information provided was recorded and then grouped based on relevant themes identified by the consultant. These themes were ordered based on the frequency with which they were discussed, and the emphasis placed on them within the conversation. Themes were also recorded as shared by participants. They were presented as such without editorializing by the consultant to preserve the integrity and fidelity of the data, unless otherwise noted.

In January of 2023, the consultant produced a summary of the focus group meetings with recommendations that were scheduled to be presented in March 2023 to the sponsors and DEI Committee members. The meeting was rescheduled for April, which was held outside of this reporting period.

The Task Force role included selecting training courses for DOT employees; research recruiting and advertisement platforms; and establish a method of communication to the leadership team. There was no movement by the committee on this objective during this report period.

Goal #2 - Modernize Recruitment and Hiring

New FY23 Objective: Create additional horizontal career path (HCP) opportunities. Goals for the horizontal career path include:

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

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

Accomplishments: Human Resources strategically analyzed two job classification series: Engineering (EEO Category 2 – Professional) and Information Technology series (EEO Category 2 – Professional). Information Technology classifications evaluated for horizontal career path opportunities were ITS3, ITS4 and ITS5. The four engineering classifications for career path opportunities were Transportation Engineer Associate, Transportation Engineer, Transportation Engineer Specialist and Transportation Engineer Senior. Factors considered were the percentage of successful hires vs. unsuccessful hires and internal vs. external vacancy announcements. The average number of posting views, compared to the average number that applied was less than 1% for both series.

Engineering data taken from January 2020 through January 2022 evaluated by HR84 completed processes. IT data taken from end of December from December 2018 through December 2021 evaluated 43 completed processes.

Key takeaways:

- Engineering positions get less views and applicants.
- Both types of positions have very similar percentages of successful hires.
- Internal postings for both classifications receive less views, applications, and candidates.
- ITS3 and TE positions have the lowest percentages of successful hires.

Based upon retention and recruitment challenges, ITS3 and ITS4 classifications were recommended for a

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

horizontal career path. The program was developed in conjunction with IT Leadership, and it is expected to launch in quarter three of 2023, outside of this report period.

Continued FY22 Objective - Mechanic Horizontal Career Path (HCP):

The mechanic horizontal career path was implemented in FY22 to build knowledge, competency, experience, and application of mechanical principles and measures. Employees are expected to improve their skills and abilities, take ownership over their work, and hold themselves accountable for efficiently delivering high quality mechanical maintenance.

In the preceding period, EEO-7 positions at DOT showed adverse impact for women and minorities within the referral to interview stage. A pilot HCP was implemented July 1, 2021, with 35% of mechanics across the state participating. During this report period, 39% of 108 mechanics were eligible to participate. HR reports that of those who were eligible, 52.38% participated and completed the program. From March 2022- June 2022, there were 43 mechanics participating in the program. From July 2022- March 2023 there were 27 mechanics participating in the program. The decline in participation is due to the individuals pay. Upon completion, the individual receives compensation, but can only do so until they are at the max of their pay grade. HCP was not solely responsible for the adjustment in the pay; we had numerous pay equalizations done with new hires. During this report period, there were 125 mechanics at Iowa DOT; however, an analysis of the mechanics job classification revealed no impact to hiring underrepresented populations.

Changes to the HCP program from the preceding year include:

- No specific required trainings
- Personal Development Trainings are now Core Value Trainings
 - 60 hours of Core Value Trainings required (previously 40)
- Technical Training not included in Experience hours
- New Experience hour caps (all districts):
 - Snow Removal: 75 hours
 - Inventory Management: 50 hours
 - End Loader: 75 hours

The program parameters require submissions were due to the HCP coordinator by June 13, 2023 with a completion requirement of “meets expectation” or above from annual performance evaluation, an average of 3 or above for fleet readiness and work time reduction evaluations, 360 hours of experience, 60 hours of core value training, and 40 hours of technical trainings. A recommended timeline with quarterly goals was created to assist participants with accomplishing the entire program during one fiscal year. Supervisors were encouraged to discuss HCP progress with mechanics quarterly via email, face to face or another chosen method, with evaluations performed monthly. Each district has an HCP point of contact.

Goal #3 – Create a more Diverse/Equitable/Inclusive Culture

New FY23 Objective: Iowa DOT will achieve a more diverse, equitable, and inclusive 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:

- a. Incorporate these principles into 2023 current Objective regarding recruitment and retention
- b. Developing inclusive leaders
- c. Increasing leadership diversity
- d. Establishing anonymous reporting mechanisms to executive leadership, and
- e. Increasing substantive interactions between the DOT workforce and senior leaders to contribute

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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

Accomplishments: Executive Connect is the Iowa DOT's Executive Fellowship Program, designed to help employees with an interest in executive leadership gain experience and insight while creating and instilling a consistent culture and leadership mindset. A key to our success at the Iowa DOT is a focus on the creation of a consistent culture and leadership mindset. We want to provide opportunities for employees interested in leadership to learn and grow professionally such as the Development Program for New Supervisors and Leadership Master Class.

This fellowship is an intensive six-month program, intended for current senior-level leaders who have a deep understanding and practice of servant leadership principles and aspire to serve in an executive leadership capacity for the future betterment of the Iowa DOT. One executive fellow will be selected every six months and will work directly with Director Marler; participating in executive leadership activities including leading executive meetings, managing the department's agency objectives, and actively participating in the legislative process. The executive fellow will also work closely with COO Troy Jerman, and ELT members at various executive meetings, events, and projects. There are 57 staff eligible to participate.

Goal #4 - Modernize Recruitment and Hiring Processes

New FY23 Objective: Formalize a recruitment strategy: DOT will develop a plan for recruitment strategies that empowers all department employees to take ownership in recruitment. Iowa DOT will bring new innovation to our agency processes to recruit, hire, onboard, and retain employees. In partnership with the Department of Administrative Services, we will introduce and refine end-to-end strategies to strengthen the entire employee journey from attracting talent to developing a strong career and future with the Iowa DOT. We will create and align tools and resources for hiring managers seeking the best and the brightest talent, and we will develop a system to evaluate how we are performing.

Efforts will include:

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

Executive Sponsors: Andrea Henry and Lee Wilkinson

Project Leaders: Barry Thede, District Maintenance Manager and Jenny Veale, Assistant HR Director

Accomplishments: Tools and resources developed include recruitment videos that are now included in applicant communication. The video highlights Beyond the Paycheck theme identifying benefits, military support, innovation, connections, and flexibility to support family life. The video features "Your Career Destination" on DOTs career website at www.iowadot.gov/careers. There was no progress with efforts to build relationships with underrepresented populations during this report period.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

Funding for recruitment was approved and will be allocated in FY24. The employee referral program is a recruitment strategy in which current employees are incentivized by the hire of a recommended candidate within the Iowa DOT. Conditions to be met are as follows:

- The new hire must be new to state government and not a transfer/demotion/promotion, temporary employee, retiree, or previously employed with the DOT/executive agency.
- The new hire must compete through the merit hiring process and is not given preferential treatment for being a referral.
- The new hire must successfully complete their probationary period and have a meets/exceed performance review completed (at 6 months).
- Current employees are only eligible for up to three referral incentives per calendar year (potential total of \$3,000 for three referred hires).
- If the hire is not successful or is unable to successfully complete their probationary period, the incentives will not be issued.

When the new hire successfully completes their probationary period, the employee who referred them would receive a one-time payment of \$1,000. Documentation will be retained in the employee's official HR personnel file. Launched in August 2022, no referral bonuses have been issued to date.

The development of an external website dedicated to DOT's hire process was paused as a result of the agency's 1-year objective: *Improve recruitment, hiring, onboarding and retention processes at the agency*, which was rolled out in February 2023. The website currently features helpful information about co-op and internship information, application process overview, classification descriptions, core focus and values, diversity at the DOT, publications, and other job opportunities with industry partners.

In early 2023, a team was identified who shared ideas and challenges with executive leadership. The team identified a starting point based on ideas and challenges compiled. On the following pages are subcommittees and the collection of information gathered.

Hiring Subgroup Committee Members:

- Brandon Lafrenz, Highway Maintenance Supervisor
- Kristy Emmons, Personnel Officer, Department of Administrative Service
- Angie Poole, Director of Location & Environment Bureau
- Rob Hansen, Employment Bureau Chief, Department of Administrative Services
- Andy Frey, Director of Motor Vehicle Support Bureau
- Abbie Olson, Talent Acquisition, Department of Administrative Services

Retention Subgroup Committee Members:

- Tuan Phan, Management Analyst, Department of Administrative Services
- Bobbi Krug, Transportation Engineer Associate, Design Bureau
- Jenny Butcher, Communication & Marketing Liaison, Strategic Communications
- Kathleen Meradith-Eyers, Executive Officer, Motor Vehicle Administration
- Ben Kennan, Chief Strategy Officer, Department of Administrative Services
- Katie Ferdig, Driver & Identification Service Center Supervisor

Recruitment

Ideas:

- Advertising and networking opportunities through connections.
- Start having a presence in high schools – transportation industry is aging.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

- Testimony videos – current employees showcase on social media.
- Workday talent acquisition.
- Recruit instead of post and pray.
- Create the story of why it's great here and teach others how to tell that story.
- Pay.
- Bust the myths of working at the DOT; the stigma.
- Community participation.
- Job classifications.
- Stay current on technology.

Challenges:

- Finding candidates.
- Showcasing benefits.
- Struggling with recalling the same people at the DOT – not bringing new people in.
- Vacation at hire – experienced people don't want to come in with a zero balance.
- Getting mid-career people to come in. Didn't quite understand not having vacation when starting.
- Employees getting recruited by external. They are looking at our people. How active are we at calling people to consider DOT as an employer?
- Reached out to construction office – recruitment is a big concern. Retirements, OT cuts, budget cuts, some positions being filled with newer individuals.
- One office tried to recruit a construction surveyor – colleges, employment sites, no applicants.

Hiring

Ideas:

- Improve the vacation day plan – mid career.
- Vacation and sick balances that match experience.
- Onboarding process from questions selection to hire is cumbersome.
- Open interviews – different ways to get more information out of candidates.
- Turnaround time in hiring.
- Better defined hiring roles and expectations.
- Additional education for managers on how to choose the best screening and interview questions.
- Get full list of candidates.
- Facility and its presentation to candidates (cleanliness, working plumbing, ice machines, vending)
- Compensation pay that takes entire department into account – review gender, race, etc... provide a range to offer – centralized person.
- Process too long – candidates walk away.

Challenges:

- Same position, only difference is location, can't just transfer and open it to a different area – reapply process required. Difficult when struggling to find qualified candidates.
- Competitive pay – doing an advanced appointment takes a while. Losing people over dollars.
- MVD has a strenuous process from start in hiring.
- Struggle with amount of time it take to get approval up the chain. Being able to offer the job is a pinch point. Having to go through the process again for approval of the hiring decision. Took 6 weeks to offer the 2nd candidate. First HDJ– person working with was causing issues. Gave them a deadline – the first candidate took away that time. 2nd candidate had to go through the process again and then added the additional pay.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

- Being transparent on starting wages upfront. Run into issues where people ask about the increase, and some don't. Creating conflict and animosity. Can't change it once you are in.
- Can't do internal only. Not answering behavior-based questions well. Get veteran points of some sort to reward for interviews. They assume you know them, and they do a good job.
- Behavior based questions came up with everyone talked to. Veteran employee who struggles to interview, they can't get through the questions.
- Construction office technical vs. people skills interview questions. Revisited to be structured the same way. Skillset that takes a long-time to train. Needing to shine in the technical side of things.

Onboarding

Ideas:

- More one on one training.
- Find a buddy to work with that takes the time to walk through the process.
- Onboarding checklists and check-ins.
- Work buddy for new employees.
- Orientation leadership panel (new hires ask questions).
- More in-person meeting/activities for new employees.
- Established training for new hires – builds a network.
- Division orientations.
- Consistent experience framework across the State of Iowa Department of Transportation connects new hires to an HR person or someone to be their 'go to' that is not their supervisor.
- Welcome kit (acronym index, contact people, swag, onboarding schedule).

Challenges:

- Training employees.
- Training up-to-speed to what they need to know. Centralized place to have all the information and access to the tools.

Retention

Ideas:

- Work environment (hot/cold, leaking room, commissary issues).
- Mentor program.
- Quicker time to get to the top of the pay level.
- Encourage employees to be part of organizations – pay for membership dues.
- Employee resource groups – allow people to connect 'best friend at work'.
- Invest in our leaders to create a better culture.
- Advancement opportunities.
- Build up vacation days faster.
- Toolkit for fun/teambuilding/exercises for teams like drivers license staff who must have constant staffing to keep public service flowing.
- Job shadow /tour on a regular basis.
- Incentives for hitting the 2, 3, and 4 year mark (certificates and DOT wear).

Challenges:

- Pay for performance, lack thereof, How do we make the best use of tax-payers dollars? Merit cap on increases. Creatively come up with ways to allocate these funds.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

- There used to be a difference between state and private – more flexibility – teleworking has changed the boundaries of leaving work at work. What’s the benefit when there is more pay with same stress. Expectations are no longer what they used to be. Teleworking has blurred that.
- Flexibility is awesome but not really a benefit anymore.
- Vacation is important but not worth getting hung up on.
- Private to the public – not overloading people. No accountability. If there is an issue, they skip over him and go to the top. Frustration of accountability – holding them accountable to do their job.
- Make more money with the same workload – can distribute better in private. People have their jobs here, but they blur.
- The time it takes to get to the top of the pay scale. Looking at retention pay.
- New employee recently leaving – recruiter reached out on LinkedIn and she accepted

Goal #5: Modernize Recruitment and Hiring Processes – New FY23 Objective: HR Training to Supervisors

- a. The June quarterly virtual supervisor briefing introduced hiring changes related to references, written justifications, and time efficiency improvements for the hiring process.
- b. The updated new supervisor training program began 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 quarterly training topics include:

- Grievance procedures
- Workforce planning
- Unconscious bias
- Interviewing towards the department’s core values
- Safety
- Employee engagement
- Training and development

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

Accomplishments: Hiring process changes were effective July 1, 2022 to make the selection process more competitive while maintaining to hire top talent at the Department. It was introduced at the statewide Leadership Conference with hiring managers in June 2022. These changes were developed by HR in conjunction with DOT managers aimed towards being consistent with our commitment to diversity and maintain an equitable hiring process. Notable changes to the hiring justification process include only providing a justification for the selected candidate. Entry level hires paygrade 23 and lower no longer required reference checks. Reference checks are not required for entry level or technical/professional positions. Supervisory/management positions still require one supervisor and one peer reference.

The AA-EEO officer is responsible for reviewing all full-time, merit covered selection processes to ensure adherence to these standards.

A development program for new supervisors was implemented to invest in leadership success by laying a strong foundation as a people leader through a training program consisting of three areas:

- 1.) DOT internal training,
- 2.) Professional Development Series (PDS), and

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

3.) DOT Leadership Master Class.

1. The internal DOT courses begin by Human Resources enrolling new and current supervisors into a one-day in-person training in Ames. This course is designed around the areas that are unique to the DOT and covered:
 - Employee Engagement
 - Hiring
 - Performance Evaluations
 - Creating & Maintaining the Right Culture with Your Team
 - Investigation, discipline, & grievance process

2. Professional Development Series (PDS) is initiated through self-enrollment in Iowa DOTU. There are six one-day courses hosted in-person in Des Moines. PDS courses, taught by the Department of Administrative Services, have a broader application, and include the following:
 - Fundamentals of Supervision
 - Managing Conflict & Resistance in the Workplace
 - Ethics of Leadership and Influence
 - Diversity Training for Managers & Supervisors
 - Preventing Sexual Harassment for Managers & Supervisors
 - Equal Employment/Affirmative Action (EEO/AA Discrimination)

3. Leadership Maser Class Series is initiated by supervisor enrollment for new and current supervisors, also referred to as people leaders. Time commitment was one day a month for 8 months. This internal leadership series was built on the foundation of increasing self-awareness, exploring possibilities, and inspiring passionate, purpose-driven leadership within a team that is in alignment with the Iowa DOT's business plan and core values. Leadership Master Class Series includes the following:
 - Vision for Leadership at Iowa DOT
 - Emotional Intelligence—A Soft Skill Worth the Work
 - Servant Leadership
 - Strength Based Leadership
 - Crucial Conversations
 - Crucial Accountability
 - Developing Performance
 - Foundations of Diversity, Equity, and Inclusion
 - The Customer Experience
 - Living the DOT Brand and the Impact You Make Through Communication
 - Building a Culture of Engagement
 - The Next 100 Days

New supervisors are required to complete all three components. Information about the development program for supervisors was hosted on DOTs internal website DOT net. Development Program for New Supervisors was renamed to Leadership HR101 and was implemented in June 2022.

Additional accomplishments:

- During the last two years, there were 50 new supervisors either hired or promoted. During this report period, the third session was completed on October 13, 2022. This course is required for new supervisors, but all supervisors are encouraged to attend. A total of 90 supervisors completed the training during this report period.
- As DOT works towards improving climate and culture, performance reviews, previously called IPPEs were

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

rebuilt with the DOTs core values in mind. Performance evaluation changes were implemented in July 2022. The performance evaluation now focuses on the five core values for people leaders, leadership and technical skills. During FY23, it phased out the previous version of the evaluation, which was set-up to rate and rank employees, focusing primarily on their weakness. Great performance is inspired by meaningful feedback and recognition, therefore it includes areas for training and engagement conversations. This will aid 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.

- Key components include a five-tier rating system designed to help the employee better understand, away from a three-tiered system. It is intended to help the employee understand how close the employee is to achieve their expectations and improve dialogue with the employee. A comments system was added for employee feedback as well. Templates were placed under the supervisor's toolbox for ease of access on DOT Net. Workday Wednesday provided a live and on-demand 30-minute session to managers on the use of it. This training was coupled with job aides and other support in the new supervisor trainings.

Building a world-class culture requires executive commitment, alignment, and involvement. The five-year business plan is working to do just that. 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.
- Human Resources led Intentional Hiring Series (IHS) went live the previous report period 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 selection panel members continue to be 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

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

offers of employment being provided. This practice continues to be effective to ensure training is received by hiring decision makers. If it did not occur prior to the selection process, staff are required to complete the training prior to the finalization of the hire approval.

- Quarterly supervisor briefings led by Director Marler were held during this report period.
- An all-employee town hall was hosted in March during this report period. It focused on a look back at 2022 and a look ahead to 2023. 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 2021 and were held 11 out of 12 months 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 onboarding buddy was utilized during this reporting period. 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.

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 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
- 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.

- 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. DOTs starting wage for maintenance positions has made it difficult to compete with many cities and counties here in Iowa even with the use of the advanced pay tool. As a result, we requested and were approved for a second blanket advanced appointment rate to increase the minimum bi-weekly salary for the Highway Technician Associate and Highway Technician classifications. The blanket advanced appointment rates are:
 - \$1,800 bi-weekly (\$22.50 per hour) for Highway Technician Associates

**Agency Affirmative Action:
Reporting for FY 2023 and Planning for FY 2024**

- \$1,960 bi-weekly (\$24.50 per hour) for Highway Technicians.

Effective December 23, 2022, any new employee were brought in at the adjusted rate. Any current Highway Technician Associate and Highway Technician whose salary is below the new minimum will be adjusted to that amount as well.

Annual reporting related to DOT's contractor compliance from October 1, 2021, through September 30, 2022, 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.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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 2023 (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), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and the Service and Maintenance (08) categories.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “application to referral” stage in the Technical (03) category.

Results from the “two standard deviation” test indicated results in the Technical (03) category 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 Professional (02) and Technical (03) categories.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “referral to interview” stage in the Officials and Administrators (01), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

Results from the “two standard deviation” test indicated results in the Officials and Administrators (01), Protective Service: Sworn (04) and Service and Maintenance (08) categories were within the realm of random occurrence.

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.

- *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), Professional (02), Technical (03), Protective Service: Sworn (04), Administrative Support (06), and Service and Maintenance (08) categories.

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

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

BARRIER ANALYSIS – GENDER FY 2023 (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 AA/EEO category-level analysis was performed. At the “application to referral” stage, review of “four-fifths” rule results for females indicated equitable progress in all but the Technical (03) category. 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 Officials and Administrators (01), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories. Results of the “two standard deviation” test identified results in the Administrative Support (06) and Skilled Craft (07) categories should be looked at in more detail.

Review of “four-fifths” rule results for females indicated a need for further statistical analysis for the “interview to hire” stage in the Skilled Craft (07) category. Results of the “two standard deviation test” identified all results should be looked at in more detail.

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 2,035 of the 2,719 (74.8%) applications from females seeking employment at the Iowa DOT were for Administrative Support (06) positions.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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 “referral to interview” 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) 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 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.

Discussion

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

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

Another area which may merit attention within the “interview to hire” stage is the Skilled Craft 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 should be looked at in more detail.

WORK FLOW ANALYSIS – ETHNICITY FY 2023 (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), Protective Service: Sworn (04), Administrative Support (06), and Skilled Craft (07) categories, while the results in the Technical (03) and Service and Maintenance (08) categories should be looked at in more detail.

Results from the “two standard deviation” test indicated results in the Technical (03) and Service and Maintenance (08) categories were within the realm of random occurrence. DAS-HEE has sole responsibility over the “application to referral” stage.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

- *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) category.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated a need for further statistical analysis for the “referral to interview” stage in the Officials and Administrators (01), Technical (03), Protective Service: Sworn (04), Administrative Support (06), Skilled Craft (07), and Service and Maintenance (08) categories.

Results from the two “standard deviation test” in the “referral to interview” stage indicated results in the Officials and Administrators (01), Technical (03), Protective Service: Sworn (04), and Service and Maintenance (08) 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 Professional (02), Protective Service: Sworn (04), and Administrative Support (06) categories. It should be noted there were no minority candidates interviewed for Service and Maintenance (08) positions.

Using AA/EEO categories as the unit of analysis, review of “four-fifths” rule results for minorities indicated a need for further statistical analysis for the “interview to hire” stage in the Officials and Administrators (01), Technical (03), and Service and Skilled Craft (07) categories.

Results from the two “standard deviation test” in the “interview to hire” stage indicated results in the Officials and Administrators (01), Technical (03), and Service and Skilled Craft (07) categories were all within the realm of random occurrence.

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 findings.

Category Level

First, as reported earlier, an AA/EEO category-level analysis was performed. Review of “four-fifths” rule results for minorities indicated equitable progress in the “application to referral” stage for all except the Technical (3) and Service and Maintenance (08) categories, where “two standard deviation” test results indicated both results were within the realm of random occurrence. DAS-HE 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), Technical (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 Officials and Administrators (01), Technical (03), Protective Service: Sworn (04), and Service and Maintenance (08) 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.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

Review of “four-fifths” rule results for minorities indicated a need for further statistical analysis in the “interview to hire” stage for the Officials and Administrators (01), Technical (03), and Skilled Craft (07) categories. Results of the “two standard deviation” test identified results for all three categories were within the realm of random occurrence.

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 551 of the 1,049 (52.5%) 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 for the “interview to hire” 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.

Discussion

The results of the category level and largest applicant pool analyses point to the “referral 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.

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” should be looked at in more detail.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

FY 2023 ADVERSE IMPACT STUDY – Gender Results Summary – All Stages

FEMALES: Overall

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	2,774		(Fem/Male)	(Yes/No)			(Yes/No)
Refer	1,999	<i>Apply to Refer</i>	90.2%	Yes			
Interview	304	<i>Refer-Interview</i>	40.2%	No	15.08	No	B, C
Hire	98	<i>Interview-Hire</i>	122.9%	Yes			

FEMALES: Category 1 – Officials & Administrators

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	373		(Fem/Male)	(Yes/No)			(Yes/No)
Refer	246	<i>Apply to Refer</i>	94.2%	Yes			
Interview	63	<i>Refer-Interview</i>	87.0%	Yes			
Hire	19	<i>Interview-Hire</i>	148.3%	Yes			

FEMALES: Category 2 – Professional.

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	236		(Fem/Male)	(Yes/No)			(Yes/No)
Refer	172	<i>Apply to Refer</i>	105.8%	Yes			
Interview	68	<i>Refer-Interview</i>	75.9%	No	1.89	Yes	A
Hire	27	<i>Interview-Hire</i>	116.0%	Yes			

FEMALES: Category 3 – Technicians

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	36		(Fem/Male)	(Yes/No)			(Yes/No)
Refer	21	<i>Apply to Refer</i>	77.5%	No	1.10	Yes	A, E
Interview	13	<i>Refer-Interview</i>	88.8%	Yes			
Hire	4	<i>Interview-Hire</i>	110.8%	Yes			

FEMALES: Category 4 – Protective Service: Sworn

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	16		(Fem/Male)	(Yes/No)			(Yes/No)
Refer	16	<i>Apply to Refer</i>	100.0%	Yes			
Interview	1	<i>Refer-Interview</i>	29.3%	No	1.23	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.49	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: July 2021 to June 2022 results

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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	Passed	SDs	Random?	
Apply	2,003		(Fem/Male)	(Yes/No)			(Yes/No)
Refer	1,457	<i>Apply to Refer</i>	110.8%	Yes			
Interview	143	<i>Refer-Interview</i>	71.8%	No	2.30	No	B
Hire	47	<i>Interview-Hire</i>	87.6%	Yes			

FEMALES: Category 7 – Skilled Craft

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	107		(Fem/Male)	(Yes/No)			(Yes/No)
Refer	85	<i>Apply to Refer</i>	92.0%	Yes			
Interview	16	<i>Refer-Interview</i>	45.8%	No	3.18	No	B, C
Hire	1	<i>Interview-Hire</i>	25.0%	No	1.50	Yes	A

FEMALES: Category 8 – Service & Maintenance

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	3		(Fem/Male)	(Yes/No)			(Yes/No)
Refer	2	<i>Apply to Refer</i>	104.8%	Yes			
Interview	0	<i>Refer-Interview</i>	0.0%	No	0.90	Yes	A
Hire	0	<i>Interview-Hire</i>	0.0%	No	NA		

FEMALES: Overall without Category 6 – Admin Support

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio	Passed	SDs	Random?	
Apply	771		(Fem/Male)	(Yes/No)			(Yes/No)
Refer	542	<i>Apply to Refer</i>	85.4%	Yes			
Interview	161	<i>Refer-Interview</i>	72.2%	No	3.94	No	B, C
Hire	51	<i>Interview-Hire</i>	123.2%	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: July 2021 to June 2022 results

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

FY 2023 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	1,049						
Refer	713	<i>Apply to Refer</i>	91.5%	Yes			
Interview	127	<i>Refer-Interview</i>	49.3%	No	7.88	No	B, C
Hire	37	<i>Interview-Hire</i>	101.7%	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	115						
Refer	71	<i>Apply to Refer</i>	98.0%	Yes			
Interview	16	<i>Refer-Interview</i>	64.9%	No	1.67	Yes	A, C
Hire	3	<i>Interview-Hire</i>	75.5%	No	0.47	Yes	A

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	91						
Refer	60	<i>Apply to Refer</i>	96.6%	Yes			
Interview	28	<i>Refer-Interview</i>	85.7%	Yes			
Hire	13	<i>Interview-Hire</i>	111.9%	Yes			

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	7						
Refer	4	<i>Apply to Refer</i>	73.7%	No	0.67	Yes	A, E
Interview	2	<i>Refer-Interview</i>	77.2%	No	0.36	Yes	A, C
Hire	0	<i>Interview-Hire</i>	0.0%	No	0.80	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	31						
Refer	31	<i>Apply to Refer</i>	100.5%	Yes			
Interview	3	<i>Refer-Interview</i>	33.2%	No	1.95	Yes	A, C
Hire	1	<i>Interview-Hire</i>	117.8%	Yes			

Note	Comment
A	Results fail the 80% test but passed the 2 standard deviation test.
B	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
C	Given protected class status (PCS) is typically unknown to DOT at this stage.
D	A bubble of minority applicants (52.5% of all minority applicants) applied for Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

Note: March 2022 to March 2023 results

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

FY 2023 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	551						D
Refer	365	<i>Apply to Refer</i>	101.2%	Yes			
Interview	36	<i>Refer-Interview</i>	69.6%	No	2.02	No	B, C
Hire	13	<i>Interview-Hire</i>	106.8%	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	249						
Refer	181	<i>Apply to Refer</i>	88.5%	Yes			
Interview	42	<i>Refer-Interview</i>	51.0%	No	4.37	No	B, C
Hire	7	<i>Interview-Hire</i>	64.1%	No	1.17	Yes	A

MINORITIES: Category 8 – Service & Maintenance

Stage	Number	Stage Progression	80% Test		2 Standard Deviation Test		Notes
			Ratio (Min/Maj)	Passed (Yes/No)	SDs	Random? (Yes/No)	
Apply	5						
Refer	1	<i>Apply to Refer</i>	24.7%	No	1.49	Yes	A, E
Interview	0	<i>Refer-Interview</i>	0.0%	No	0.57	Yes	A, C
Hire	0	<i>Interview-Hire</i>	NA				

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	498						
Refer	348	<i>Apply to Refer</i>	89.1%	Yes			
Interview	91	<i>Refer-Interview</i>	58.4%	No	5.05	No	B, C
Hire	24	<i>Interview-Hire</i>	94.2%	Yes			

Note	Comment
A	Results fail the 80% test but passed the 2 standard deviation test.
B	Results failed both the 80% test and the 2 standard deviation test and should be looked at in more detail.
C	Given protected class status (PCS) is typically unknown to DOT at this stage.
D	A bubble of minority applicants (52.5% of all minority applicants) applied for Category 6 positions.
E	Iowa Department of Administrative Services (outside agency) has sole control of this stage.
	Passes Test
	Fails Test

Note: March 2022 to March 2023 results

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

Section 3 - Utilization Analysis

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.)

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

Section 4 – Goal Setting

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.

IOWA DOT'S VISION

Iowa DOT's Business Plan guides actions over the five-year period of 2021-2025 to achieve our preferred future. It was developed to emphasize internal improvements and align with the State Long-Range Transportation Plan, to position the Iowa DOT to meet the demands of today and challenges of tomorrow. It assesses where we are, where we are going, and how we are going to get there.

BUSINESS PLAN PROGRESS

In order to keep the business plan moving and hold everyone accountable for the completion of the goals, DOT tracks the progress of the 90-Day Rocks. Rocks are the highest priority items DOT needs to work on in the next 90 days to meet the 1-Year Objectives.

DOT leadership set five objectives for calendar 2023, and every year hereafter, new or refined 1-Year objectives will be set. One of the agency objectives for calendar year 2023 focuses on improvement of recruitment, hiring, onboarding and retention.

5-YEAR PRIORITY GOAL: ADVANCE WORKFORCE FOR FUTURE CHALLENGES & OPPORTUNITIES

Goal #1: Continuation of Prior Year Objective: Create an organizational culture that promotes inclusion in the workplace.

The Iowa DOT will achieve a more welcoming work environment driven by our core values and our foundational belief that all employees are valuable.

Efforts will include:

- Summarize focus group results
- Receive summary report and recommendations
- Develop an implementation plan

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

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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

Project Leaders: Maria Hobbs. Committee Members: Jacqui DiGiacinto, Mohamed Mohamed, Angela Poole, and Amy Sturm.

Goal #2: New FY24 Goal: Improve recruitment, hiring, onboarding, and retention processes at the agency.

There are three key foundational considerations for this objective; understanding that applicants, hiring manager and employees are all customers of the Department. The intent is to look at recruitment, hiring, onboarding and retention through the lens of the customer with the intention of elevating the customer experience. Additionally, we will not allow our current rules or policies of the Department to limit the process. Third, to be creative in this process and come up with solutions to challenge ourselves there are better ways of doing things. It will be important for DOT to look at what we stop doing, keep doing, can adjust and start doing.

Our employees are our greatest resources and DOT aims to:

- a. Strengthen entire journey from attracting talent to developing a strong career with DOT. DOT will bring new innovation to our agency processes to recruit, hire, onboard, and retain employees.
- b. In partnership with the Department of Administrative Services (DAS), we will introduce and refine end-to-end strategies to strengthen the entire employee journey from attracting talent to developing a strong career and future with the Iowa DOT.
- c. Create and align tools and resources for hiring managers seeking the best and the brightest talent.
- d. Develop a system to evaluate how we are performing.

Goal #3: Continued 2023 Objective: Modernize recruitment, retention and hiring practices

Objectives to modernize recruitment, retention and hiring practices will include:

- Continue to build out program for new Horizontal Career Path (HCP) – ITS 3 & 4
- Develop and implement use of recruitment videos.
- Develop implementation plan on civility training

Goal #4: Continued 2023 Objective: Implement workplace modernization plan

Objectives to implement workplace modernization will include:

- Continue to create furniture and technology strategies for shared areas

Success measures have not yet been determined and has been included as part of the ongoing efforts of this initiative.

Executive Sponsors: Lee Wilkinson, Administrative Services Division Director; Andrea Henry, Strategic Communications Director; Project Leaders: Jenny Veale, Deputy Director of HR; Barry Thede, District 2 Maintenance Manager.

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 2023 and Planning for FY 2024

External Equal Employment Opportunity/Affirmative Action Program (EEO/AAP)
October 1, 2021, through September 30, 2022

Organization and Structure

The Director of the Iowa Department of Transportation (Iowa 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 Iowa DOT's 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:

Nikita Rainey – Civil Rights Bureau Director (FT); with the Iowa DOT since July 2011. The Civil Rights Bureau Director reported directly to the Chief Operating Officer. This position has the overall responsibility for

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

monitoring and administering the Department's Title VI, Disadvantaged Business Enterprise (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 reported 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 reported to the Civil Rights Bureau Director. This position focuses on Title VI and Contractor compliance.

Danny Wagener – AA Compliance Officer 2 (FT); since December 2016. The AA Compliance Officer 2 reported 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

- 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

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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:	24
Number of contractors reviewed:	24
Number of contractors found in compliance:	12
Number of contractors found in noncompliance:	12
Number of Voluntary Corrective Action Plans:	12
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:	1

The Civil Rights staff determined the contractors that 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 30 contractors in FFY23.

Desk Audit Selection

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

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

Desk Audit Procedure

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

1. A list of all new hires company wide. Include each person's race, sex, job classification, date of hire, and referral sources used to recruit the employees.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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

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

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

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

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

On-Site Review

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

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

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

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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.

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

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

The Iowa DOT 's Civil Rights Bureau follows the Iowa DOT's 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 Chief Operating Officer'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 or the appropriate operating administration of the USDOT, Washington Division Office, within sixty (60) calendar days of the receipt of the complaint.

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

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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.

Methods of providing training opportunities:

1. Our 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. We will conduct on-site visits to ensure training opportunities are being provided in accordance with the individual contractor's training plan. The Iowa DOT's 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. It was developed to help the industry address some of the costs associated with training and to help ensure that skilled employees will be available to build high quality project the traveling public expects. 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 by Eastern Iowa Community College and monthly progress reports are submitted to the External Civil Rights Administrator.

Monitoring and tracking of training opportunities

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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 Right 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 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 2022 construction season, 24 contractors were required to have trainees, for a total of 54 trainees. This year, there were 66 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 66 trainees and apprentices fell into the following categories:

Caucasian Female	9
African American Male	8
African American Female	0
Hispanic Male	29
Hispanic Female	2

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

Asian Male	0
Two or More Races Male	0
Caucasian Male	18
Total	66

3. Construction Industry Training (CIT): A goal of the program is 10% the funds utilized 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.

Caucasian Males	3652
Minority Males	389
Females	249
Total	4290

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 2021 - 2022 was to train 60 students in flagging, core construction certification and obtaining a Class A commercial driver's license. This year, there were 68 trainees identified and enrolled in the program. The 68 trainees fell into the following categories:

Caucasian Female	8
African American Male	9
African American Female	4
Hispanic Male	6
Native American Male	3
Caucasian Male	38
Total	68

As the main purpose of the program shifted toward employment outcomes, the goal of two-thirds of the 60 trainees finding industry specific employment was set. 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 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.

Agency Affirmative Action: Reporting for FY 2023 and Planning for FY 2024

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.