

California Department of Transportation
Office of the Director
1120 N Street, MS 49, Sacramento, CA 95814
Tel (916) 654-6130
Fax (916) 653-5776
www.dot.ca.gov



EQUAL EMPLOYMENT OPPORTUNITY PLAN

*Federal Transit Administration (FTA)
Circular 4704.1A Equal Employment Opportunity Program Guidelines
for Grant Recipients
October 1, 2018 – September 30 2021*



For individuals with disabilities, this document is available in Braille, large print, audiocassette, or computer disc. It is also available in an alternative language. To obtain a copy in one of these formats, please email us at smallbusinessadvocate@dot.ca.gov or call (916) 324-0449, TTY: 711

Caltrans® and the Caltrans logo are registered service marks of the California Department of transportation and may not be copied, distributed, displayed, reproduced, or transmitted in any form without prior written permission from the California Department of Transportation.

© 2018 California Department of Transportation – All Rights Reserved

For easy navigation, this document contains internal and external links, when clicked, will take you to that section of the document or external website. To return from an internal document link, please press "Alt" and the left cursor arrow.

TABLE OF CONTENTS

Table of Contents

| | |
|--|----|
| Introduction | 1 |
| Organizational Structure..... | 3 |
| EEO Policy | 7 |
| Dissemination | 13 |
| Designation of Personnel | 18 |
| Utilization Analysis..... | 29 |
| Goals and Timetables | 34 |
| Assessment of Employment Practices | 42 |
| Monitoring and Reporting..... | 69 |

For Appendices, please see next page.

TABLE OF CONTENTS

Appendices

| | |
|---|-----|
| Appendix 1 – EEO Policy Statement | 79 |
| Appendix 2 – EEO Policies and Directives | 80 |
| Appendix 3 – Organizational Chart | 94 |
| Appendix 4 – Caltrans District Map | 95 |
| Appendix 5 – List of Subrecipients and Contractors | 96 |
| Appendix 6 – Subrecipient Checklist..... | 99 |
| Appendix 7 – Proof of Review | 101 |
| Appendix 8 – Goals and Timetable from Previous (Unapproved) Submission, 2016 | 105 |
| Appendix 9 – Goals and Timetable from Previous (Approved) Submission, 2012 | 111 |
| Appendix 10 – FTA April 2018 checklist with Caltrans' Report Page Coordinates | 119 |
| Appendix 11 – FTA September 2017 Findings with Caltrans' Report Page Coordinates | 124 |
| Appendix 12 – Dissemination Proofs | 127 |
| Appendix 13 – Religious Accommodation Guide | 130 |

TABLE OF CONTENTS

INTRODUCTION

INTRODUCTION

The California Department of Transportation (Caltrans) manages more than 50,000 miles of California's highway and freeway lanes, provides inter-city rail services, permits more than 400 public-use airports and special-use hospital heliports, and works with local agencies to plan, design, build, maintain, and operate the State Highway System. Caltrans delivers its mission of providing a safe, sustainable, integrated, and efficient transportation system to enhance California's economy and livability, through six primary programs: Administration, Finance, Information Technology, Maintenance and Operations, Planning and Modal Programs, and Project Delivery. Caltrans moves the people and goods of California, and has done so for more than 120 years, since 1895—from a loosely connected web of footpaths and rutted wagon routes to the sophisticated system today that serves more than 39 million residents,

As a Department, Caltrans is geographically divided into 12 administrative areas (see [Caltrans District Map](#)), in addition to its Headquarters programs and administrative functions. Each of those 12 areas are referred to as a District and is assigned a number from 1 to 12, e.g., Orange County is District 12. Each of the Caltrans' Headquarters administrative functions are assigned a number higher than 12. For example, the Headquarters Division of Engineering Services is District 59. The EEOP is part of Caltrans Headquarters, but EEO Liaisons and related staff professionals are housed in each of the 12 geographic Districts and some of the larger Headquarters administrative functions.

MISSION - Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability

VISION - A performance-driven, transparent and accountable organization that values its people, resources and partners, and meets new challenges through leadership, innovation and teamwork

GOALS

- **Safety and Health** - Provide a safe transportation system for workers and users and promote health through active transportation and reduced pollution in communities.
- **Stewardship and Efficiency** - Money counts. Responsibly manage California's transportation-related assets.

INTRODUCTION

- **Sustainability, Livability and Economy** - Make long-lasting, smart mobility decisions that improve the environment, support a vibrant economy, and build communities, not sprawl.
- **System Performance** - Utilize leadership, collaboration and strategic partnerships to develop an integrated transportation system that provides reliable and accessible mobility for travelers.
- **Organizational Excellence** - Be a national leader in delivering quality service through excellent employee performance, public communication, and accountability.

VALUES

Integrity - We promote trust and accountability through our consistent and honest actions.

Commitment - We are dedicated to public service and strive for excellence and customer satisfaction.

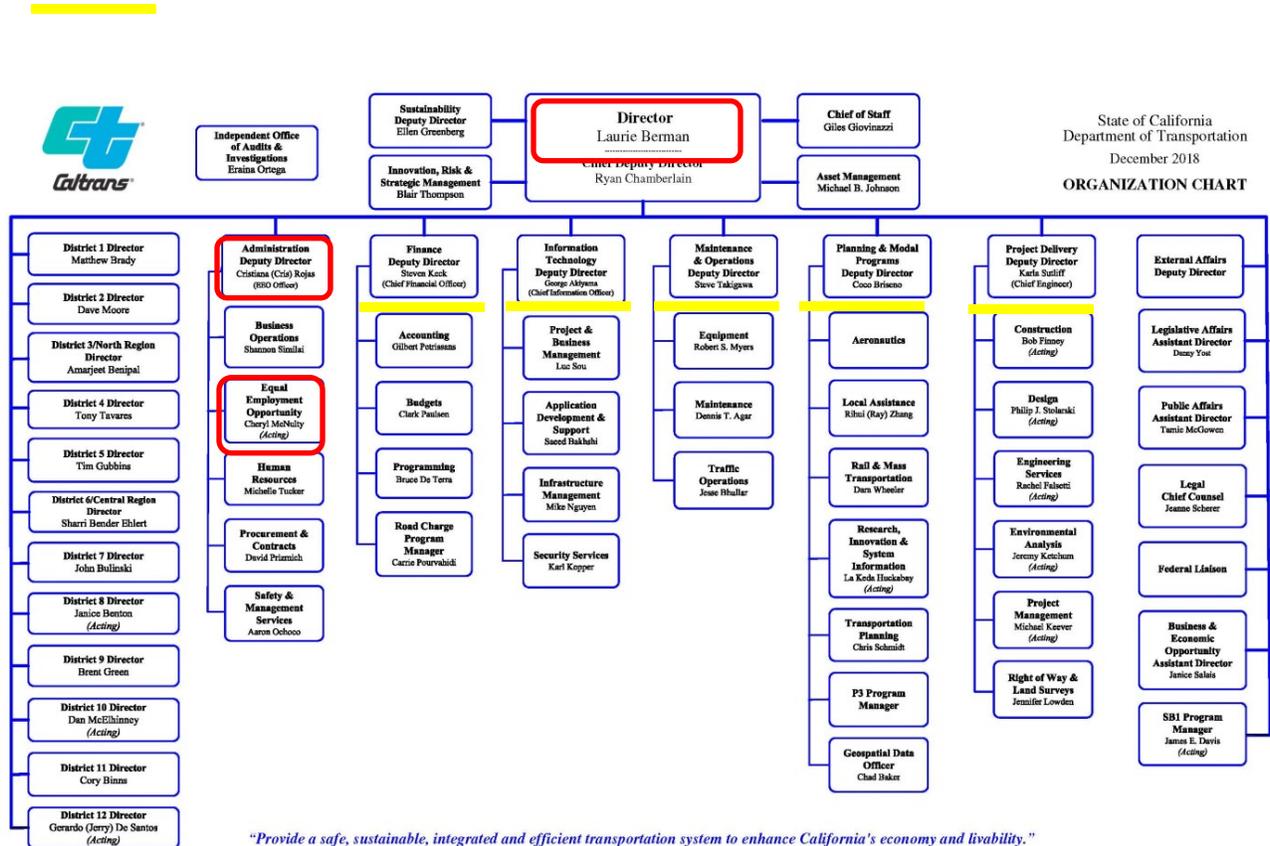
Teamwork - We inspire and motivate one another through effective communication, collaboration and partnership.

Innovation - We are empowered to seek creative solutions and take intelligent risks.

ORGANIZATIONAL STRUCTURE

Organizational Structure

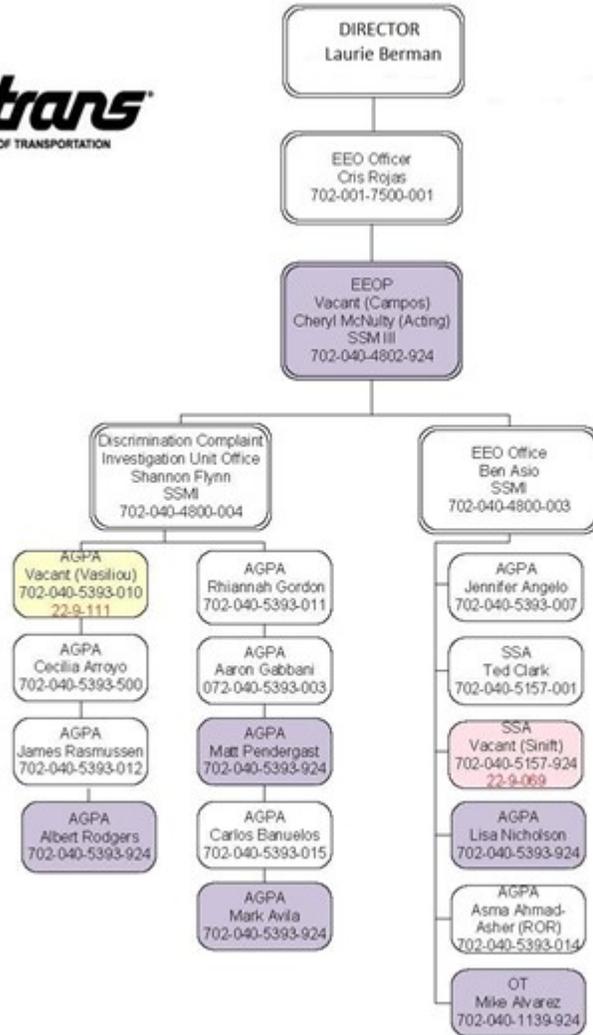
The chart below depicts Caltrans' organizational structure, executive management, and EEO reporting relationships. Caltrans' six major program areas are identified by yellow bars.



ORGANIZATIONAL STRUCTURE

CALTRANS EEO PROGRAM

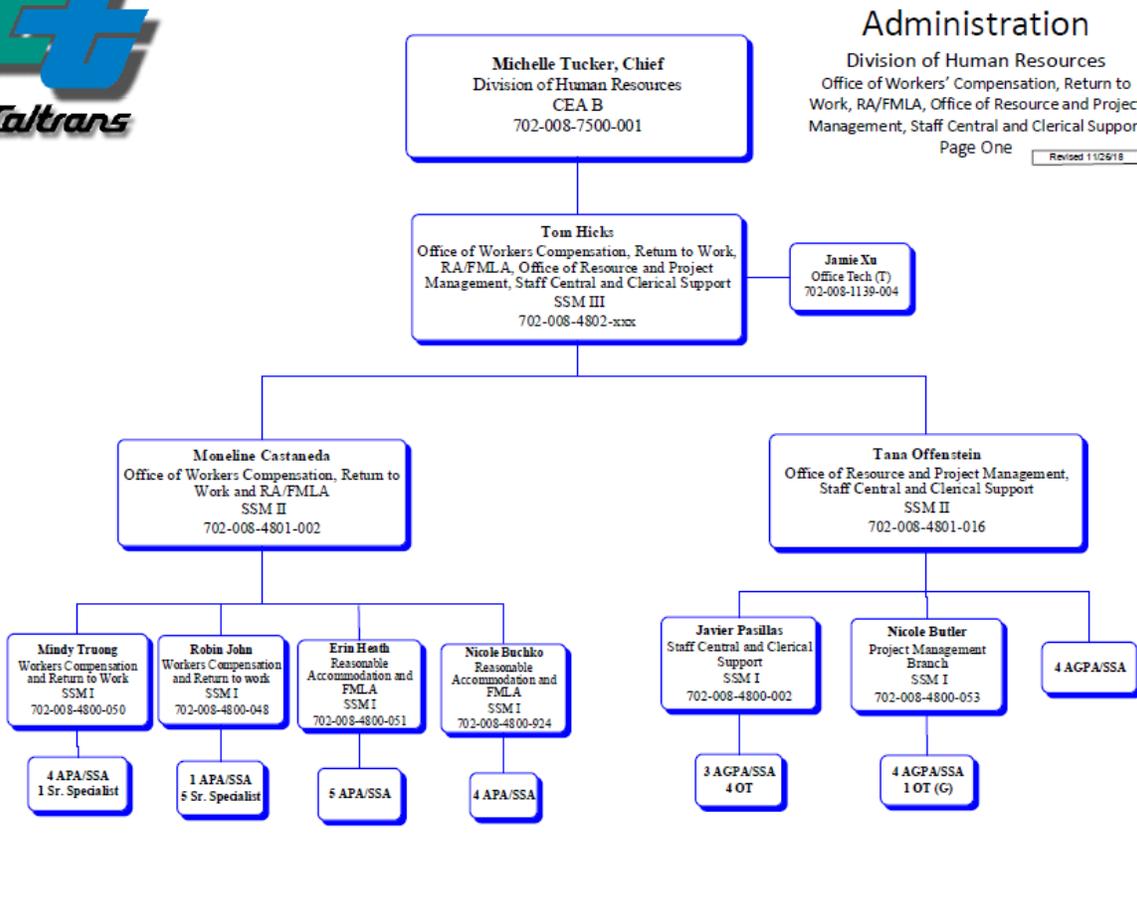
Equal Employment Opportunity Program
December 2018



ORGANIZATIONAL STRUCTURE

REASONABLE ACCOMMODATION

Reasonable Accommodation is organized under the Division of Human Resources. The Division Chief, Michelle Tucker, reports directly to the Department's EEO Officer, also the Deputy of Administration, Cris Rojas.



ORGANIZATIONAL STRUCTURE

EQUAL EMPLOYMENT OPPORTUNITY PROGRAM OVERVIEW

EEOP Organizational Role

The role of the Caltrans' Equal Employment Opportunity Program (EEOP) is to make every effort to ensure equality and fairness in all personnel and management practices, policies, and procedures, and to promote Equal Employment Opportunity (EEO) for all Caltrans applicants, employees, public and business partners. The Caltrans EEOP is committed to providing EEO for all employees and applicants on the basis of merit, without regard to race, religious creed, color, national origin, ancestry, age, disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, sexual orientation, political affiliation, and military and veteran status. The EEOP is also responsible for providing, to the extent possible, reasonable accommodation for religious beliefs, observances, and practices in accordance with applicable state and federal laws. In addition, the EEOP investigates complaints involving allegations of violations of its EEO, Sexual Harassment, and Religious Accommodation policies.

Reasonable Accommodation

Reasonable Accommodation (RA) is under the Division of Human Resources (DHR). See [DHR Organizational Chart](#). The RA Program provides consultation to managers and supervisors on RA issues. RA Staff recommend the best course of action in the application of RA state and federal laws and departmental policies. The RA manager provides in-depth training to managers and supervisors in reviewing employees' RA requests. At the district level, the HR/RA Liaison provides first-level support to managers and supervisors.

Organizational Structure

The Caltrans Headquarters EEOP (HQ EEOP) consists of two business units:

1. Equal Employment Opportunity (EEO)
2. Discrimination Complaint Investigation Unit (DCIU)

The Caltrans EEOP staff include:

- 1 Deputy Director of Administration (Chief EEO Officer)
- 1 Staff Services Manager III
- 2 Staff Services Manager I's
- 12 Associate Government Program Analysts
- 2 Staff Services Analysts
- 1 Office Technician

EEO POLICY

POLICY

The California Department of Transportation (Caltrans) uses merit and excellence of qualifications as the basic principles guiding Caltrans' Equal Employment Opportunity (EEO) efforts regarding employee recruitment, hiring, retention, training, transfers, promotions and related public and private-sector business activities.

Caltrans strives to obtain, maintain, and retain a diverse workforce and to provide EEO to all applicants, employees, clients, and customers, without regard to race, religious creed, color, national origin, ancestry, age, disability (physical or mental), medical condition (cancer and genetic characteristics), genetic information, marital status, sex (including pregnancy, childbirth, or related medical condition), gender, gender identity, gender expression, sexual orientation, political affiliation, or military and veteran status. (Government Code section 12920 and Labor Code section 19702 et seq.) Caltrans has a "Zero Tolerance" policy for EEO-related discrimination and/or harassment.

It is a violation of this policy to retaliate against Caltrans employees, applicants, vendors, contractors, special service employees, or an employee of another department or agency who has supported this policy, filed a complaint, testified, assisted, or participated in any proceeding under this policy.

All applicants and employees have the right to file complaints alleging violations of the EEO policy. All EEO complaints filed with the Caltrans EEO Discrimination Complaint Investigation Unit (DCIU) or the California Department of Fair Employment and Housing (DFEH) must be filed within one year from the last date upon which the alleged violation(s) of policy occurred. Complaints filed with the U.S. Equal Employment Opportunity Commission must have occurred within 180 to 300 days—depending on the event and on state laws.

INTENDED RESULTS

Caltrans' EEO policy has been developed to ensure a work environment free from all forms of discrimination and harassment for its diverse workforce. The principles of EEO

EEO POLICY

are applied in all employment decisions and business practices, unless such practices would violate state or federal laws and statutes, court orders, or result in a loss of federal or state funds.

RESPONSIBILITIES

EEO Officer – Deputy Director, Administration:

The duties of the EEO Officer are as follows:

1. Develops the EEO Policy Statement and a written EEO Program.
2. Assists management in collecting and analyzing employment data, identifying problem areas, setting goals and timetables, and developing programs to achieve goals.
3. Designs, implements, and monitors internal audit and reporting systems to measure program effectiveness and determine where progress has been made and where proactive action is needed.
4. Reviews Department's nondiscrimination plan with all managers and supervisors to ensure that the policy is understood.
5. Concurs in all hires and promotions. (EEO Officer or delegates have reviewed employment documents to ensure the actions of Caltrans are not discriminatory, i.e., do not result in disparate treatment or impact).
6. In conjunction with Human Resources, periodically reviews employment practices policies (i.e., hiring, promotions, training), complaint policies, reasonable accommodation policies, performance evaluations. Grievance procedures and disciplinary actions are coordinated with the Division of Safety and Management Services (DSMS), and union agreements are coordinated through Caltrans' DSMS Labor Relations office and CalHR.
7. Reports at least semiannually to the Director on Department's progress in relation to goals.
8. Serves as liaison between the Department, federal, state, county, and local governments; regulatory agencies; and community groups representing minorities, women, and persons with disabilities, and others.
9. Maintains awareness of current EEO laws and regulations, and ensures the laws and regulations affecting nondiscrimination are disseminated to responsible officials.
10. Investigates complaints of EEO discrimination.

EEO POLICY

11. Oversees provision of EEO training for employees and managers.
12. In conjunction with the Learning and Development Office and Division of Human Resources, advises employees and applicants of available training programs and professional development opportunities and the entrance requirements for them.
13. Monitors to see that the [Director's EEO Policy Statement](#) is implemented and maintained up to date. Audits postings of the EEO Policy Statement for compliance, that information is posted and up to date.
14. Oversees the program and plan for implementation and compliance in all programs and business activities.
15. Strives to make employment, recruitment, hiring, retention, training, transfers, promotions, and business activities for compliance with EEO guidelines and laws.
16. Ensures that active recruitment efforts for qualified applicants are broad and inclusive of all segments of the relevant workforce.
17. Assists with recruiting minority, disabled, and women applicants and establish outreach sources for use by hiring officials.

Program Manager, Equal Employment Opportunity Program:

The following duties are assigned to the EEO Program Manager through a formal delegation of authority by the EEO Officer. Program Manager supports all of the EEO Officer duties listed above.

1. Prepares Caltrans annual EEO Plan, the Annual Self-Assessment Elements, which includes the Workforce Analysis, Upward Mobility, Bilingual Services Program, and Persons with Disabilities Plan.
2. Prepares "Affirmative Action Plan" every five years.
3. Prepares FTA EEO Plan every four years.
4. Provides EEO technical assistance to managers and supervisors.
5. Provides oversight for Caltrans' informal and formal discrimination complaint processes.
6. Provides comprehensive, neutral, and timely investigations of formal discrimination complaints and a thorough, impartial, uniform, and confidential complaint intake process that is consistent with the Caltrans' EEO Investigation Procedures Manual and best practices.

EEO POLICY

EEO Program, Staff Services Manager I

1. Performs or supports the duties shared by the EEO Officer and EEO Program Manager.

DCIU Program, Staff Services Manager I

1. Performs or supports the duties shared by the EEO Officer and the EEO Program Manager.
2. Provides comprehensive, neutral, and timely investigations of formal discrimination complaints and a thorough, impartial, uniform, and confidential complaint intake process that is consistent with the Caltrans EEO Investigation Procedures Manual and best practices.

Deputy Directors, District Directors, Chief/Deputy District Directors, Division Chiefs:

1. Provides a work environment free from discrimination and harassment by ensuring that program objectives, standards, and practices comply with EEO guidelines.
2. Mandates that managers and supervisors annually review this policy with their employees.
3. Designates EEO contact(s) for their District and/or Division.

Managers and Supervisors:

1. Provides a work environment that is free from discrimination and harassment by ensuring that standards and practices comply with EEO guidelines.
2. Reviews this policy with employees on an annual basis.
3. Forwards complaints to the District and/or the Headquarters EEO officers in a confidential and timely manner.
4. Makes employees are aware of their responsibility to cooperate fully in the investigation processes of a complaint and in disciplinary proceedings for violations of this policy.
5. Takes immediate and appropriate corrective action when a violation of the EEO policy occurs. Corrective action may include remedial or disciplinary action after an appropriate finding that a policy violation occurred, and/or taking steps during the period that an investigation of a complaint is pending to prevent additional potential or alleged policy violations.
6. Provides a work environment that is free from retaliation for those who have supported this policy, filed a complaint, testified, or assisted in any proceeding under this policy.

EEO POLICY

District and Headquarters EEO Managers, Officers, and Coordinators:

1. Monitors the implementation of District programs and ensure that business activities comply with EEO guidelines and directives.
2. Monitors and ensures that the work environment is free from discrimination and harassment.
3. Serves as the local staff resource for managers, supervisors, employees, and investigators regarding EEO issues.
4. Serves as a point of contact for employees to initiate the complaint process.

Employees, Applicants and Business Partners:

1. Treat employees, business partners, and the general public with dignity and respect, in a work environment that is free from discrimination and harassment.
2. Immediately reports alleged violations of this policy to a supervisor, manager, EEO officer, or the DCIU.
3. Cooperates fully in the investigation processes of a complaint and in disciplinary proceedings for violations of this policy.

APPLICABILITY

This policy applies to all Caltrans employees, applicants and business partners.

Original signed by
LAURIE BERMAN
Director
March 5, 2018

DIRECTOR'S EEO POLICY STATEMENT

Caltrans has a strong commitment to the community we serve and our employees. As an equal opportunity employer, we strive to have a workforce that reflects the community we serve. No person is unlawfully excluded from employment opportunities based on race, religious creed, color, national origin, ancestry, age, disability (physical or mental), medical condition (cancer and genetic characteristics), genetic information, marital status, sex (including pregnancy, childbirth, or related medical condition), gender, gender identity, gender expression, sexual orientation, political affiliation, or military and veteran status (Government Code sections 12920 and 19702 et seq.) The successful achievement

EEO POLICY

of our EEO goals will provide benefits to the Department through better utilization and development of previously identified and underutilized segments of the workforce. Therefore, we are committed to continue monitoring our progress on our Affirmative Action Plan, to setting goals and timetables for recruiting and hiring employees who represent the relevant labor workforce populations previously identified as under-utilized in the Department to the extent allowed by law.

Caltrans Equal Employment Opportunity (EEO) Policy applies to all employment actions, including, but not limited to, recruitment or recruitment advertising, hiring, upgrading, selection for training, promotion, transfer, demotion, layoff, termination, rates of pay or other forms of compensation, and treatment of employees as well as related public and private sector business activities.

All applicants and employees have the right to file complaints alleging discrimination to the Caltrans Equal Employment Opportunity Program (EEOP), the California Department of Fair Employment and Housing (DFEH), or the Equal Employment Opportunity Commission (EEOC). Retaliation against an individual who files a charge or complaint of discrimination, participates in an employment discrimination proceeding (such as an investigation or lawsuit), or otherwise engages in protected activity is strictly prohibited and will not be tolerated.

Caltrans is committed to providing reasonable accommodations to applicants and employees who need them because of a disability or to practice or observe their religion absent undue hardship.

As Caltrans Director, I maintain overall responsibility and accountability for Caltrans compliance with its EEO Policy and Program. To ensure day-to-day management, including program preparation, monitoring, and complaint investigation, I have appointed Cris Rojas, Deputy Director Administration, (916) 654-4096, as Caltrans EEO Officer. Deputy Director Rojas reports directly to me and acts with my authority with all levels of management, labor unions, and employees.

All Caltrans executives, management, and supervisory personnel, however, share in the responsibility for implementing and monitoring Caltrans' EEO Policy and Program within

EEO POLICY

their respective areas and will be assigned specific tasks to ensure compliance is achieved. Caltrans will evaluate its managers' and supervisors' performance on their successful implementation of Caltrans' policies and procedures in the same way Caltrans assesses their performance regarding other agency goals.

Caltrans is committed to undertaking and developing a written nondiscrimination program that sets forth the policies, practices and procedures, with goals and timetables, to which the agency is committed and make the EEO program available for inspection by any employee or applicant for employment upon request.

I am personally committed to a workplace that acts upon its daily responsibility to treat all applicants and employees with dignity and respect, as well as equitably under the guidelines of our EEO Policy and Program.

Original signed by

| | |
|---------------|-------------|
| _____ | _____ |
| LAURIE BERMAN | Date Signed |
| Director | |

This Policy Statement is pending the Caltrans Director's signature. It has been revised to include language on our commitment to undertake an Affirmative Action Plan, as well as the benefits the Department will receive through successful EEO goal achievement. We will transmit once we have a signature.

An image of the signed, unrevised Director's EEO Policy Statement can be found in [Appendix 1](#).

DISSEMINATION

INTERNAL DISSEMINATION

Policy Distribution

The Director's signed [EEO Policy Statement](#) is to be included in the EEOP Manual, the Department's Employee Handbook (produced by the Division of Safety and Management Services), the EEO Program's various reports, e.g., Annual EEO Elements Report, EEO-4 Report, etc., and EEO Staff Desk Manuals, and at personnel recruitment events.

All new Caltrans employees during the New Employee Orientation process, and each year every existing Caltrans employee, receives and reviews either the Employee Handbook or the Supervisor and Manager Handbook, both of which include copies of key Caltrans' "Director's Policies" and "Deputy Directives," including Director's Policy 01-Equal Employment Opportunity ([DP-01-R11](#)), and related Deputy Directive 49-Sexual Harassment Prevention ([DD-49-R5](#)), Deputy Directive 48 – Reasonable Accommodation ([DD-48-R3](#)), and Deputy Directive 76-Religious Accommodation ([DD-79-R3](#)). The Department's new [EEO Policy Statement](#), dated January 19, 2018 and signed by the Director, will also be included in the Caltrans Employee Handbook and be part of New Employee Orientation. These policies detail the employee's responsibility to uphold the Department's policies regarding zero tolerance for EEO related discrimination or harassment. Director's Policies provide the organization with fundamental direction for Caltrans' activities. They cover Caltrans' philosophy (reflected by our purpose, mission, and vision), broad organizational issues, and provide specific strategic direction. Deputy Directives set a "course of action" for implementing one or more Director's Policies. It is a procedural document with specific guidelines or step-by-step details for multiple functional areas.

The Employee Handbook, either by hardcopy or electronically, is given to every Caltrans Rank and File employee. The Employee Handbook includes a "Staff Expectations Memo." Employees are asked to sign the Memo to acknowledge they have read, understood, and will adhere to the guidance in the Memo and the Policies in the Handbook, including the EEO Policy. The Memo is to be signed by the employee's Supervisor, and a copy placed in the employee's Official Personnel File, and the Supervisory File. The handbook also contains a "Supervisor Expectations Memo" and a "Manager Expectations Memo." These memos contain links to Caltrans' resources that can assist in the administration of managerial and supervisory duties. All Caltrans supervisors and managers are asked to

DISSEMINATION

sign their respective Memo to acknowledge they have read, understood, and will adhere to the Policies, including the EEO Policy, identified in the Memo, and in the handbook. The Memo will also be signed by their Manager, and a copy is placed in their Official Personnel File, and the Supervisory File.

The EEO Policy Statement is signed by the Director and distributed to all staff via email and is available on both the Caltrans internal and external websites.

EEO Program Intranet

The HQ EEO Program maintains an intranet website at <http://eo.onramp.dot.ca.gov/> (only accessible to Caltrans employees) which provides information and resources for Caltrans EEO processes, trainings, publications, and events. Resources include:

- Links to the Caltrans EEO Policy, Director's EEO Policy Statement, and related directives.
- Basic information about EEOP and DCIU.
- Information on filing a complaint.
- EEO Program resources for employees.
- EEO Officer Resources for trainings, reports, and other EEO activities.
- EEO publications, including the Affirmative Action Plan (AAP), EEO Strategic Plan, and guides and manuals related to EEO.
- Past EEO reports, including the Annual Element, Workforce Analysis, and EEO-4.
- Links and contact information for District EEO Offices.
- Information on EEO Trainings, including Sexual Harassment Prevention, Diversity Awareness, and Disability Awareness.
- The Caltrans Disability Advisory Committee (CTDAC) webpage, with links to CTDAC and District DAC minutes, agendas, and other resources.
- Language Access Resources.
- Information and archives for EEO events, including Diversity Disability Awareness Day (DDAD) and Disability Awareness Month.
- Links to additional resources, including the DFEH, EEOC, and other state and federal agencies.

Postings

EEO posters are posted in various locations on bulletin boards in all Caltrans' facilities, including employee break areas or other highly trafficked areas. EEO staff statewide are responsible for ensuring that the required EEO posters are current and posted in visible areas throughout their jurisdiction.

DISSEMINATION

The following EEO posters are posted statewide:

- Caltrans EEOP Overview of Policy and Process and EEO Contact Information
- Equal Employment Opportunity is the Law
- California Law Prohibits Workplace Discrimination and Harassment
- Family Care and Medical Leave (CFRA Leave) and Pregnancy Disability Leave
- Your Rights and Obligations as a Pregnant Employee
- Transgender Rights in the Workplace

Publications

The EEO Policy is included or referenced in the following publications:

- EEO Brochure
- Caltrans EEOP Overview of Policy and Process and EEO Contact Information Poster
- Religious Accommodation Guide
- Manager and Supervisor Quick Start Guide for Sexual Harassment Prevention
- Manager and Supervisor Quick Start Guide for Religious Accommodation
- Upward Mobility Guide
- CTDAC Brochure
- Reasonable Accommodation Guide
- Employee Handbook
- Supervisor and Manager Handbook

Meetings

The EEO Program Manager, through delegated authority for the Caltrans EEO Officer, meets monthly with Caltrans' Director or Chief Deputy Director to discuss the EEO Program's implementation, including reporting of goals, objectives, and ongoing investigations. The EEO Program management will be meeting with employees, affinity groups, and statewide EEO Liaisons to seek input on the EEO Program's implementation. The EEO Program also participates in regular meetings with EEO managers, supervisors, and employees to discuss the objectives of the "Affirmative Action Plan" and EEO Program and to seek input on the program implementation. HQ EEOP maintains agendas and sign-in sheets for meetings conducted when the EEO Policy and its implementation are explained.

HQ EEOP uses video teleconferences (VTCs) to regularly meet with statewide EEO staff to discuss statewide activities and updates on the EEOP and implementation, training, event planning, accomplishments, EEO-related protocol and additional concerns. These regular meetings include:

DISSEMINATION

- Quarterly video-teleconference meetings with participants including the Deputy Director of Administration, Deputy District Directors (DDD) of Administration, DDDs of External Affairs (D4 and District 7 only), EEO Managers, HQ EEOP Program Manager, EEO Office Chief, and DCIU Office Chief.
- Monthly EEO VTC Meeting. Participants include the EEOP Program Manager, EEO Office Chief, DCIU Office Chief, and Division & District EEO Managers and Officers.
- Quarterly Department-wide Disability Advisory Committee (DAC) VTC. Participants include Headquarters and District DAC Chairs and Co-Chairs, and District EEO Officers and Managers.

Disability Advisory Committee (DAC)

California Government Code section 19795(b) requires each State agency to establish a "committee of employees who are individuals with a disability, or who have an interest in disability issues, to advise the head of the agency on issues of concern to employees with disabilities, and matters relating to the formulation and implementation of the plan to overcome and correct any underrepresentation" of disabled individuals. Caltrans actively supports its statewide and local District DACs. The DACs:

- Made recommendations regarding Caltrans policy, programs, and practices, affecting persons with disabilities.
- Promote education and training to increase sensitivity and awareness about disability issues.
- Foster open and effective communication on disability issues throughout Caltrans.

Diversity and Disability Awareness Day (DDAD)

Diversity Disability Awareness Day is an employee sponsored multicultural and disability awareness event. This event's purpose is to increase the awareness, support, and appreciation for the diverse workforce within Caltrans. Each District and HQ host their own DDAD, independent from one another, with varying themes, agendas, time and dates of the event.

Disability Awareness Month

HQ EEOP promotes Disability Awareness Month within Caltrans every year in October. EEO staff sponsor brown bag lunch events to promote awareness of disability-related issues and celebrate the contributions of Caltrans employees with disabilities.

DISSEMINATION

Disability Awareness Month Emails

During Disability Awareness Month, HQ EEOP sends out weekly educational emails statewide to all staff that feature specific disabilities or to introduce disabled individuals that have made a difference in society. Emails are prepared by EEO staff, approved by EEOP management, and sent to all HQ staff by the EEO Office Chief.

EEO Training and Presentations

To train Caltrans Managers and Supervisors, EEOP staff and District EEO Officers participate in regularly scheduled Supervisory Training Programs (STP) given by the Caltrans Learning and Development Office (LDO). New supervisors are required by law to successfully complete supervisory training within six months of appointment. Managers and CEAs are required to complete within 12 months. Caltrans' Supervisory Training Program (STP) is where they receive an EEO Overview and Sexual Harassment Prevention Training to satisfy this requirement. Additionally, EEOP Staff and District EEO Officers provide ongoing training classes for all employees, supervisor, and managers including EEO Overview, Diversity Awareness, Disability Awareness, and Sexual Harassment Prevention. These training classes are available in-person and are also available any time online. Attendance is recorded and tracked for reporting purposes.

Technical Conference

The EEO Technical Conference is a two-day event held for all Caltrans EEO professionals statewide; including Deputy District Directors of Administration/External Affairs, District and Division EEO Liaisons, and Headquarters Equal Employment Opportunity Program staff. The Equal Employment Opportunity Program provides the EEO Technical Conference every year to enable HQ EEOP to update all EEO staff on policy changes, legal mandates, policy changes etc. The purpose of the conference is to review the Caltrans EEO Policy, Director's EEO Policy Statement, and related directives and to provide updates to trainings, policies, and procedures, and to network with peers.

Questions to EEOP

HQ EEOP also encourages District and Division EEO staff to contact HQ EEOP with any questions regarding EEOP policies, procedures, and programs via phone or email. The Department utilizes its statewide electronic mail systems to disseminate information and policies to its employees.

DISSEMINATION

| | |
|---|---|
| Phone: 1-844-DOT-EEOP 1-844-368-3367 916-227-2793 | Email: ask.eeo@dot.ca.gov |
|---|---|

EXTERNAL DISSEMINATION

Recruitment

All Caltrans job announcement postings are advertised through the State of California's Department of Human Resources website, www.calhr.ca.gov, and all recruitment ads include the statement, "The State of California is an equal opportunity employer that actively pursues and hires a diverse workforce. All qualified applicants will receive consideration for employment without regard to age, ancestry, color, disability (mental or physical), gender identity or expression, genetic information, marital status, medical condition, military veteran status, national origin, political affiliation, pregnancy, race, religion or creed, sex, sexual orientation, or any other factor that is not related to the job." All Caltrans job postings also include the EEOP contact phone and email.

Caltrans' EEO Policy Statement is available online at the Caltrans external website at www.dot.ca.gov under "Get to Know Caltrans" and on the Department's "Jobs" webpage at www.dot.ca.gov/jobs. The "Affirmative Action Plan" is posted at http://dot.ca.gov/docs/AAP-2015_Sept_24_2015.pdf.

When there is outreach or advertising to recruitment entities, the Department will disseminate the EEO Policy to those entities.

DESIGNATION OF PERSONNEL

DESIGNATION OF PERSONNEL

ROLES AND RESPONSIBILITIES

Director, Laurie Berman:

1. Makes every effort to ensure Department adherence to the principles of Equal Employment Opportunity.
2. Enforces the Department's EEO policy, policy statement, and programs to eliminate discrimination and to achieve relevant area labor force parity for underutilized groups.
3. Evaluates the efforts and accomplishments of Deputy and District Directors and other management team members in achieving "Zero Tolerance" for discrimination and sexual harassment.

EEO Officer, Deputy Director, Administration, Cristiana Rojas:

1. Serves as the EEO Officer for the Department.
2. Formally delegates EEO authority to the Caltrans EEO Program Manager who serves under the direction of the EEO Officer to perform the duties on behalf of the EEO Officer.
3. Serves as the Affirmative Action Officer.
4. Makes every effort to ensure the Caltrans EEO policy, program and plan are fully implemented and complied with in all programs and business activities.
5. Oversees employment, recruitment, hiring, retention, training, transfers, promotions and business activities for compliance with EEO guidelines and laws.
6. Makes every effort to ensure that active recruitment efforts for qualified applicants are broad and inclusive of all segments of the relevant workforce.
7. Develops the EEO Policy Statement and a written EEO Program.
8. Assists management in collecting and analyzing employment data, identifies problem areas, sets goals and timetables, and develops programs to achieve goals.
9. Designs, implements, and monitors internal audit and reporting systems to measure program effectiveness and determine where progress has been made and where proactive action is needed.
10. Reviews the Department's nondiscrimination plan with all managers and supervisors to ensure that the policy is understood.
11. Concurs in the hiring and promotion process. This means EEO Officer (or delegate) has reviewed employment documents to ensure the actions of the Department are not discriminatory (i.e., do not result in disparate treatment or disparate impact).

DESIGNATION OF PERSONNEL

12. In conjunction with the Division of Human Resources, periodically reviews employment practices policies, complaint policies, reasonable accommodation policies, performance evaluations, and grievance procedures. For union agreements, HQ EEOP management coordinates with Caltrans' Division of Safety and Management Services, Labor Relations Office, and the California Department of Human Resources, the entity responsible for the Department's collective bargaining process.
13. Reports at least semi-annually to Director on Department's progress in relation to goals.
14. Serves as liaison between the Department, federal, state, county, and local governments, regulatory agencies, and community groups representing minorities, women, and persons with disabilities, and others.
15. Maintains awareness of current EEO laws and regulations, and ensures the laws and regulations affecting nondiscrimination are disseminated to responsible officials.
16. Mandates investigation of complaints of EEO discrimination.
17. Mandates provision of EEO training for employees and managers.
18. In conjunction with the Learning and Development Office, the Division of Human Resources, and other Caltrans programs, advises employees and applicants of available training programs and professional development opportunities and the entrance requirements for them.
19. Audits postings of the EEO Policy Statement to ensure compliance information is posted and up to date.

The EEO Officer establishes a formal delegation of authority with the EEO Program Manager, to assume responsibilities associated with the EEO Program. At the time of this report, there is an interim "Acting" EEO Program Manager. Once the new, permanent EEO Manager is hired, a formal delegation will be drafted and signed by the EEO Officer.

Program Manager, EEOP, Cheryl McNulty (Acting):

The Equal Employment Opportunity Program Manager is Cheryl McNulty (Acting) who has overall program responsibility for DCIU and EEO. Once the new permanent EEO Program Manager is hired, that person will have the formal delegated authority to act on behalf of the Department's EEO Officer. The Program Manager also provides functional guidance to the 12 District Offices and 33 Headquarters Programs throughout the state. The Program Manager reports directly to the Administration Deputy Director, Cristiana Rojas. Duties are as follows:

1. Performs or supports all of the EEO Officer duties listed above.

DESIGNATION OF PERSONNEL

2. Prepares Caltrans annual EEO Plan, which includes Workforce Analysis Report, Upward Mobility Report, Bilingual Services Program, and Persons with Disabilities Plan.
3. Prepares "Affirmative Action Plan".
4. Provides EEO technical assistance to managers and supervisors.
5. Provides oversight for Caltrans' informal and formal discrimination complaint processes.
6. Makes every effort to ensure comprehensive, neutral and timely investigations of formal discrimination complaints and provides a thorough, impartial, uniform, and confidential complaint intake process.
7. Reports semiannually to Director or EEO Officer on progress towards Department goals.
8. Maintains awareness of current EEO laws and ensures the laws affecting nondiscrimination are disseminated to responsible officials.
9. Serves as a liaison between the Department and government and community stakeholders.

Deputy Directors, District Directors, Chief/Deputy District Directors, Division Chiefs:

1. Provides a work environment free from discrimination and harassment by ensuring that program objectives, standards and practices comply with EEO guidelines.
2. Designates EEO contact(s) for their District and/or Division.

Caltrans Statewide Managers and Supervisors:

1. Provides a work environment free from discrimination and harassment by ensuring that standards and practices comply with EEO guidelines.
2. Participates actively in periodic audits of all aspects of employment to identify and to remove barriers obstructing the achievement of Caltrans EEO goals and objectives.
3. Engages in regular discussions with other managers, supervisors, employees, and affinity groups to ensure Caltrans' policies and procedures are being followed.
4. In conjunction with District and/or the Headquarters EEOP Officers, maintains and updates personnel information for the purpose of generating reports required for the Equal Employment Opportunity Program.
5. Forwards complaints to the District and/or the Headquarters EEOP Officers in a confidential and timely manner.
6. Cooperates with HQ EEO Officer and Staff in review of information and investigation of complaints to ensure employees are aware of their responsibility to cooperate fully in the investigation processes of a complaint and in disciplinary proceedings for violations of EEO policies.

DESIGNATION OF PERSONNEL

7. Takes immediate and appropriate corrective action when a violation of EEO policies occurs. Corrective action may include remedial or disciplinary action after a finding that a policy violation occurred, and/or taking steps during the period that an investigation of a complaint is pending to prevent additional potential or alleged policy violations.
8. Provides a work environment free from retaliation for those who have supported the EEO policies, filed a complaint, testified, assisted, or participated in any proceeding under EEO Policies.
9. Encourages and supports employee participation to support the advancement of the EEO Program by supporting the Division of Human Resource's efforts, e.g., professional development and career growth opportunities, posting promotional opportunities, job shadowing, and formal mentoring program.
10. Will mandate that all Hiring Managers be EEO Certified to prepare them for concurrence in the hiring and promotion process. This is a new initiative that Caltrans' Division of Human Resources will develop and implement beginning fiscal year 2019.

District and Headquarters EEO Managers, Officers, and Coordinators:

1. Monitors the implementation of District EEO programs and ensures that business activities comply with EEO guidelines and directives.
2. Monitors and ensures that the work environment is free from discrimination and harassment.
3. Serves as the local staff resource for managers, supervisors, employees, and investigators regarding EEO issues.
4. Serves as a point of contact for employees to initiate the discrimination complaint process.

Employees, Applicants and Business Partners:

1. Treats all fellow employees, business partners, and the general public with dignity and respect, in a work environment free from discrimination and harassment.
2. Immediately reports alleged violations of this policy to a supervisor, manager, EEO officer, or the DCIU.
3. Cooperates fully in the investigation processes of a complaint and in disciplinary proceedings for violations of EEO Policies.

EEOP Staff:

EEOP staff share EEO responsibilities and report directly to the EEO Office Chief, Ben Asio. EEOP staff responsibilities include, but are not limited to:

1. Develops the EEO Policy Statement and written EEO Program.

DESIGNATION OF PERSONNEL

2. Assists management in collecting and analyzing employment data, identifies problem areas, set goals and time tables, and develops programs to achieve goals.
3. Designs, implements, and monitors internal audit and reporting systems to measure program effectiveness and to determine where progress has been made and where proactive action is needed.
4. Reviews Caltrans' nondiscrimination plan with all managers and supervisors to ensure that the policy is understood.
5. Assists Hiring Managers with EEO matters relating to the hiring and promotion process.
6. In conjunction with other Caltrans divisions and program areas, periodically reviews employment practices policies, complaint policies, reasonable accommodation policies, performance evaluations, grievance procedures, and union agreements. For union agreements, HQ EEOP management coordinates with Caltrans' Division of Safety and Management Services, Labor Relations Office, and with the California Department of Human Resources, the entity responsible for the Department's collective bargaining process.
7. Reports at least quarterly to the Director on District and/or Program progress in relation to Caltrans' goals.
8. Serves as liaison between the agency, federal, state, county, and local governments, regulatory agencies, minority groups or individuals, women, disability organizations, and other community groups.
9. Maintains awareness of current EEO laws and ensures the laws affecting nondiscrimination are disseminated to responsible officials.
10. Investigates complaints of violations of EEO policies.
11. Provides EEO training for employees, supervisors, and managers.
12. In conjunction with the Learning and Development Office, the Division of Human Resources, and other Caltrans programs, advises employees and applicants of available training programs and professional development opportunities and the entrance requirements for them.
13. Audits postings of the EEO Policy Statement to ensure compliance information is posted and up to date.

DISCRIMINATION COMPLAINT INVESTIGATION UNIT (DCIU)

DCIU staff process and investigate complaints of violations of Department EEO-related policies and report directly to the DCIU Office Chief, Shannon Flynn.

DESIGNATION OF PERSONNEL

COMPLAINTS

Caltrans DP-01 establishes an internal complaint procedure for employees to resolve complaints of discrimination and harassment. Per DP-01, District and Headquarters (HQ) Division EEO Liaisons must "Serve as a point of contact for employees to initiate the complaint process." When Caltrans (through any of its agents, for example, an EEO Officer, or any Manager or Supervisor) becomes aware that discrimination or harassment may be occurring, Caltrans is legally obligated to ensure that the allegations are forwarded to DCIU as a management inquiry for further investigation. Jurisdictional EEO complaints will be handled by DCIU.

Caltrans employees have the right to file complaints externally, with the Department of Fair Employment and Housing (DFEH) and/or the U.S. Equal Employment Opportunity Commission (EEOC).

California Department of Fair Employment and Housing (DFEH)
Elk Grove Field Office
2218 Kausen Drive, Suite 100
Elk Grove, CA 95758
Voice: 800-884-1684 (voice).
TTY: 800-700-2320 (TTY)
Email: contact.center@dfeh.ca.gov

U.S. Equal Employment Opportunity Commission (EEOC)
Oakland Local Office
1301 Clay Street, Suite 1170-N
Oakland, CA 94612-5217
Phone: 1-800-669-4000
Fax: 510-637-3235
TTY: 1-800-669-6820
ASL Video Phone: 844-234-5122

Those agencies contact DCIU directly regarding any complaints; DCIU will act as liaison between the external agency and the relevant parties.

Discrimination Complaint Intake Process

Caltrans' EEO professionals conduct intake interviews with complainants who present information regarding potential violations of EEO policies. The EEO professional will speak with the potential complainant over the phone or in person and gather facts and any

DESIGNATION OF PERSONNEL

documents regarding these allegations. The EEO professional will determine whether the allegations meet the DCIU's jurisdiction to investigate and write a summary of the intake meeting including an explanation of why the complaint does or does not meet DCIU's jurisdictional requirements.

Managerial Inquiry

If a manager or other third party brings forward a potential violation of Department EEO-related policies, the EEO professional will complete Caltrans' [EEO-0004 Complaint Form](#), collect any documentation of communications or actions taken that the individual presents, and, if jurisdictional, forward the complaint to DCIU.

INVESTIGATIONS

Following the initial intake, complaints of EEO-related discrimination and harassment are investigated by DCIU. The DCIU investigator will conduct a comprehensive, impartial, and timely investigation. The investigator will interview complainants, witnesses, and respondents, review documents, and order computer forensic analysis if necessary, to determine whether or not Caltrans EEO policy was violated. All DCIU investigators receive formal EEO investigative training initially and continued training annually.

PROGRAMS & EEO LIAISONS

Caltrans maintains assorted services and programs that fall within the general area of EEO. Caltrans EEO Liaisons are not involved in the day-to-day implementation of these additional programs; however, the EEO Program provides oversight and guidance. This means that the EEO Liaison may provide information relating to the program, such as program guide documents, and, for some programs, may be required to track use or participation. However, the EEO Liaison does not make determinations regarding program participants or provide program services directly.

These programs include:

- Bilingual Services
- Disability Advisory Committee
- Religious Accommodation
- Upward Mobility Program

Bilingual Services

Caltrans provides access to its programs, services, and activities for all persons, including those who are non-English speaking and those who are Limited English Proficient (LEP).

DESIGNATION OF PERSONNEL

Caltrans employees have access to a range of options for interpreting and document translation.

Caltrans' bilingual services are organized and tracked by the Office of Business and Economic Opportunity (OBEO). Caltrans regularly surveys and reports on the effectiveness and needs of its bilingual services program through the biannual Language Survey conducted by the EEO office.

Interpreting and Translation

Caltrans employees must have access to interpretation services as needed when interacting with customers. To fulfil this need, Caltrans has bilingual staff in local offices, bilingual volunteers statewide, and access to the Language Line interpreting service.

Caltrans makes documents available in languages requested by its customers. Caltrans translates documents locally into languages spoken by a significant number of its public contacts. Document translation can be done by qualified Caltrans local staff or bilingual volunteers, or by purchasing document translation services from a provider.

Complaints

Members of the public have the right to file a Language Access Complaint if they feel that their rights to bilingual services have been violated.

Disability Advisory Committee

Each State Agency is mandated by state law to establish a DAC, to ensure that employees have equal access to all services, facilities, and programs. In Caltrans, the DAC is composed of the CTDAC in Headquarters and District DACs in each of the Districts. The chairpersons of CTDAC and the District DACs form the Department DAC, which meets regularly by VTC.

Each area's DAC is composed of a committee of employees who are interested in disability-related issues. CTDAC represents Caltrans HQ and its members are HQ employees that have an interest in advising Caltrans on disability issues. Members are not required to have disabilities; however, many members are individuals with disabilities. The local EEO Offices provide oversight and guidance for the DACs.

The CTDAC chairperson participates in meetings with the Statewide DAC (SDAC), which is composed of the chairpersons of every state agency DAC. The SDAC represents all State Agencies. It was established to assist all Departments in maintaining their respective Disability Advisory Committees. Government Code section 19792 requires CalHR to

DESIGNATION OF PERSONNEL

"provide statewide leadership, coordination, technical guidance and enforcement regarding efforts to fully achieve equal employment opportunity and non-discriminatory employment practices within the state civil service". SDAC supports Departments in achieving this effort. SDAC serves as an advisory committee for and makes recommendation to the CalHR Director to assist California State Government in increasing and improving employment opportunities for people with disabilities.

Religious Accommodation

Caltrans makes every effort to provide Religious Accommodation to all employees, applicants, and customers in its services and programs when appropriate. Caltrans has a "Zero Tolerance" policy for religious discrimination and/or harassment in the workplace.

In accordance with California Government Code §12940 and other applicable federal and state laws, Caltrans provides a workplace that is free from discrimination or harassment because of a person's religion or religious beliefs and provides reasonable (religious) accommodation for religious observance and practices.

The Religious Accommodation process occurs primarily between the requesting employee and their chain of command. The employee's supervisor determines whether or not to grant the request. The supervisor is required to consult the EEO Officer before making the determination; the EEO Officer will provide information regarding EEO and the accommodation process.

The Religious Accommodation guide is a resource for Caltrans employees, managers and supervisors. It is posted online in the Department's intranet at https://eo.onramp.dot.ca.gov/downloads/eo/files/Quickstart_Guide-Religious_Accommodation.pdf. An image of the guide can be found in [Appendix 13](#). It addresses the rights of employees to exercise their religious beliefs, observances, and practices in the workplace. State and federal laws, applicable policies, and deputy directives also apply to applicants, the public, contractors, and subcontractors who do business with Caltrans. The guide explains the processes for filing and appealing Religious Accommodation requests. It also includes examples and provides answers to most frequently asked questions. Every religious accommodation request shall be evaluated on a case-by-case basis; in all circumstances, consultation with EEO staff is required.

Reasonable Accommodation

Reasonable Accommodation (RA) is housed in the Division of Human Resources (DHR). See [DHR Organizational Chart](#). The RA Program provides consultation to managers and

DESIGNATION OF PERSONNEL

supervisors on RA issues. RA Staff recommend the best course of action in the application of RA state and federal laws and departmental policies. The RA manager provides training to managers and supervisors in reviewing employees' RA requests. At the district level, the HR/RA Liaison provides first-level support to managers and supervisors.

Upward Mobility Program

Caltrans has established an Upward Mobility Program (UMP), which is designed to assist employees in low-paying occupations who wish to develop their qualifications for entry-level technical, professional and administrative state jobs.

This program is required by state law and the California Department of Human Resources (CalHR). Government Code sections 19400-19406 and the California Code of Regulations sections 599.981 - 599.986 require each Department to establish an effective upward mobility program for its employees in low-paying occupations. This includes developing an upward mobility plan to assist employees to develop their qualifications in order to be competitive with non-state job applicants for entry-level technical, professional and administrative state jobs, and establishing annual upward mobility employment goals. Departments are also required to appoint an upward mobility coordinator to report on the Department's upward mobility program efforts.

The Upward Mobility Guide was developed to provide information, guidelines, and suggestions to help qualifying employees prepare for career advancement at Caltrans in particular, and in state service at large. The guide describes the Caltrans UMP and provides answers to questions about steps in career development, mobility options, the examination process and classifications.

HQ EEOP staff and District EEO Liaisons do not provide assistance with the program other than in an advisory capacity. EEO Liaisons also provide copies of upward mobility forms of participants to HQ EEOP, who then reports those numbers annually to control agencies, for example in the Workforce Analysis (WFA).

Training

EEO Analysts conduct EEO related trainings for Caltrans employees. EEO trainings include Sexual Harassment Prevention Training (SHPT), Diversity Awareness Training (DivAT), and Disability Awareness Training (DisAT). Caltrans must provide consistent training content to its employees statewide; to this end, EEO training modules are developed by HQ EEOP and distributed to District EEO Liaisons.

DESIGNATION OF PERSONNEL

HQ EEOP develops classroom and online EEO training courses. The trainings developed by HQ EEOP are designed to meet the requirements specified by Caltrans policy and state and federal law, to provide consistent training compliant with law and policy statewide. Only approved training materials developed by HQ EEOP are to be used in EEO trainings.

EEO Trainings include:

- Sexual Harassment Prevention Training for Managers & Supervisors
- Online Sexual Harassment Prevention Training for Managers & Supervisors
- Sexual Harassment Prevention Training for Rank & File
- Diversity Awareness Training for Managers & Supervisors
- Diversity Awareness Training for Rank & File
- Disability Awareness Training
- Online Disability Awareness Training

Sexual Harassment Prevention Training (SHPT)

Caltrans' SHPT is designed to identify different types of sexual harassment in the workplace, federal & state laws and Caltrans policies prohibiting sexual harassment, supervisor and employee responsibilities, consequences and costs of sexual harassment, and assistance available to individuals reporting sexual harassment.

State law mandates Managers and Supervisors (M&S) receive Sexual Harassment Prevention Training within six months of appointment, and every two years thereafter. Per the law, the training must be at least two hours in length. SHPT for M&S provides additional focus on managers' and supervisors' roles in preventing sexual harassment in the workplace.

Regarding SHPT for M&S, California Code of Regulations §11024 states that:

(A) A trainer shall be one or more of the following:

1. "Attorneys" admitted for two or more years to the bar of any state in the United States and whose practice includes employment law under the Fair Employment and Housing Act and/or Title VII of the federal Civil Rights Act of 1964, or
2. "Human resource professionals" or "harassment prevention consultants" working as employees or independent contractors with a minimum of two or more years of practical experience in one or more of the following: a. designing or conducting discrimination, retaliation and sexual harassment prevention training; b. responding to sexual harassment complaints or other discrimination complaints; c. conducting investigations of

DESIGNATION OF PERSONNEL

sexual harassment complaints; or d. advising employers or employees regarding discrimination, retaliation and sexual harassment prevention, or

3. "Professors or instructors" in law schools, colleges or universities who have a post-graduate degree or California teaching credential and either 20 instruction hours or two or more years of experience in a law school, college or university teaching about employment law under the Fair Employment and Housing Act and/or Title VII of the federal Civil Rights Act of 1964.

(B) Individuals who do not meet the qualifications of a trainer as an attorney, human resource professional, harassment prevention consultant, professor or instructor because they lack the requisite years of experience may team teach with a trainer, in classroom or webinar trainings provided that the trainer supervises these individuals and the trainer is available throughout the training to answer questions from training attendees.

Rank & File (R&F) employees must attend SHPT for R&F within 6 months of initial hire, and regularly thereafter. Supervisors must attend upon hire and every two years thereafter. California Senate Bill 1343, section 12950.1, continues to require covered employers to provide at least two hours of sexual harassment prevention training and education to all supervisory employees and now require at least one hour of such training to all non-supervisory employees in California, by January 1, 2020. Training and education must be provided once every two years thereafter.

Diversity Awareness Training

Caltrans Diversity Awareness Training is designed to educate participants on diversity, inclusion, and bias in the workplace. The training discusses how biased behavior can impact the workplace and provides tools for encouraging a respectful workplace. Each District, Division, or Program determines whether, and how often, Diversity Awareness Training is mandated.

Disability Awareness Training

Caltrans' Disability Awareness Training reviews Caltrans policy and state and federal laws pertaining to persons with disabilities in the workplace and provides an opportunity to experience how various disabilities make simple life activities difficult, in order to provide increased awareness of the workplace challenges that persons with disabilities need to overcome on a daily basis.

DESIGNATION OF PERSONNEL

California Civil Rights Officers' Council

Caltrans' EEO Program Manager is a member of the California Civil Rights Officers' Council and attends a bimonthly forum at which representatives from California state agencies discuss civil-rights-related projects, and civil rights professionals can get input from others in similar roles.

UTILIZATION ANALYSIS

UTILIZATION ANALYSIS

WORKFORCE ANALYSIS

The workforce analysis includes the number of employees and salary ranges for each job category in the EEO-4 report for the following subcategories for men and women:

- White (not Hispanic or Latino)
- American Indian/Alaska Native (not Hispanic or Latino)
- Black or African American (not Hispanic or Latino)
- Hispanic or Latino
- Asian (not Hispanic or Latino)
- Native Hawaiian and Other Pacific Islander (not Hispanic or Latino) Two or more races (not Hispanic or Latino)

The table below summarizes the EEO job categories for EEO-4 reports.

| Number | Category |
|---------------|--------------------------------|
| 1 | Officials and Administrators |
| 2 | Professionals |
| 3 | Technicians |
| 4 | Protective Service Workers |
| 5 | Paraprofessionals |
| 6 | Administrative Support Workers |
| 7 | Skilled Craft Workers |
| 8 | Service-Maintenance Workers |

For this analysis, Caltrans utilized the EEO-4 report for Federal Fiscal Year 2017 (FFY17).

AVAILABILITY ANALYSIS

The availability analysis identifies the availability of minorities and women in the workforce at large and analyzes participation rates of minorities and women at the

UTILIZATION ANALYSIS

| 2 - Professionals | | | | | | | | | | | | | | | | | | | | |
|---------------------------------|---------------------|------|-------|-------|-------|-------|-------|------|------|--------|-------|------|------|--------|--------|--------|--------|--------|--------|--------|
| Current Workforce | \$34,000-\$115,000 | 8570 | 2708 | 3862 | 775 | 1225 | 2,708 | 23 | 304 | 767 | 2,421 | 23 | 324 | 775 | 10 | 99 | 260 | 750 | 7 | 99 |
| Percent in Category | | | 31.6% | 45.1% | 9.0% | 14.3% | 31.6% | 0.3% | 3.5% | 8.9% | 28.2% | 0.3% | 3.8% | 9.0% | 0.1% | 1.2% | 3.0% | 8.8% | 0.1% | 1.2% |
| Percent of Availability | | | | | | | 0.285 | 0.1% | 2.2% | 5.8% | 10.1% | 0.1% | 1.1% | 29.6% | 0.2% | 2.9% | 8.0% | 10.1% | 0.1% | 1.1% |
| Percent Underutilized | | | | | | | | | | | | | | 21% | 0% | 2% | 5% | 1% | 0% | |
| Underutilized (Yes/No) | | | | | | | | No | No | No | No | No | No | Yes | Yes | Yes | Yes | Yes | Yes | No |
| Number Needed to Reach Parity | | | | | | | | | | | | | | 1,761 | 7 | 149 | 425 | 115 | 1 | |
| Planned percent increase Year 1 | | | | | | | | | | | | | | 5.150% | 0.025% | 0.425% | 1.250% | 0.325% | 0.000% | |
| Planned percent increase Year 2 | | | | | | | | | | | | | | 5.150% | 0.025% | 0.425% | 1.250% | 0.325% | 0.000% | |
| Planned percent increase Year 3 | | | | | | | | | | | | | | 5.150% | 0.025% | 0.425% | 1.250% | 0.325% | 0.000% | |
| Planned percent increase Year 4 | | | | | | | | | | | | | | 5.150% | 0.025% | 0.425% | 1.250% | 0.325% | 0.100% | |
| 3 - Technicians | | | | | | | | | | | | | | | | | | | | |
| Current Workforce | \$31,000-\$108,000 | 908 | 305 | 373 | 96 | 134 | 305 | 1 | 33 | 126 | 178 | 4 | 31 | 96 | 1 | 23 | 21 | 82 | 1 | 6 |
| Percent in Category | | | 33.6% | 41.1% | 10.6% | 14.8% | 33.6% | 0.1% | 3.6% | 13.9% | 19.6% | 0.4% | 3.4% | 10.6% | 0.1% | 2.5% | 2.3% | 9.0% | 0.1% | 0.7% |
| Percent of Availability | | | | | | | 25.8% | 0.2% | 2.6% | 10.0% | 11.9% | 0.2% | 1.3% | 20.6% | 0.2% | 3.7% | 10.8% | 11.5% | 0.2% | 1.4% |
| Percent Underutilized | | | | | | | | 0% | | | | | | 10% | 0% | 1% | 8% | 2% | 0% | 1% |
| Underutilized (Yes/No) | | | | | | | | No | No | No | No | No | No | Yes | No | Yes | Yes | Yes | No | Yes |
| Number Needed to Reach Parity | | | | | | | | | | | | | | 91 | | 10 | 77 | 22 | | 6 |
| Planned percent increase Year 1 | | | | | | | | | | | | | | 2.500% | | 0.300% | 2.125% | 0.625% | | 0.175% |
| Planned percent increase Year 2 | | | | | | | | | | | | | | 2.500% | | 0.300% | 2.125% | 0.625% | | 0.175% |
| Planned percent increase Year 3 | | | | | | | | | | | | | | 2.500% | | 0.300% | 2.125% | 0.625% | | 0.175% |
| Planned percent increase Year 4 | | | | | | | | | | | | | | 2.500% | | 0.300% | 2.125% | 0.625% | | 0.175% |
| 4 - Protective Service | | | | | | | | | | | | | | | | | | | | |
| Current Workforce | \$108,000-\$135,000 | 15 | 1 | 4 | 3 | 7 | 1 | | 1 | 1 | | 1 | 1 | 3 | | 1 | 2 | 3 | | 1 |
| Percent in Category | | | 6.7% | 26.7% | 20.0% | 46.7% | 6.7% | 0.0% | 6.7% | 6.7% | 0.0% | 6.7% | 6.7% | 20.0% | 0.0% | 6.7% | 13.3% | 20.0% | 0.0% | 6.7% |
| Percent of Availability | | | | | | | 38.7% | 0.6% | 9.4% | 22.5% | 6.1% | 0.6% | 2.0% | 8.6% | 0.2% | 3.3% | 6.0% | 1.2% | 0.2% | 0.7% |
| Percent Underutilized | | | | | | | | | 3% | 16% | | | | | | | | | | |
| Underutilized (Yes/No) | | | | | | | | No | No | Yes | No | No | No | No | No | No | No | No | No | No |
| Number Needed to Reach Parity | | | | | | | | | | 2 | | | | | | | | | | |
| Planned percent increase Year 1 | | | | | | | | | | 0.000% | | | | | | | | | | |
| Planned percent increase Year 2 | | | | | | | | | | 7.900% | | | | | | | | | | |
| Planned percent increase Year 3 | | | | | | | | | | 0.000% | | | | | | | | | | |
| Planned percent increase Year 4 | | | | | | | | | | 7.900% | | | | | | | | | | |

UTILIZATION ANALYSIS

| 5 - Paraprofessional | | | | | | | | | | | | | | | | | | | | |
|---------------------------------|--------------------|------|-------|-------|-------|-------|-------|------|------|--------|--------|------|------|--------|------|-------|--------|--------|------|------|
| Current Workforce | \$60,000-\$115,000 | 0 | 0 | 0 | 0 | 0 | | | | | | | | | | | | | | |
| Percent in Category | | | | | | | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |
| Percent of Availability | | | | | | | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |
| Percent Underutilized | | | | | | | | | | | | | | | | | | | | |
| Underutilized (Yes/No) | | | | | | | No | No | No | No | No | No | No | No | No | No | No | No | No | No |
| Number Needed to Reach Parity | | | | | | | | | | | | | | | | | | | | |
| Planned percent increase Year 1 | | | | | | | | | | | | | | | | | | | | |
| Planned percent increase Year 2 | | | | | | | | | | | | | | | | | | | | |
| Planned percent increase Year 3 | | | | | | | | | | | | | | | | | | | | |
| Planned percent increase Year 4 | | | | | | | | | | | | | | | | | | | | |
| 6 - Administrative Support | | | | | | | | | | | | | | | | | | | | |
| Current Workforce | \$28,000-\$85,000 | 1266 | 244 | 289 | 258 | 475 | 244 | 4 | 50 | 96 | 114 | 5 | 20 | 258 | 12 | 141 | 169 | 120 | 13 | 20 |
| Percent in Category | | | 19.3% | 22.8% | 20.4% | 37.5% | 19.3% | 0.3% | 3.9% | 7.6% | 9.0% | 0.4% | 1.6% | 20.4% | 0.9% | 11.1% | 13.3% | 9.5% | 1.0% | 1.6% |
| Percent of Availability | | | | | | | 10.8% | 0.1% | 2.3% | 10.3% | 4.6% | 0.2% | 0.7% | 32.6% | 0.4% | 5.3% | 22.7% | 8.2% | 0.4% | 1.6% |
| Percent Underutilized | | | | | | | | | | 3% | | | | 12% | | | 9% | | | 0% |
| Underutilized (Yes/No) | | | | | | | No | No | Yes | No | No | No | No | Yes | No | No | Yes | No | No | No |
| Number Needed to Reach Parity | | | | | | | | | 34 | | | | | 154 | | | 118 | | | |
| Planned percent increase Year 1 | | | | | | | | | | 0.675% | | | | 3.050% | | | 2.350% | | | |
| Planned percent increase Year 2 | | | | | | | | | | 0.675% | | | | 3.050% | | | 2.350% | | | |
| Planned percent increase Year 3 | | | | | | | | | | 0.675% | | | | 3.050% | | | 2.350% | | | |
| Planned percent increase Year 4 | | | | | | | | | | 0.675% | | | | 3.050% | | | 2.350% | | | |
| 7 - Skilled Craft | | | | | | | | | | | | | | | | | | | | |
| Current Workforce | \$35,000-\$149,000 | 4843 | 2346 | 2265 | 123 | 109 | 2,346 | 69 | 446 | 1,373 | 198 | 38 | 141 | 123 | | 44 | 45 | 6 | 3 | 11 |
| Percent in Category | | | 48.4% | 46.8% | 2.5% | 2.3% | 48.4% | 1.4% | 9.2% | 28.4% | 4.1% | 0.8% | 2.9% | 2.5% | 0.0% | 0.9% | 0.9% | 0.1% | 0.1% | 0.2% |
| Percent of Availability | | | | | | | 37.8% | 0.5% | 3.2% | 45.7% | 6.4% | 0.4% | 0.0% | 1.9% | 0.0% | 0.3% | 1.7% | 0.7% | 0.0% | 0.0% |
| Percent Underutilized | | | | | | | | | | 17% | 2% | | | | | | 1% | 1% | | |
| Underutilized (Yes/No) | | | | | | | No | No | Yes | Yes | No | No | No | No | No | No | Yes | Yes | No | No |
| Number Needed to Reach Parity | | | | | | | | | 837 | 111 | | | | | | | 34 | 27 | | |
| Planned percent increase Year 1 | | | | | | | | | | 4.325% | 0.575% | | | | | | 0.200% | 0.150% | | |
| Planned percent increase Year 2 | | | | | | | | | | 4.325% | 0.575% | | | | | | 0.200% | 0.150% | | |
| Planned percent increase Year 3 | | | | | | | | | | 4.325% | 0.575% | | | | | | 0.200% | 0.150% | | |
| Planned percent increase Year 4 | | | | | | | | | | 4.325% | 0.575% | | | | | | 0.200% | 0.150% | | |

UTILIZATION ANALYSIS

| 8 - Service-Maintenance | | | | | | | | | | | | | | | | | | | | |
|---------------------------------|-------------------|-----|-------|-------|------|------|-------|------|------|-------|------|------|------|--------|------|------|--------|--------|------|--------|
| Current Workforce | \$24,000-\$75,000 | 215 | 85 | 114 | 4 | 12 | 85 | 4 | 14 | 74 | 11 | 4 | 7 | 4 | 8 | 3 | 1 | | | |
| Percent in Category | | | 39.5% | 53.0% | 1.9% | 5.6% | 39.5% | 1.9% | 6.5% | 34.4% | 5.1% | 1.9% | 3.3% | 1.9% | 0.0% | 3.7% | 1.4% | 0.5% | 0.0% | 0.0% |
| Percent of Availability | | | | | | | 10.8% | 0.1% | 2.2% | 17.9% | 4.9% | 0.1% | 0.7% | 19.9% | 0.3% | 3.9% | 29.4% | 8.0% | 0.3% | 1.3% |
| Percent Underutilized | | | | | | | | | | | | | | 18% | | 0% | 28% | 8% | | 1% |
| Underutilized (Yes/No) | | | | | | | | No | No | No | No | No | No | Yes | No | No | Yes | Yes | No | Yes |
| Number Needed to Reach Parity | | | | | | | | | | | | | | 38 | | | 60 | 16 | | 2 |
| Planned percent increase Year 1 | | | | | | | | | | | | | | 4.500% | | | 7.000% | 1.875% | | 0.000% |
| Planned percent increase Year 2 | | | | | | | | | | | | | | 4.500% | | | 7.000% | 1.875% | | 0.650% |
| Planned percent increase Year 3 | | | | | | | | | | | | | | 4.500% | | | 7.000% | 1.875% | | 0.000% |
| Planned percent increase Year 4 | | | | | | | | | | | | | | 4.500% | | | 7.000% | 1.875% | | 0.650% |

Notes: Current Workforce data obtained from the Caltrans FYY17 EEO-4 Report. Percent of Availability data obtained from the California Employment Development Department's (EDD) Labor Force Data website. EDD's data is from the 2006-2010 American Community Service. The recruiting area considered for this analysis is the State of California.

GOALS AND TIMETABLES

GOALS AND TIMETABLES

GOALS FROM 2012 APPROVED SUBMITTAL

Caltrans' FFY 2013 EEO Goals ([Appendix 9, pages 109-118](#)) were from the FFY 2012 Annual Self-Assessment Elements report that broadly defined strategies and were not quantitative or timebound. The 2016 submittal contains quantitative data.

To assess the last approved EEO Plan submitted (FFY 2012) to the FTA, the FFY 2013 Plan's Accomplishments and Districts' responses were used to create an index to quantify progress toward their individual district goals. The table below reflects the progress for the last reporting period's approved submittal:

| District | % of FFY 2013 Goals Completed | Number of Items Completed | Reasons for Not Achieving Goals |
|----------|-------------------------------|---------------------------|---|
| 1 | 70% | 7/10 | For most Districts, it varied: duties were shifted to Human Resources, some goals were mis-stated, re-prioritized, or in some cases unknown. District 9's EEO Officer retired and they do not have access to this information. |
| 2 | 100% | 6/6 | |
| 3 | 83% | 10/12 | |
| 4 | 89% | 8/9 | |
| 5 | 100% | 3/3 | |
| 6 | 91% | 10/11 | |
| 7 | 88% | 11.5/13 | |
| 8 | 92% | 12/13 | |
| 9 | 0% | 0/2 | |
| 10 | 92% | 11/12 | |
| 11 | 75% | 5/7 | |
| 12 | 85% | 11/12 | |

GOALS FROM PREVIOUS SUBMISSION - SEPTEMBER 2016

In Caltrans' 2016 submittal, total hiring goals ([Appendix 8, pages 103-108](#)) were identified, along with short-term goals. Most classifications have a 25% of total goal for 2017. For Highway/Landscape Maintenance Workers identified short-term goals were for 2018. Goals that were achieved are indicated by a red asterisk (*). For the unmet hiring goals, we will need to collect the appropriate data to provide some basis for determining root cause. The collection of Applicant hiring data will help to understand potential areas for investigation and development of strategies to better meet our hiring goals. EEOP will

GOALS AND TIMETABLES

convene a Lean 6-Sigma cross-functional team by June 2019 to develop a process for collecting and sharing the necessary data. Lean 6-Sigma is a continuous improvement methodology to standardize processes, eliminate unnecessary steps, and to increase efficiencies.

Caltrans is currently contracting a consultant to review the Department’s hiring, promotions, and training processes—to help identify any disparate impacts to communities of color, women, or disabled persons. Data collection and performance measures will be components of the effort. EEO data is collected on a voluntary basis and is based upon self-identification. Accordingly, the reliability of the EEO data can be impacted by incomplete or inaccurate reporting.

| Target Group | Goal | Status |
|---|--|--|
| Disabled Persons | *Complete Caltrans’ Disability Awareness Online Training | Completed 2016 |
| Disabled Persons | *Continue to promote Disability Awareness Training | Done |
| Asian, Filipino, Pacific Islander | Hire 8 Electrical Engineering Technicians (2 by 2017) | Hired 0 by 12/31/18 |
| | Hire 6 Data Processing Managers (2 by 2017) | Hired 0 by 12/31/18 |
| | * Hire 48 Information Systems/Systems Software (12 by 2017) | Hired 29 by 12/31/18 |
| | Hire 7 Rail Transportation Service (2 by 2017) | Hired 1 by 12/31/18 |
| | Hire 28 Highway/Land Maintenance Workers, #210 (Entry-Level). Hire 18 by 2018, as divided by District below. Numbers are rounded: *District 3 – 4 *District 4 – 6 District 7 – 5 *District 11 – 1 District 12 – 2 | District 3 – Hired 3 by 12/31/18 District 4 – Hired 9 by 12/31/18 District 7 – Hired 3 by 12/31/18 District 11 – Hired 1 by 12/31/18 District 12 – Hired 0 by 12/31/18 |
| Asian, Filipino, Pacific Islander (continued) | Hire 28 Highway/Land Maintenance Workers, #125 (Leads and Managers) 7 by | |

GOALS AND TIMETABLES

| | | |
|------------------------|---|--|
| | 2018 as divided by District below. Numbers are rounded: District 3 – 3 District 7 – 4 | District 3 – Hired 0 by 12/31/18 District 7 – Hired 0 by 12/31/18 |
| Black/African-American | Hire 17 Black/African-American Land Surveyors (5 by 2017) | Hired 1 by 12/31/18 |
| Hispanic | Hire 377 Highway/Land Maintenance Workers #125 (Leads and Managers). Hire 95 by 2018 as divided by District below. Numbers are rounded: District 2 – 13 District 3 – 12 District 4 – 10 District 6 – 12 District 7 – 17 District 8 – 12 District 9 – 9 District 10 – 3 District 12 – 7 | District 2 – Hired 0 by 12/31/18 District 3 – Hired 1 by 12/31/18 District 4 – Hired 0 by 12/31/18 District 6 – Hired 1 by 12/31/18 District 7 – Hired 3 by 12/31/18 District 8 – Hired 2 by 12/31/18 District 9 – Hired 0 by 12/31/18 District 10 – Hired 0 by 12/31/18 District 12 – Hired 1 by 12/31/18 |
| Women/Female | Hire 16 Engineering Geologists/Geologists (4 by 2017) | Hired 0 by 12/31/18 |
| | Hire 47 Land Surveyors (12 by 2017) | Hired 10 by 12/31/18 |
| | Hire 324 Highway/Land Maintenance Workers #210 (Entry-Level). Hire 81 by 2018, 25% by 2018 as divided by District below. Numbers are rounded: District 1 – 25% of 25 = 6 *District 2 – 25% of 30 = 8 District 3 – 25% of 65 = 16 *District 4 – 25% of 40 = 10 District 5 – 25% of 23 = 6 | Hired 89 Total by 12/31/18 District 1– Hired 3 by 12/31/18 District 2– Hired 8 by 12/31/18 District 3– Hired 9 by 12/31/18 District 4– Hired 18 by 12/31/18 District 5– Hired 0 by 12/31/18 District 7– Hired 17 by 12/31/18 District 8– Hired 20 by 12/31/18 District 11– Hired 4 by 12/31/18 District 12– Hired 0 by 12/31/18 |

GOALS AND TIMETABLES

| | | |
|--|--|---|
| | District 7 – 25% of 70 = 18 District 8 – 25% of 36 = 9 District 11 – 25% of 22 = 6 District 12 – 25% of 13 = 3 | |
| | Hire 85 Highway /Landscape Maintenance Workers #125 (Leads and Managers). Hire 22 by 2018, 25% by 2018 as divided by District below. Numbers are rounded: District 1 – 25% of 14 = 7 District 2 – 25% of 20 = 5 District 3 – 25% of 14 = 4 District 6 – 25% of 9 = 2 District 9 – 25% of 22 = 6 District 10 – 25% of 6 = 2 | District 1– Hired 0 by 12/31/18 District 2– Hired 0 by 12/31/18 District 3– Hired 0 by 12/31/18 District 6– Hired 1 by 12/31/18 District 9– Hired 0 by 12/31/18 District 10– Hired 0 by 12/31/18 |

OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY OBJECTIVES

- To obtain/maintain a workforce representative of California's diverse labor force.
- To maintain a work environment free of discrimination as required by Title VII of the 1972 Equal Employment Opportunity Act, California Government Code, section 19702, the Age Discrimination Act, laws pertaining to persons with disabilities, and other related laws.
- To ensure that departmental programs, services and/or benefits are administered equally and fairly to participants or beneficiaries in accordance with applicable state and federal laws.
- To monitor the Department's compliance with the Dymally-Allatorre Bilingual Services Act of 1973.

GENERAL OBJECTIVES

- Provide a statistical evaluation on the Department's efforts to address underutilization.
- Enhance the effectiveness of the Office of Equal Employment Opportunity in serving Districts and Headquarters management staff.

GOALS AND TIMETABLES

- Continue to make the Statewide “Affirmative Action Plan” available to Caltrans’ employees.

GOALS AND TIMETABLES

The numbers needed to address underutilization for various ethnicities and genders in specific occupational groups are reflected in the charts below. Short-Term and Long-Term goals are quantified in both percentage and numerical goals using the whole person rule.

Hispanic/Latino (H/L)

| Ethnicity/ Gender | Occupational Group | Short-Term Goals | | Long-Term Goals | | Total Hires |
|----------------------|----------------------------|------------------|----------------|-----------------|----------------|----------------|
| | | Year 1 | Year 2 | Year 3 | Year 4 | |
| H/L Male | Officials & Administrators | 1.025 % 21 | 1.025 % 21 | 1.025 % 21 | 1.025 % 22 | 85 |
| H/L Female | Professionals | 1.25 % 106 | 1.25 % 106 | 1.25 % 106 | 1.25 % 107 | 425 |
| H/L Female | Technicians | 2.125 % 19 | 2.125 % 19 | 2.125 % 19 | 2.125 % 20 | 77 |
| H/L Male | Protective Service | 0 % 0 | 7.9 % 1 | 0 % 0 | 7.9 % 1 | 2 |
| H/L Male | Administrative Support | .675 % 8 | .675 % 8 | .675 % 9 | .675 % 9 | 34 |
| H/L Female | Administrative Support | 2.35 % 19 | 2.35 % 19 | 2.35 % 20 | 2.35 % 20 | 78 |
| H/L Male | Skilled Craft | 4.325 % 209 | 4.325 % 209 | 4.325 % 209 | 4.325 % 210 | 837 |
| H/L Female | Skilled Craft | .2 % 8 | .2 % 8 | .2 % 9 | .2 % 9 | 34 |
| H/L Female | Service – Maintenance | 7 % 15 | 7 % 15 | 7 % 15 | 7 % 15 | 60 |

Black/African American (B)

| Ethnicity/ Gender | Occupational Group | Short-Term Goals | | Long-Term Goals | | Total Hires |
|----------------------|-----------------------|------------------|--------|-----------------|--------|----------------|
| | | Year 1 | Year 2 | Year 3 | Year 4 | |

GOALS AND TIMETABLES

| | | | | | | |
|----------|---------------|--------------|--------------|--------------|--------------|-----|
| B Female | Professionals | .425 % 37 | .425 % 37 | .425 % 37 | .425 % 38 | 149 |
| B Female | Technicians | .3 % 2 | .3 % 2 | .3 % 3 | .3 % 3 | 10 |

Asian (A)

| Ethnicity/ Gender | Occupational Group | Short-Term Goals | | Long-Term Goals | | Total Hires |
|----------------------|----------------------------|------------------|--------------|-----------------|--------------|----------------|
| | | Year 1 | Year 2 | Year 3 | Year 4 | |
| A Male | Officials & Administrators | .175 % 3 | .175 % 4 | .175 % 4 | .175 % 4 | 15 |
| A Female | Professionals | .325 % 28 | .325 % 29 | .325 % 29 | .325 % 29 | 115 |
| A Female | Technicians | .625 % 5 | .625 % 5 | .625 % 6 | .625 % 6 | 22 |
| A Male | Skilled Craft | .575 % 27 | .575 % 28 | .575 % 28 | .575 % 28 | 111 |
| A Female | Skilled Craft | .15 % 6 | .15 % 7 | .15 % 7 | .15 % 7 | 27 |
| A Female | Service - Maintenance | 1.875 % 4 | 1.875 % 4 | 1.875 % 4 | 1.875 % 4 | 16 |

American Indian/Alaska Native (AI/AN)

| Ethnicity/ Gender | Occupational Group | Short-Term Goals | | Long-Term Goals | | Total Hires |
|----------------------|-----------------------|------------------|------------|-----------------|------------|----------------|
| | | Year 1 | Year 2 | Year 3 | Year 4 | |
| AI/AN Female | Professionals | .025% 1 | .025% 2 | .025% 2 | .025% 2 | 7 |

Native Hawaiian and Other Pacific Islander (NHOPI)

| Ethnicity/ Gender | Occupational Group | Short-Term Goals | | Long-Term Goals | | Total Hires |
|----------------------|-----------------------|------------------|----------|-----------------|-----------|----------------|
| | | Year 1 | Year 2 | Year 3 | Year 4 | |
| NHOPI Female | Professionals | 0 % 0 | 0 % 0 | 0 % 0 | .1 % 1 | 1 |

GOALS AND TIMETABLES

Multiracial (M)

| Ethnicity/ Gender | Occupational Group | Short-Term Goals | | Long-Term Goals | | Total Hires |
|----------------------|--------------------------|------------------|-------------|-----------------|-------------|----------------|
| | | Year 1 | Year 2 | Year 3 | Year 4 | |
| M Female | Technicians | .175 % 1 | .175 % 1 | .175 % 2 | .175 % 2 | 6 |
| A Female | Service - Maintenance | 0 % 0 | .65 % 1 | 0 % 0 | .65 % 1 | 2 |

White (W)

| Ethnicity/ Gender | Occupational Group | Short-Term Goals | | Long-Term Goals | | Total Hires |
|----------------------|---------------------------|------------------|---------------|-----------------|---------------|----------------|
| | | Year 1 | Year 2 | Year 3 | Year 4 | |
| W Female | Professionals | 5.15 % 440 | 5.15 % 440 | 5.15 % 440 | 5.15 % 441 | 1761 |
| W Female | Technicians | 2.5 % 22 | 2.5 % 23 | 2.5 % 23 | 2.5 % 23 | 91 |
| W Female | Administrative Support | 3.05 % 38 | 3.05 % 38 | 3.05 % 39 | 3.05 % 39 | 154 |
| W Female | Service Maintenance | 4.5 % 9 | 4.5 % 9 | 4.5 % 10 | 4.5 % 10 | 38 |

ASSESSMENT OF EMPLOYMENT PRACTICES

MERIT SYSTEM REQUIREMENTS

The California State Department of Human Resources (CalHR) governs and/or prescribes the statewide hiring practices, classifications, examinations, probationary periods, and disciplinary actions and audits Departments for compliance with civil service standards. The Caltrans Division of Human Resources (DHR) works closely under the advisement of CalHR to ensure the Department is proactive and complies with all requirements, including EEO-related regulations. Additionally, the California State Personnel Board (SPB) provides oversight for the state's merit-based selection process to ensure equitable hiring processes.

Recruitment Procedures

The Caltrans Recruitment Branch is dedicated to recruiting and retaining a qualified workforce utilizing merit, excellence, and equal employment opportunities free from all forms of discrimination. The Recruitment Branch has developed a Statewide Recruitment Plan to support this effort, which includes participation in Career Fairs, Adopt-a-School, the American Association of State Highway and Transportation Officials (AASHTO) Transportation and Civil Engineering (TRAC) educational outreach program. Caltrans offers long-term recruitment tools such as the Volunteer Program, affording people opportunities to gain work experience that qualifies for civil service exams and partnering with approximately 47 colleges throughout the State of California as part of the Student Assistant Program. The Caltrans Recruitment Plan targets a variety of diverse demographics such as veterans, professional career associations, high schools, colleges, and youth organizations, in an effort to establish a workforce that reflects the diversity of California.

Examination Procedures

The examination processes utilized by the Office of Examination Services comply with existing legal and professional standards and principles as outlined by a myriad of legal and professional references. These include: Uniform Guidelines on Employee Selection Procedures, the Civil Rights Acts of 1964 and 1991, the Americans with Disabilities Act, the California Fair Employment and Housing Act, the Principles for the Validation and Use of Personnel Selection Procedures, the Standards for Educational and Psychological Testing, California Government Code and Regulations, State Personnel Board Rules, the Merit Selection Manual, relevant court decisions, and professional literature.

ASSESSMENT OF EMPLOYMENT PRACTICES

The Examination process is headlined by the following principles:

- Using soundly developed, job-related examination processes and individual selection procedures, developed based upon job analytic data, subject matter expert input/expertise, and in adherence to recognized legal and professional standards.
- Using selection procedures appropriate to assess the knowledge, skills, abilities (KSAs) identified as important for successful job performance and required upon entry to the job.
- Documentation linking the content of the examination to the content requirements of the job classification for which the examination process is conducted.
- Using job-related scoring criteria to assess candidate qualifications and performance.
- Using job-related, defensible pass points.
- The establishment of eligible lists which 1) comprise those candidates who have competitively demonstrated their competency to perform in the job classification, and 2) indicate in score-order those candidates who have demonstrated greater levels of competency to perform in the job classification.

The Office of Examination Services ensures that the Subject Matter Experts (class incumbents and supervisors thereof) utilized in the examination process represent various Districts and Program areas where the classification is used. The Subject Matter Experts (SMEs) review current job specifications, duty statements, prior job analyses, job manuals and reference guides to identify and define the most critical class requirements (CCRs), knowledge, skills, abilities, personal characteristics, and essential tasks associated with a particular classification. This process ensures statewide representation of the classification and an equal opportunity for the candidates in the examination process.

The Office of Examination Services ensures that exam proctors and chairpersons are properly certified in accordance with State Personnel Board and California Department of Human Resources (CalHR) requirements. During the scoring phase, the Office of Examination Services utilizes State Service Representatives and consistently applied rating criteria, to ensure all candidates are evaluated in the same manner. In setting pass points, the Office of Examination Services reviews statistical data to ensure that underrepresented minority groups are not disadvantaged by the content of the examination. The Office of Examination Services is committed to ensure that all

ASSESSMENT OF EMPLOYMENT PRACTICES

candidates are provided a fair and equitable opportunity to demonstrate their qualifications for employment.

Civil service examinations are offered on an Open (any candidate may compete who meets the minimum qualifications of the classification being examined. Veteran's Preference will apply to qualifying veterans who pass the examination), Promotional (any State employee may compete who has a permanent appointment with Caltrans; or had a permanent appointment with Caltrans in the last three years without a break in State civil service; or is a current/former employee of the Legislature for two or more years; or is a current/former non-elected exempt employee of the Executive Branch for two or more years; or an honorably discharged veteran; and who meets the minimum qualifications of the classification being examined), or open non-promotional (any candidate may compete who meets the minimum qualifications of the classification being examined. Currently employed Caltrans employees that pass the examination will have Career Credits applied to their final score. Veteran's Preference will apply to qualifying veterans who pass the examination.

Hiring Procedures

Hiring practices are governed by CalHR. To initiate the hiring process, a Position Action Request Form (PARF) (PM-0141) must be completed and PARF package submitted to the Division of Human Resources (DHR).

The Division of Human Resources (DHR) maintains an automated PARF Log that tracks PARFs throughout the hiring process. Once the supervisor has submitted their PARF package, they may contact their Classification & Hiring Analyst or Personnel Liaison to determine the PARF's status.

Documents that must be included in the PARF package are:

- Current duty statement (less than 30 days old)
- Position advertisement
- Screening criteria
- Division's organizational chart that clearly identifies the vacant position(s)
- Completed Hiring Considerations Form and proposed duty statement & proposed organizational chart (if requesting to reclassify a position)

The duty statement thoroughly describes the actual tasks (duties) required for the position, indicating the percentage of time required to perform these duties, whether the

ASSESSMENT OF EMPLOYMENT PRACTICES

duties are essential or marginal, the organizational setting, and major functions of the unit. An employee may indicate a need for a reasonable accommodation on the duty statement. For assistance with creating a duty statement, the "Supervisor's Guide to Developing Duty Statements" is available on DHR's website.

Organizational charts reflect an accurate picture of the division, containing all positions, including positions of employees on a leave of absence, loan, temporary assignments, etc. DHR reviews and evaluates each PARF package to ensure the duties and classification level are appropriate, and that the manager/supervisor staffing ratio is aligned with Caltrans' goals.

Recruitment

The hiring supervisor may use a variety of methods to recruit candidates for vacant positions. Procedures outlined in this section are typical during non-freeze periods and restrictions may apply. A signed and dated Examination/Employment Application (STD 678) is required from all applicants. Departments cannot require candidates to provide proof of list eligibility or exam scores, though they may request that applicants indicate their method of eligibility for appointment (e.g., list eligibility, transfer eligibility, etc.) on their application.

Advertisement

Vacant positions, regardless of the position's tenure or time-base, must be advertised on the CalHR website for a minimum of ten (10) working days (excluding holidays and weekends). Exceptions to this process are rare and require DHR Division Chief approval. The position advertisement should list desirable qualifications/skills needed for the position.

The following types of appointment do NOT require advertisement:

- Conversion of Training and Development (T&D) assignments to permanent appointments
- Conversion of Limited-Term appointments to Permanent/Full Time (originally advertised as "may be converted to Permanent/Full Time at a later date")
- Mandatory Reinstatements
- Promotions-in-Place
- Qualified Injured Worker (QIW) placements
- Rotation of employees within the same class, in the same district/division/region (with concurrence of both employees and supervisors)
- Time base increases (in current position)

ASSESSMENT OF EMPLOYMENT PRACTICES

Seniority Practices - Post and Bid

The Post and Bid Process has been negotiated for employees in Bargaining Units (BU) 9, 11, 12, & 13, and to a very limited extent in BU 1. The Post and Bid (P&B) is a process that occurs when vacant positions are defined as a permanent full-time position that are unoccupied as a result of retirement, transfer, termination, resignation, reassignment, new position, promotion, change in tenure to permanent, or new funding. A bid announcement is placed both at the work site and online. There is no selection process. Therefore, there will be no interviews or other criteria taken into consideration other than the negotiated contract terms that define an eligible bidder. At the close of the P&B process, the program sends a list of bidders to their Classification and Hiring (C&H) Analyst to verify eligibility and seniority. The analyst will refer any questions or issues related to contract Memorandum of Understanding interpretation to Labor Relations. Once the bidder has accepted the job offer, the Action Request Form (ARF) and all bid applications are scanned to their C&H analyst for audit purposes.

Employment Opportunity Transfer

The Employee Opportunity Transfer (EOT) process has been established for employees in BUs 3, 15, and 21. It allows employees to transfer to a different location in their current classification. Candidates are placed on a list according to seniority based upon service in the class with Caltrans. EOT may bypass hiring steps normally required, such as advertising and interviewing, resulting in a more expedient method of filling vacant positions. However, once the EOT process has begun, the supervisor must continue with this process to fill the position.

Certification Lists

Certification of eligible lists resulting from State service examinations may be used to recruit candidates. The hiring supervisor may request that contact letters be sent to a specific number of candidates on the certified eligible list. In certain circumstances, telephone contacts may be utilized in lieu of sending contact letters to candidates. Prior to using any of these methods, the C&H Analyst may have to contact eligible candidates with Reemployment, State Restriction of Appointment (SROA), and/or surplus status on a certified eligible list.

The hiring supervisor completes a Confirmation Notice Regarding Eligibility for Appointment form (PM-0183) for candidates on the certified eligible list who express an interest or apply for the position and later decline an interview or a job offer.

ASSESSMENT OF EMPLOYMENT PRACTICES

The completed Confirmation Notice Regarding Eligibility for Appointment form will be attached to the PARF package. Completing this form documents the candidate's change in interest in the vacancy and allows DHR's Certification Unit to record the candidates' response directly onto the official certified eligible list by evaluating the candidate's application.

Methods of Filling Positions

A variety of appointment methods can be utilized to fill a vacancy. Typical appointment methods include:

- Open/New Hire
- Promotions, Demotions
- Lateral Transfers
- Transfer Change in Class (TCIC)
- Reinstatements (permissive or mandatory)
- Post and Bid Process
- Limited Examination and Appointment Program (LEAP)
- Training and Development Assignment (T&D)
- Out-of-Class Assignment (Temporary Assignment)
- Retired Annuitant

Candidate Selection

Once the recruitment process generates a candidate group, there are six critical steps for selecting the best candidate to fill the vacant position:

- Screen Applications
- Select the Interview Panel
- Develop Interview Questions
- Conduct Interviews
- Check Candidate's References and Official Personnel File (OPF)
- Verify Candidate's Eligibility for Appointment

The hiring supervisor identifies another person (who has no intention of applying for the position) to receive all employment applications. This person will date-stamp or manually indicate receipt by legibly signing and dating the application.

Applications for advertised Maintenance vacancies will be received by the Office of Classification & Hiring Services. The screening criteria form complete with names of all applicants will be provided to the hiring supervisor with all applications received.

ASSESSMENT OF EMPLOYMENT PRACTICES

Screen Applications

To screen applications, the supervisor must first establish objective application screening criteria based on job-related factors such as supervision, technical laws/rules, license requirements, operation of a certain type of equipment, etc. All screening criteria must relate to the duty statement and class specification. Criteria must be something that can be determined by reviewing the completed job application. Screening criteria must be established before any applications are viewed or received.

Select the Interview Panel

State and federal laws mandate that individuals not be excluded from participation in any employment process because of their race, sex, color, religion, national or ethnic origin, genetic information, age, political affiliation, ancestry, marital status, sexual orientation, disability, medical condition or any other factors which cannot lawfully be supported as the basis for employment action.

Hiring supervisors should select panel members from their District or Program familiar with the job requirements, interview practices, and Caltrans' EEO policies/directives. Supervisors are encouraged to contact the EEO Office for assistance regarding applicable regulations.

A minimum of two panel members will be present in the interview process. Panel members should be in a classification higher than the position being filled. Caltrans is currently establishing a requirement calling for the participation of an EEO-certified interviewer to be on every panel.

Interview Questions

The interview allows a hiring supervisor to assess whether an applicant has the knowledge, skills, and abilities needed to perform the duties associated with a vacant position. To ensure an equitable hiring process, the hiring supervisor must base interview questions on job-related criteria. Supervisors develop and utilize interview questions that cover the duty statement, including critical job requirements and essential job functions posted in the job announcement. All candidates are asked the same questions and rated using the same scale. The questions should elicit comparable information from each candidate based on the requisite skill set required to succeed in the position.

The District/Program EEO Officer is available to assist the hiring supervisor with preparing nondiscriminatory interview questions.

ASSESSMENT OF EMPLOYMENT PRACTICES

The hiring supervisor develops questions that will determine the relationship between the applicant's experience and the qualifications required for the position. Panel members may also question an applicant about any information contained in their application.

Areas to Question:

- Experience: Identify experience, which would indicate the candidate's ability to handle the duties and responsibilities of the position. Consider the level of responsibility and time served.
- Education: Questions regarding formal education can relate to fields of concentration, subjects, and benefits derived.
- Related Knowledge: When interviewing candidates with little or no experience, or when the education of competitors is not recent or current, additional information may be desirable.
- Personal Qualifications: The panel may consider "demonstrated interest in the field" and/or efforts in self-improvement and developing technical and professional competence.
- Specific: Some class specifications include "special personal requirements" such as open-mindedness, flexibility, the ability to act independently, etc. Refer to the classification specification to find specific personal requirements. Design questions that require the applicant to demonstrate the relationship between his/her experience and the personal requirements listed in the class specification.

What Not to Ask

The interviewer will avoid asking the following questions:

- Age of the applicant
- Marital/family status
- Applicant's ethnic origin
- Applicant's religious preference
- Applicant's sexual preference
- Whether the applicant has a disability
- If the applicant was ever arrested
- If the applicant has served in the armed forces of another country
- If the applicant has ever had his/her wages garnished or declared bankruptcy
- How the applicant will get to work
- How many hours of leave the applicant has on the books

ASSESSMENT OF EMPLOYMENT PRACTICES

- If the applicant is for/against unions or whether the applicant has ever been a union member
- Questions related to the applicant's political party affiliation
- Any other questions not related to merit or excellence of qualifications

Note: Panel members take notes on the applicant's qualifications during the interview. The hiring supervisor maintains all records including applications, questions and notes for a minimum of three years. It is expected that if a challenge to the merit of the hiring process arises, the hiring supervisor will produce these records.

Discussion of Candidate's Qualifications

After the interview, panel members will objectively discuss each competitor's qualifications. The discussion will be directed by such questions as:

- What evidence do we have of the applicant's leadership ability?
- In light of the interview, how successful would he/she be in meeting the public?
- In view of the attitudes displayed, how well would he/she get along with coworkers under the working conditions of the job?
- In discussing the relative qualifications of a number of applicants, the matter of specific rankings can be discussed.

Note: All discussions concerning applicants are confidential and must remain solely among panel members.

Assign Ratings

Ratings are to be based on information discussed during the interview or on the applicant's observable behavior that relates to his/her ability to perform the duties of the job effectively.

DHR recommends the use of a numerical rating scale to objectively quantify the candidate's response to each interview question. When rating an interview, the panel will consider critical job requirements and their relative importance to overall function of the duties associated with the position.

The factor ratings and overall ratings are estimates of the applicant's potential success in the position for which he/she is competing. The ratings are not judgments of the applicant's effectiveness in his/her current job.

Note: Managers or supervisors will not ask questions during the interview or reference checking process that may prompt disclosure of a disability or medical condition. The

ASSESSMENT OF EMPLOYMENT PRACTICES

manager or supervisor may ask questions related to attendance if it is related to an essential function of the job.

TRAINING

Caltrans' policy is to provide equal employment opportunities and the appropriate career tools to all employees interested in advancement.

Training offered by EEOP:

- Sexual Harassment & EEO Overview for Managers and Supervisors course identifies different types of sexual harassment in the workplace, federal/state/Caltrans policies and laws prohibiting sexual harassment, measures taken to prevent occurrences, supervisor and employee responsibilities, consequences and costs of sexual harassment, and assistance for sexually harassed victims. It also includes a discussion of the discrimination complaint process. This is a hands-on interactive training class.
- Sexual Harassment Prevention & EEO Overview for Rank and File employees course identifies different types of sexual harassment in the workplace, federal/state/Caltrans policies and laws prohibiting sexual harassment, measures taken to prevent occurrences, supervisor and employee responsibilities, consequences and costs of sexual harassment, and assistance for sexually harassed victims. It also includes discussion of the formal discrimination complaint process.
- Diversity Awareness Training for Managers & Supervisors: We Need to M.E.E.T. course is a how-to program that helps managers and supervisors learn how to promote a respectful and inclusive working environment, while maintaining the organization's laws, policies, and values.
- Diversity Awareness Training for Rank & File: M.E.E.T. on Common Ground course is designed to teach participants how to recognize, respond to, and resolve difficult interactions that can stem from individual and cultural differences.
- Disability Awareness Training comprises eleven modules. This class provides an interactive opportunity to experience how various disabilities make simple life activities difficult.

Caltrans Learning and Development Office

The Caltrans Learning and Development Office (LDO) is responsible for the continuous improvement of Caltrans employees' skills and knowledge by providing effective and sustainable training methods to develop a highly skilled, professional, and ethical

ASSESSMENT OF EMPLOYMENT PRACTICES

workforce. Courses are prepared in-house by Caltrans LDO. To extend training capacity, the Department has secured an enterprise license for Lynda.com, an online, on-demand training platform to deliver a broad spectrum of soft-skills and technical training, including Managing Diversity, Inclusive Leadership, and Diversity Recruiting.

LDO includes EEO concepts into their daily business operations by providing reasonable accommodation (visual and audio) to trainees and ensuring purchased videos are closed captioned. LDO partners with the EEOP to include EEO concepts and directives into their projects as they are developed.

LDO maintains a database of the training histories for all employees. LDO reviews profiles of training course participants so that training opportunities are being offered to all eligible employees equally. LDO works closely with the EEOP to correct any inequities discovered.

First-line supervisors are the primary decision makers in developing their work force. They are accountable to see that employees with a justifiable skill need are sent to the appropriate training courses. Not all employees require formal training. Training may be accomplished through on the job training and computer-based training.

Categories of Training

There are six categories of training activities. Categories one (1) through three (3) are Supervisor Assigned Programs, and categories four (4) through six (6) are voluntary programs. The following is a description of each category:

- **Category 1: Mandated Training**
Attendance is mandatory for a specified target audience as prescribed by law, code, departmental directive (Director's Policy), or functional management decision (Deputy Directive).
- **Category 2: Job-Required Training**
Attendance is required to assure adequate performance in a current assignment. This provides essential skills to allow a person to perform satisfactorily as described in the position/job duty statement.
- **Category 3: Job-Related Training**
Attendance will increase job proficiency. This includes training, which will improve job performance above the accepted level of competency established for a specific job assignment.
- **Category 4: Upward Mobility Program**

ASSESSMENT OF EMPLOYMENT PRACTICES

Upward mobility required by California State law (Government Code Section 19400-19406). Each State Department is required to establish an effective upward mobility program for its employees in traditional "low-paying" occupations. An upward mobility program is the development and advancement of employees in low-paying occupations into entry-level technical, professional and administrative (TPA) occupations.

- **Category 5: Special Programs**

Special training where management sees specific benefit to the Department or the State and is willing to contribute more than authorized under career-related category. Special Programs training is voluntary and does not have to be related to a current job assignment. Training in this category is directed toward achieving special departmental objectives.

- **Category 6: Career-Related Training**

Attendance will assist in development of career potential and is intended to help provide an opportunity for self-development while also assisting in the achievement of a Department's or the State's mission other than upward mobility goals.

California Department of Human Resources

In addition to Caltrans' internal training courses/programs, Caltrans' employees have the option of enrolling in CalHR's training courses. CalHR offers many training opportunities in the forms of traditional classroom-based training, webinars, free e-books, books state employees can check out, academic journals and periodicals, articles and many helpful resources.

EMPLOYEE DEVELOPMENT

Upward Mobility Program

It is Caltrans' policy to provide equal employment opportunities and the appropriate career "tools" to facilitate upward movement for qualified employees interested in advancement. This includes developing and setting goals and timetables that reflect the number of employees expected to transition from low-paying positions to entry-level technical, professional, and administrative (TPA) positions.

The UMP provides employees with the information regarding options and possibilities for upward mobility and career development at Caltrans. The Upward Mobility Program is a

ASSESSMENT OF EMPLOYMENT PRACTICES

tool for providing equal employment opportunities to all qualified Caltrans employees in low-paying occupations.

Employees can take advantage of Upward Mobility Opportunities with departmental or personal training courses, job transfers, and training and development (T&D) assignments. Employees participating in the Upward Mobility Program will prepare a Career Development Plan. The completed plan is discussed with the employee's immediate supervisor and used as a guide for employee mobility and training opportunities.

Existing Methods of providing upward mobility include:

- Career counseling and/or appropriate academic counseling
- Examination Preparation workshops
- Training Opportunities
- Personnel appointments:
 - Training and Development assignments (T&D)
 - Lateral Transfers
 - Job sharing
 - Temporary authorization appointments (TAU) (Used only with State Personnel Board approval)
- Use of bridging classifications:
 - Accounting Technician
 - Executive Secretary I
 - Executive Secretary II
 - Office Technician (General)
 - Service Assistant (Engineering)
 - Management Services Technician
 - Office Assistant (General)
 - Office Assistant (Typing)
 - Rotational Assignments
 - Restructuring Positions
 - On-the-Job Training or Special Assignments

COMPENSATION AND BENEFITS

The Division of Human Resources (DHR) provides essential support services to Caltrans' employees and members of the public in the following areas: Classification and Hiring Services; Exam and Recruitment Services; Career Executive Assignment (CEA) and

ASSESSMENT OF EMPLOYMENT PRACTICES

Exempt Services, Worker's Compensation and Reasonable Accommodation; Transaction Services (Payroll and Benefits); Organizational Management; and Staff Central Online Time Support Desk (OTSD).

Caltrans is a public-sector government organization and is subject to regulatory oversight by control agencies. Wages, compensation, and benefits for managers and supervisors are set by the California Department of Human Resources and approved by the California Legislature. Wages, compensation, and benefits for rank and file employees are negotiated in a collective bargaining process which is conducted on behalf of Caltrans by CalHR with labor unions. Wages, compensation, and benefits are uniform for classification and range and employees are not subject to differential or preferential treatment by hiring managers or other entities. All wages, benefits, policies, and procedures are uniformly implemented across all California State government. Additionally, the California State Personnel Board's role is to ensure that all selection processes are based solely on merit. Because of California's State laws, regulations, control agencies, and collective bargaining, all benefits and conditions of employment are uniformly and equitably available to all employees.

DISCIPLINARY PROCEDURES AND TERMINATION PRACTICES

The below listed offices handle all employee personnel actions, adverse actions, and grievances:

Office of Labor Relations

The Office of Labor Relations (LR) represents the Department in assisting the chief negotiator from CalHR at the bargaining table for Memoranda of Understandings (MOUs). MOUs determine the terms and conditions of employment for approximately 19,000 represented employees. LR staff works with managers and supervisors to resolve local issues with union representatives through informal and formal meetings, the pre-grievance stage, grievance processing, and formal bargaining sessions. LR staff also trains the managers and supervisors regarding their responsibilities under collective bargaining, the MOUs, and The Fair Labor Standards Act (FLSA).

Office of Discipline Services

The Office of Discipline Services (ODS) is one of many Departmental resources available to Supervisors and Managers to address confidential personnel issues. ODS staff advises on issues regarding Supervising Probationary employees, IDPs, AWOL issues, give general discipline counseling and training, and review and edit counseling memoranda. This leads

ASSESSMENT OF EMPLOYMENT PRACTICES

up to the largest portion of its duties, which is preparing Adverse Actions and representing the Department during appeals before the State Personnel Board (SPB) and CalHR.

Civil Service employment for the State of California is administered by two agencies. CalHR was created on July 1, 2012, by Governor Brown's Reorganization Plan Number 1 of 2011. The reorganization plan consolidated the State of California's two personnel Departments, combining the Department of Personnel Administration with certain programs of SPB.

CalHR is responsible for all issues related to employee salaries and benefits, job classifications, civil rights, training, exams, recruitment and retention. For most employees, many of these matters are determined through the collective bargaining process led by CalHR.

Government Code (GC) sections 19570-19593 contain the California state law regarding State employees discipline and tenure of managerial employees. Collective Bargaining Agreements (CBA) also contain the terms and conditions of employment for represented employees. If an employee is subject to the terms of a CBA, the CBA should always be consulted. If the GC and the CBA have different processes, the process identified in the CBA is controlling and should be used in lieu of the process identified by the GC.

The discipline process is designed to provide a fair and consistent method of addressing issues of performance and conduct. The primary purpose for the discipline process is to provide an employee with the opportunity to correct a performance or behavior problem. There are 3 steps in the Progressive Discipline Process.

1. Preventative Action
2. Corrective Action
3. Adverse Action

Preventative Action

The purpose of preventative actions is to pre-empt any behavioral issues before they happen. First-line supervisors normally initiate preventive actions. These proactive steps assist employees in achieving acceptable performance on the job. Providing the employee with a Duty Statement makes the employee aware of their job duties, how to perform their duties and the performance standards by which they will be evaluated.

Employees must be given written Expectations Memo, so they are made aware of all work-related departmental policies and procedures, relevant handbooks and/or manuals,

ASSESSMENT OF EMPLOYMENT PRACTICES

their work schedule and call-in procedure, and various other expectations related to the unit. Expectation memos discuss what the consequences will be if certain expectations are not met.

Examples of preventative actions are:

1. Provide job duty statement
2. Create a favorable work environment, be approachable, listen to your staff, and be responsive to issues brought to your attention
3. Provide feedback on job performance. Conduct performance evaluations at least three times during the employees' probationary periods, and at least annually throughout their employment.
4. Offer training and development.

Corrective Action

Once the above steps (these steps are not all-inclusive) have been completed, management can determine what action is appropriate to correct any identified problem. There are four types of corrective actions below:

1. Verbal Instruction
2. Increased Monitoring
3. Corrective Interview
4. Letter of Warning

Adverse Action

Adverse Actions can be appealed to the SPB to provide due process to the employee. If corrective action is not successful, adverse action is pursued against an employee. Barring exigent circumstances and egregious acts, supervisors and managers should ensure that "just cause" has been established prior to pursuing disciplinary action against an employee. Since the adverse action impacts an employee's job status, the authority to take disciplinary action is delegated to the Department's upper management. It is imperative for supervisors and managers to keep their chain of command apprised of employee issues and any informal or formal disciplinary action taken.

Adverse Action can be taken against an employee in the form of an Official Reprimand, Reduction in Salary, Suspension without Pay, Demotion, Dismissal or Other Disciplinary Action (e.g., mandatory transfer). The process for initiating a formal disciplinary action is the same regardless of the level of action taken. The

ASSESSMENT OF EMPLOYMENT PRACTICES

supervisor is responsible for documenting the employee's misconduct or poor performance, updating their chain of command on employee issues, and requesting disciplinary action when all corrective and preventive measures have been exhausted.

Supervisors and managers should ensure that there is justification for the discipline prior to requesting disciplinary action against an employee. If the cause for the action is not legally sufficient, or if management has acted arbitrarily, capriciously, or discriminatorily, the adverse action will be overturned on appeal. The following conditions must be met to establish cause:

1. The rules or standards the employee has violated must bear a reasonable relationship to the employee's specific job and/or the goals and mission of Caltrans.
2. The employee must have notice of the rules or standards he/she is charged with violating, preferably supported by signed documentation indicating the employee received copies of the rules and standards.
3. The rules or standards must be equitably enforced. Do not single out one employee where other employees have not been disciplined for similar conduct. If enforcement has been lax in the past, put the employees on notice that the rule or standard will now be enforced. Give employees a reasonable opportunity to comply before anyone is disciplined for a violation.
4. There should be evidence that the employee was warned about the consequences of violating the rule or standard and was given an opportunity to comply. The only exception is in egregious cases where an employee may be deemed to know or should have known that the misconduct would lead to disciplinary action.
5. If disciplinary action is taken for an employee's conduct off the job, there must be either a clear connection between the misconduct and the employee's ability to effectively perform the duties of his/her position, or the misconduct must be of such a nature that, if known to the public, it could discredit either the employee or the Department.
6. Management should conduct a thorough, objective investigation to determine whether the misconduct occurred as alleged.
7. There must be sufficient evidence to support that the misconduct occurred as alleged
8. The level of the action must be appropriate to the nature of the offense, taking into account the particular employee's position, length of service, and prior work history, along with any aggravating or mitigating factors.

ASSESSMENT OF EMPLOYMENT PRACTICES

The statute of limitation is three (3) years from the act of misconduct or from the discovery of fraud. (*Government Code section 19635*)

STATISTICAL IMPACT ON EMPLOYMENT PRACTICES OF MINORITIES AND WOMEN

Because Caltrans has not consistently collected EEO data for job applicants, promotions, discipline actions, or training, we are unable to determine if there is a statistical impact. EEO data is collected on a voluntary basis and is based upon self-identification. Accordingly, the reliability of the EEO data can be impacted by incomplete or inaccurate reporting.

For an explanation of steps to develop the data required for compliance analysis, please see [Monitoring and Reporting](#).

For Terminations, the data shows no statistical impact on minorities or women. Caltrans will use the current Utilization Analysis data (submitted herein) to inform and drive our outreach and recruiting practices. Once we develop our EEO applicant data (for hiring, promotions, transfers, training, discipline), we will be able to more accurately project our needs and be better equipped to develop strategies to meet our hiring goals.

INDIVIDUALS WITH DISABILITIES AND VETERANS

Caltrans does not consistently collect EEO data for employees or applicants with disabilities, or for those with military veteran's status. Because of this, we are unable to determine if there is a statistical impact, or to assess a possible root cause for any impact.

For the unmet hiring goals, we will look at collecting the appropriate data to provide some basis for determining root cause. The collection of Applicant hiring data may help to understand potential areas for investigation and development of strategies to better meet our hiring goals. EEOP will convene a Lean 6-Sigma cross-functional team by June 2019 to develop a process for collecting and sharing the necessary data. Lean 6-Sigma is a continuous improvement methodology to standardize processes, eliminate unnecessary steps, and to increase efficiencies.

Employment Practices Charts

HIRING

Because Caltrans has not consistently collected EEO Applicant data, including data for Disabilities or Veterans, we cannot determine statistical impact at this time. EEO data is collected on a voluntary basis and is based upon self-identification. Accordingly, the reliability of the EEO data can be impacted by incomplete or inaccurate reporting. Caltrans will convene a Lean 6-Sigma, cross-functional team to review and re-design this process, beginning June 2019. Lean 6-Sigma (L6S) is an industry-recognized methodology to eliminate wasteful practices from a process, to standardize it, and to increase efficiencies. The Department has employed L6S for its commitment to continuous improvement since 2015.

ASSESSMENT OF EMPLOYMENT PRACTICES

| Job Category (Use EEO-4) | Total | | W | | A/IAN | | B | | H/L | | A | | NHOPI | | M | |
|---|-------|--------|-----|-----|-------|-----|-----|-----|-----|-----|-----|-----|-------|-----|-----|-----|
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| 1 - Officials & Administrators | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Hires | 7 | 2 | 6 | - | - | - | 1 | 1 | - | - | - | - | - | - | - | 1 |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 2 - Professionals | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Hires | 1,192 | 705 | 448 | 295 | 4 | 6 | 66 | 40 | 198 | 105 | 396 | 215 | 7 | 2 | 73 | 42 |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 3 - Technicians | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Hires | 115 | 100 | 44 | 36 | - | 3 | 5 | 15 | 15 | 18 | 30 | 24 | 1 | - | 11 | 4 |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 4 - Protective Service | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Hires | 1 | 1 | 1 | 1 | - | - | - | - | - | - | - | - | - | - | - | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 5 - Paraprofessional | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Hires | 54 | 8 | 31 | 3 | - | - | 1 | - | 17 | 2 | 5 | 3 | - | - | - | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 6 - Administrative Support | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Hires | 71 | 147 | 18 | 57 | - | 1 | 16 | 38 | 17 | 21 | 17 | 21 | 1 | 1 | 2 | 8 |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |

HIRING (continued)

ASSESSMENT OF EMPLOYMENT PRACTICES

| Job Category (Use EEO-4) | Total | | W | | AI/AN | | B | | H/L | | A | | NHOPI | | M | |
|-----------------------------------|-------|--------|-----|-----|-------|-----|-----|-----|-----|-----|-----|-----|-------|-----|-----|-----|
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 7 - Skilled Craft | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Hires | 232 | 7 | 112 | - | 2 | - | 6 | 3 | 85 | - | 17 | 2 | 3 | - | 7 | 2 |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 8 -Service-Maintenance | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Hires | 1,448 | 98 | 569 | 39 | 24 | 1 | 190 | 21 | 563 | 26 | 32 | 4 | 20 | 2 | 50 | 5 |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |

Notes:

| Persons with Disabilities | Total | | W | | AI/AN | | B | | H/L | | A | | NHOPI | | M | |
|---------------------------|-------|--------|-----|-----|-------|-----|-----|-----|-----|-----|-----|-----|-------|-----|-----|-----|
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Hires | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Veterans | Total | | W | | AI/AN | | B | | H/L | | A | | NHOPI | | M | |
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Hires | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |

ASSESSMENT OF EMPLOYMENT PRACTICES

TRANSFERS/PROMOTIONS

Because Caltrans has not consistently collected EEO Promotions data, neither for applicants or for those promoted, we cannot determine statistical impact at this time. EEO data is collected on a voluntary basis and is based upon self-identification. Accordingly, the reliability of the EEO data can be impacted by incomplete or inaccurate reporting. FTA Circular C 4704.1A, page 2-8, identifies Transfers and Promotions as one item, therefore, we have submitted our Transfers data in the charts below. No Promotions data is included or available at this time. Caltrans will convene a Lean 6-Sigma, cross-functional team to review and re-design this process, beginning June 2019. Lean 6-Sigma (L6S) is an industry-recognized methodology to eliminate wasteful practices from a process, to standardize it, and to increase efficiencies. The Department has employed L6S for its commitment to continuous improvement since 2015.

ASSESSMENT OF EMPLOYMENT PRACTICES

| Job Category (Use EEO-4) | Total | | W | | A/AN | | B | | H/L | | A | | NHOPI | | M | |
|---|-------|--------|-----|-----|------|-----|-----|-----|-----|-----|-----|-----|-------|-----|-----|-----|
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| 1 - Officials & Administrators | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Promotions | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 2 - Professionals | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Promotions | 178 | 214 | 93 | 97 | 2 | 2 | 9 | 23 | 17 | 39 | 46 | 48 | 2 | 1 | 9 | 4 |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 3 - Technicians | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Promotions | 14 | 5 | 9 | 2 | - | - | 2 | 3 | 1 | 2 | - | - | - | - | - | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 4 - Protective Service | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Promotions | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 6 - Paraprofessional | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Promotions | 7 | 1 | 6 | 1 | - | - | - | 1 | - | - | - | - | - | - | - | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 8 - Administrative Support | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Promotions | 15 | 48 | 7 | 22 | - | - | 4 | 10 | 3 | 10 | 1 | 3 | - | 1 | - | 2 |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 7 - Skilled Craft | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Promotions | 42 | 4 | 23 | 1 | - | - | 2 | - | 14 | 2 | 2 | 1 | - | - | 1 | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 8 - Service-Maintenance | | | | | | | | | | | | | | | | |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Promotions | 75 | 100 | 40 | 97 | 2 | 2 | 7 | - | 20 | 1 | 3 | - | 2 | - | 1 | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |

TRANSFERS/PROMOTIONS (continued)

ASSESSMENT OF EMPLOYMENT PRACTICES

| Job Category (Use EEO-4) | Total | | W | | AI/AN | | B | | H/L | | A | | NHOPI | | M | |
|-----------------------------------|-------|--------|-----|-----|-------|-----|-----|-----|-----|-----|-----|-----|-------|-----|-----|-----|
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |

Notes:

| Persons with Disabilities | Total | | W | | AI/AN | | B | | H/L | | A | | NHOPI | | M | |
|---------------------------|-------|--------|-----|-----|-------|-----|-----|-----|-----|-----|-----|-----|-------|-----|-----|---|
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Promotions | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | |
| Veterans | Total | | W | | AI/AN | | B | | H/L | | A | | NHOPI | | M | |
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| Number Applied | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Promotions | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Selection Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | |

ASSESSMENT OF EMPLOYMENT PRACTICES

TERMINATIONS

Data analysis for Caltrans' Terminations shows no disparate impact for employees of EEO

| Job Category (Use EEO-4) | Total | | W | | AI/AN | | B | | H/L | | A | | NH/PI | | M | |
|---|--------|--------|--------|--------|-------|-----|--------|--------|--------|--------|--------|--------|-------|-----|--------|--------|
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| 1 - Officials & Administrators | | | | | | | | | | | | | | | | |
| Total Workforce | 63 | 35 | 43 | 24 | 1 | - | 2 | - | 5 | 4 | 9 | 4 | - | - | 3 | 3 |
| Total Involuntary Terminations | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Involuntary Termination Rate | 0.0% | 0.0% | 0.0% | 0.0% | N/A | N/A | 0.0% | N/A | 0.0% | 0.0% | 0.0% | 0.0% | N/A | N/A | 0.0% | 0.0% |
| Ratio to Lowest Rate | 100.0% | 100.0% | 100.0% | 100.0% | N/A | N/A | 100.0% | N/A | 100.0% | 100.0% | 100.0% | 100.0% | N/A | N/A | 100.0% | 100.0% |
| Potential Adverse Impact (Yes/No) | No | No | No | No | N/A | N/A | No | No | No | No | No | No | N/A | N/A | No | No |
| 2 - Professionals | | | | | | | | | | | | | | | | |
| Total Workforce | 7,139 | 3,702 | 3,082 | 1,593 | 22 | 21 | 397 | 318 | 982 | 662 | 2,273 | 956 | 34 | 15 | 369 | 137 |
| Total Involuntary Terminations | 5 | 5 | 5 | 2 | - | - | - | 1 | - | - | - | 1 | - | 1 | - | - |
| Involuntary Termination Rate | 0.1% | 0.1% | 0.2% | 0.1% | N/A | N/A | 0.0% | 0.3% | 0.0% | 0.0% | 0.0% | 0.1% | N/A | N/A | 0.0% | N/A |
| Ratio to Lowest Rate | 100.0% | 51.9% | 0.0% | 0.0% | N/A | N/A | 100.0% | 0.0% | 100.0% | 100.0% | 100.0% | 0.0% | N/A | N/A | 100.0% | N/A |
| Potential Adverse Impact (Yes/No) | No | No | No | No | N/A | N/A | No | No | No | No | No | No | N/A | N/A | No | N/A |
| 3 - Technicians | | | | | | | | | | | | | | | | |
| Total Workforce | 557 | 291 | 270 | 112 | 1 | 5 | 34 | 50 | 111 | 45 | 111 | 66 | 3 | 5 | 27 | 8 |
| Total Involuntary Terminations | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Involuntary Termination Rate | 0.0% | 0.0% | 0.0% | 0.0% | N/A | N/A | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | N/A | N/A | 0.0% | N/A |
| Ratio to Lowest Rate | 100.0% | 100.0% | 100.0% | 100.0% | N/A | N/A | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | N/A | N/A | 100.0% | N/A |
| Potential Adverse Impact (Yes/No) | No | No | No | No | N/A | N/A | No | No | No | No | No | No | N/A | N/A | No | N/A |
| 4 - Protective Service | | | | | | | | | | | | | | | | |
| Total Workforce | 59 | 8 | 55 | 8 | - | - | - | - | 1 | 1 | 3 | 1 | - | - | - | - |
| Total Involuntary Terminations | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Involuntary Termination Rate | 0.0% | 0.0% | 0.0% | 0.0% | N/A | N/A | N/A | N/A | N/A | N/A | 0.0% | N/A | N/A | N/A | N/A | N/A |
| Ratio to Lowest Rate | 100.0% | 100.0% | 100.0% | 100.0% | N/A | N/A | N/A | N/A | N/A | N/A | 100.0% | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | No | No | No | No | N/A | N/A | N/A | N/A | N/A | N/A | No | N/A | N/A | N/A | N/A | N/A |

| Job Category (Use EEO-4) | Total | | W | | AI/AN | | B | | H/L | | A | | NH/PI | | M | |
|-----------------------------------|--------|--------|--------|--------|-------|-----|--------|--------|--------|------|--------|--------|-------|-----|--------|-----|
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| 5 - Paraprofessional | | | | | | | | | | | | | | | | |
| Total Workforce | 295 | 39 | 206 | 20 | - | - | 2 | - | 54 | 5 | 23 | 11 | 2 | - | 8 | 3 |
| Total Involuntary Terminations | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Involuntary Termination Rate | 0.0% | 0.0% | 0.0% | 0.0% | N/A | N/A | N/A | N/A | 0.0% | N/A | 0.0% | 0.0% | N/A | N/A | 0.0% | N/A |
| Ratio to Lowest Rate | 100.0% | 100.0% | 100.0% | 100.0% | N/A | N/A | N/A | N/A | 100.0% | N/A | 100.0% | 100.0% | N/A | N/A | 100.0% | N/A |
| Potential Adverse Impact (Yes/No) | No | No | No | No | N/A | N/A | N/A | N/A | No | N/A | No | No | N/A | N/A | No | N/A |
| 6 - Administrative Support | | | | | | | | | | | | | | | | |
| Total Workforce | 274 | 508 | 69 | 170 | 4 | 7 | 69 | 139 | 41 | 98 | 76 | 70 | 4 | 11 | 11 | 11 |
| Total Involuntary Terminations | 1 | 1 | - | - | - | - | - | - | 1 | 1 | - | - | - | - | - | - |
| Involuntary Termination Rate | 0.4% | 0.2% | 0.0% | 0.0% | N/A | N/A | 0.0% | 0.0% | 2.4% | 1.0% | 0.0% | 0.0% | N/A | N/A | N/A | N/A |
| Ratio to Lowest Rate | 54.2% | 100.0% | 100.0% | 100.0% | N/A | N/A | 100.0% | 100.0% | 0.0% | 0.0% | 100.0% | 100.0% | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | No | No | No | No | N/A | N/A | No | No | No | No | No | No | N/A | N/A | N/A | N/A |
| 7 - Skilled Craft | | | | | | | | | | | | | | | | |
| Total Workforce | 2,423 | 127 | 1,354 | 71 | 25 | 1 | 165 | 19 | 724 | 21 | 68 | 7 | 23 | 1 | 64 | 7 |
| Total Involuntary Terminations | 9 | - | 2 | - | 1 | - | 3 | - | 3 | - | - | - | - | - | - | - |
| Involuntary Termination Rate | 0.4% | 0.0% | 0.1% | 0.0% | N/A | N/A | 1.8% | N/A | 0.4% | N/A | 0.0% | N/A | N/A | N/A | 0.0% | N/A |
| Ratio to Lowest Rate | 0.0% | 100.0% | 0.0% | 100.0% | N/A | N/A | 0.0% | N/A | 0.0% | N/A | 100.0% | N/A | N/A | N/A | 100.0% | N/A |
| Potential Adverse Impact (Yes/No) | No | No | No | No | N/A | N/A | No | N/A | No | N/A | No | N/A | N/A | N/A | No | N/A |
| 8 - Service-Maintenance | | | | | | | | | | | | | | | | |
| Total Workforce | 3,636 | 216 | 1,779 | 98 | 65 | 2 | 462 | 52 | 1,171 | 51 | 42 | 5 | 39 | 3 | 78 | 5 |
| Total Involuntary Terminations | 48 | 4 | 23 | 3 | - | - | 10 | 1 | 13 | - | 1 | - | - | - | 1 | - |
| Involuntary Termination Rate | 1.3% | 1.9% | 1.3% | 3.1% | N/A | N/A | 2.2% | N/A | 1.1% | N/A | N/A | N/A | N/A | N/A | 1.3% | N/A |
| Ratio to Lowest Rate | 100.0% | 71.3% | 85.9% | 36.3% | N/A | N/A | 51.3% | N/A | 100.0% | N/A | N/A | N/A | N/A | N/A | 86.6% | N/A |
| Potential Adverse Impact (Yes/No) | No | No | No | No | N/A | N/A | No | N/A | No | N/A | N/A | N/A | N/A | N/A | No | N/A |

Notes:

protected classes.

ASSESSMENT OF EMPLOYMENT PRACTICES

DISCIPLINE

Because Caltrans has not consistently collected EEO Discipline data, we cannot determine statistical impact

at this time. EEO data is collected on a voluntary basis and is based upon self-identification. Accordingly, the reliability of the EEO data can be impacted by incomplete or inaccurate reporting.

Caltrans will convene a Lean 6-Sigma, cross-functional team to review and re-design this process, beginning June 2019. Lean 6-Sigma (L6S) is an industry-recognized methodology to eliminate wasteful practices from a process, to standardize it, and to increase efficiencies. The Department has employed L6S for its commitment to continuous improvement since 2015.

| Job Category (Use EEO-4) | Total | | W | | AI/AN | | B | | H/L | | A | | NHOPI | | M | |
|---|-------|--------|-----|-----|-------|-----|-----|-----|-----|-----|-----|-----|-------|-----|-----|-----|
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| 1 - Officials & Administrators | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | | | | | - | - | - | - | - | - | - | - | - | - |
| <Enter Discipline Type> | - | - | | | | | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Lowest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| <Enter Discipline Type> | - | - | | | | | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Lowest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| <Enter Discipline Type> | - | - | | | | | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Lowest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| <Enter Discipline Type> | - | - | | | | | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Lowest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| <Enter Discipline Type> | - | - | | | | | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Lowest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 2 - Professionals | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | | | | | - | - | - | - | - | - | - | - | - | - |
| <Enter Discipline Type> | - | - | | | | | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |

ASSESSMENT OF EMPLOYMENT PRACTICES

DISCIPLINE (continued)

| | | | | | | | | | | | | | | | | |
|-----------------------------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| <Enter Discipline Type> | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A |
| Ratio to Lowest Rate | N/A |
| Potential Adverse Impact (Yes/No) | N/A |
| 6 - Administrative Support | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| <Enter Discipline Type> | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A |
| Ratio to Lowest Rate | N/A |
| Potential Adverse Impact (Yes/No) | N/A |
| <Enter Discipline Type> | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A |
| Ratio to Lowest Rate | N/A |
| Potential Adverse Impact (Yes/No) | N/A |
| <Enter Discipline Type> | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A |
| Ratio to Lowest Rate | N/A |
| Potential Adverse Impact (Yes/No) | N/A |
| <Enter Discipline Type> | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A |
| Ratio to Lowest Rate | N/A |
| Potential Adverse Impact (Yes/No) | N/A |
| <Enter Discipline Type> | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A |
| Ratio to Lowest Rate | N/A |
| Potential Adverse Impact (Yes/No) | N/A |
| <Enter Discipline Type> | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Discipline Rate | N/A |
| Ratio to Lowest Rate | N/A |
| Potential Adverse Impact (Yes/No) | N/A |
| 7 - Skilled Craft | | | | | | | | | | | | | | | | |

ASSESSMENT OF EMPLOYMENT PRACTICES

TRAINING

Because Caltrans has not consistently collected EEO Training data, we cannot determine statistical impact at this time. EEO data is collected on a voluntary basis and is based upon self-identification. Accordingly, the reliability of the EEO data can be impacted by incomplete or inaccurate reporting. Caltrans will convene a Lean 6-Sigma, cross-functional team to review and re-design this process, beginning June 2019. Lean 6-Sigma (L6S) is an industry-recognized methodology to eliminate wasteful practices from a process, to standardize it, and to increase efficiencies. The Department has employed L6S

| Job Category (Use EEO-4) | Total | | W | | AI/AN | | B | | H/L | | A | | NHOPI | | M | |
|---|-------|--------|-----|-----|-------|-----|-----|-----|-----|-----|-----|-----|-------|-----|-----|-----|
| | Male | Female | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| 1 - Officials & Administrators | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Trained | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Training Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 2 - Professionals | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Trained | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Training Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 3 - Technicians | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Trained | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Training Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 4 - Protective Service | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Trained | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Training Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 5 - Paraprofessional | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Trained | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Training Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 6 - Administrative Support | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Trained | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Training Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 7 - Skilled Craft | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Trained | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Training Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 8 - Service/Maintenance | | | | | | | | | | | | | | | | |
| Total Workforce | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Trained | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Training Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Summary | | | | | | | | | | | | | | | | |
| Ratio to Highest Rate | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| Potential Adverse Impact (Yes/No) | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |

for its commitment to continuous improvement since 2015.

MONITORING AND REPORTING

MONITORING AND REPORTING

AGENCY REPORTING

EEO OFFICER AND DIRECTOR

The EEO Officer has unfettered access to the Director as necessary. The EEO Officer (Deputy of Administration) meets separately with the EEO Program Manager to discuss hiring and promotions goals and timetables. The EEO Program Manager meets bi-monthly with the Director or Chief Deputy Director and provides EEO Program updates as they are elevated to this level. Items of discussion include, but are not limited to, the status of EEO complaints and investigations. The results are a continual, current update for the EEO Program investigations, performance, and trainings at a statewide and program level.

EEO OFFICER AND MANAGEMENT

The EEO Officer's delegate, the EEO Program Manager, meets monthly via statewide video teleconference with District and Headquarters program management and EEO Liaisons to provide updates for the EEO Program and status monitoring of ongoing investigations and trainings. Topics for 2018 included, but were not limited to:

- General Updates
- Specific EEO issues in a District or Program
- Ongoing Investigations
- District Roundtable
- Training, including Sexual Harassment Prevention Training
- Retaliation
- Mediation
- EEO Technical Conference
- Language Survey
- Mass Hiring Event – District EEO Officers to attend
- EEO Policy
- EEO-4 Report
- Annual Elements Report

Quarterly statewide video teleconferences are conducted for additional updates with all of the Department's 12 statewide districts and Headquarters programs. The results are a

MONITORING AND REPORTING

continual, current update for the EEO Program investigations, performance, and trainings at the district and Headquarters program level.

EEO OFFICER AND DIVISION OF HUMAN RESOURCES

The EEO Officer meets bi-monthly with the Chief, Division of Human Resources (DHR) where EEO-related discussions are held for any items requiring communication or action. Recruitment efforts for EEO goals are communicated by the EEO Program Manager to the DHR Chief and Recruitment team as the goals are set and at annual intervals when the workforce analysis is performed. Target goals are set by equal distribution over a four-year plan. Additionally, the EEO Program Manager meets on an "as needed" basis with the Recruitment team to provide ongoing performance metrics to gauge ongoing progress. To promote equitable hiring practices, DHR is partnering with EEOP to develop Equity Training and Certification for all Caltrans Hiring Managers. The EEOP is continuing to partner with DHR to address the shared responsibility for EEO business practices.

EEO PROGRAM EMPLOYEE OUTREACH FOR INPUT

The EEO Program management and staff will meet within the next six months with Caltrans employees, affinity groups, and statewide EEO Program Liaisons to determine the EEO Program implementation.

DISSEMINATION

- Conduct an annual audit to ensure that current official EEO materials and the Caltrans' Policy Statements are posted in all Caltrans' facilities including employee break areas or other highly trafficked areas.
- Generate semi-annual reports regarding employee and manager participation in EEO-related training and completion of EEO training for all new supervisors and managers.
- Send an annual reminder to DHR regarding the requirement to disseminate Caltrans' Policy Statement to specific entities and to include that "Caltrans is an equal employment opportunity employer" on all recruitment advertisements.

UTILIZATION ANALYSIS AND GOALS AND TIMETABLES

These compliance reports are used to monitor the goals and timetables relating to the utilization analysis as identified in this report:

- Affirmative Action Plan
- EEO Plan

MONITORING AND REPORTING

- Annual Element Report
- Disability Survey
- EEO-4 Report
- Language Survey and Implementation Plan
- Workforce Analysis

The purpose of these compliance reports is to identify areas of significant underutilization within the Caltrans workforce and determine if any job barriers exist, and/or to explain why underutilization might be present. Goals and solutions are included as part of the compliance reports' action plans. These reports provide data on an annual and biannual basis to enable the EEOP to audit and monitor EEO Plan progress and to identify and take the necessary steps to meet the EEO Plan goals and timeframes.

The EEO Program's method for monitoring the EEO components (dissemination, utilization analysis, statistical employment practices, timeframes to reach goals and all identified barriers, and progress of the EEOP Action Plan) is now under development to meet reporting requirements. Due to the size of the Department (20,000+ employees), the compliance, data collection, and business practices associated with the various EEO elements are under 18 separate business areas:

- Human Resources – Hiring, Promotions, Transfers, Terminations
- Safety and Management Services – Discipline and Training
- Division of Rail and Mass Transportation – Liaison for subrecipients
- Division of Transportation Planning – Liaison for subrecipients
- Statewide EEO Managers and Liaisons – 13 total
- EEOP – Compliance Coordination, Dissemination, Training, Investigation, and Reporting

To improve compliance and data collection capability, EEOP will begin to develop ongoing, collaborative partnership workgroups and an integrated, comprehensive Business Plan, by June 2019, to address the data collections and process needed that are identified in this report.

AFFIRMATIVE ACTION PLAN

HQ EEOP develops the Caltrans "Affirmation Action Plan" (AAP), required by FHWA in accordance with Title 23 Code of Federal Regulations, Part 230, Subpart C, Appendix A, Part II – State Highway Agency Employment. Under these regulations, Caltrans is to

MONITORING AND REPORTING

evaluate equal employment opportunities to achieve the parity of minorities and females in all major job categories. This requires Caltrans to develop and implement an AAP every 5 years and monitor and report on the implementation of its AAP annually. HQ EEOP completes the AAP. HQ EEOP uses existing documents and resources, and compile data from both within Caltrans and from other government agencies. District EEO Offices are responsible for implementing the AAP in each District, which includes using the procedures described in the AAP and working toward the goals established in the AAP.

The AAP contains 11 sections:

- Caltrans Office of EEOP
- EEOP AAP/Distribution/Communication
- Merit System Requirement
- Training
- Employee Development
- Reasonable Accommodation Procedures
- Adverse Action/Employee Personnel Action
- AAP Monitoring & Evaluation Procedures
- AAP Goals & Planned Actions
- Accomplishments
- EEOP Actions

The AAP is due every five years. Caltrans is required to monitor and annually report on its compliance with the AAP. The requirement to report annually is met through the Annual Element Report.

ANNUAL SELF-ASSESSMENT ELEMENTS REPORT

HQ EEOP creates the "Annual Self-Assessment Elements" report, which provides updates on the Department's EEOP's accomplishments for the current Federal Fiscal Year (FFY) and EEO goals for the upcoming FFY. This report is prepared in accordance with Title 23 of the Code of Federal Regulations, Part 230. In addition to the accomplishments and goals, the report also contains a current list of Caltrans EEO contacts (statewide), the latest EEO-4 report (which is reported every odd year), lists of Caltrans current classifications cross-referenced with sex and ethnicity, and a list of acronyms.

The EEO Officer or Manager of each District and Division provides their EEO-related accomplishments from the reporting year (October 1 to September 30th), and creates goals for the next reporting year. Once approved, the final report will be sent to FHWA.

MONITORING AND REPORTING

DISABILITY SURVEY

The California Department of Human Resources (CalHR), per California Government Code section 19233, requires all State agencies to conduct a disability survey to ensure that they are meeting the mandatory percentage for the number of disabled employees in the workforce. This survey must be conducted at least once every five years. To comply, 16.6% of the agency's workforce must be individuals with disabilities. The Fair Employment Housing Act (FEHA) definition of disability is used in the survey:

"Having any mental or psychological disorder or condition..." or "Having any physiological disease, disorder, condition, cosmetic disfigurement, or anatomical loss that... affects one or more of the following body systems... or... limits a major life activity."

"Limits" is "determined without regard to mitigating measures... unless the mitigating measure itself limits a major life activity."

CalHR provides a list of disabilities and their definitions and the survey link. HQ EEOP conducts the survey within Caltrans. HQ EEOP sends the survey link, information, and reminders to Caltrans employees to facilitate the survey. The survey is hosted online by CalHR, and all data is reported directly to CalHR. Caltrans does not have direct access to the survey data.

If the final percentage of employees with disabilities is at or above the required threshold of parity (16.6%), no further action will be taken. If the final percentage of employees with disabilities is below the required threshold of parity (16.6%), HQ EEOP prepares a corrective action plan, detailing how and when Caltrans will achieve parity. If an action plan is submitted, Caltrans must regularly report to CalHR on its progress. If the final percentage is below, but within 20% of 16.6% (i.e. from 16.59% to 13.28%), HQ EEOP will discuss the need for an action plan with CalHR.

EEO-4 REPORT

HQ EEOP completes Caltrans' biennial EEO-4 Survey Report, required by FHWA and EEOC in accordance with Title VII of the Civil Rights Act of 1964. All State Departments and local governments who have 15 or more employees are required to keep records and report to EEOC or FHWA every odd year on September 20. The EEO-4 report is a summary of current year count of Caltrans employees including full-time employees, employees other than full time employees, and permanent full-time new hires during the fiscal year.

MONITORING AND REPORTING

The EEO-4 report categorizes the employees and hires into the following:

8 major job groups:

- Officials and Administrators
- Professionals
- Technicians
- Protective Service
- Para-Professional
- Administrative Support
- Skilled Craft
- Service Maintenance

Annual salaries for only employees (not hires), in 8 different ranges (lowest to highest range)

- \$0.1 - 15.9
- \$16.0-19.9
- \$20.0-24.9
- \$25.0-32.9
- \$33.0-42.9
- \$43.0-54.9
- \$55.0-69.9
- \$70.0 Plus

Total Count per major job group

- Crossed referenced with their gender
 - Male
 - Female
- Cross referenced with their race
 - Non-Hispanic Origin (White)
 - Black
 - Hispanic
 - Asian or Pacific Islander
 - American Indian or Alaskan

The EEO-4 report and memo/letter is sent to FHWA.

MONITORING AND REPORTING

LANGUAGE SURVEY

HQ EEOP works with District and Division Survey Coordinators to gather data for the biennial Language Survey and Implementation Plan. The Language Survey is required in every even year, and the Implementation Plan is required in every odd year.

The requirement to participate in the Language Survey is based on the Dymally-Alatorre Bilingual Services Act; California Government Code Section 7290-7299.8. The Bilingual Services Act requires State agencies to provide language access services to their non-English-speaking or limited English proficient clients and to conduct a language survey every two years.

CalHR informs Departments of their responsibilities under the Act and provides guidance and technical assistance when conducting the survey. CalHR uses the survey information and agency implementation plans to report to the Legislature.

Caltrans must conduct an accurate survey, identify the number of public contacts received by public contact staff in local offices, and use a formula to identify languages that represent greater than 5% of the office's contacts (called the "5% threshold") and indicate deficiencies in bilingual staff and translated documents. Caltrans must analyze the data to ensure its accuracy and submit the results to CalHR.

Public Contact

Offices that have direct contact with the public are required to participate in the survey. Offices that do not have direct contact with the public are not required to participate.

Position Deficiencies

The law requires Caltrans to have certified bilingual staff present in offices that receive a significant number of non-English public contacts to meet the Department's language access needs. The number of certified bilingual staff needed, or indicator of deficiency, is determined by multiplying the number of public contact staff by the percentage of non-English public contacts the office received. CalHR provides a worksheet with the formulas.

If an office receives non-English contacts that make up 5% or more of the office's public contacts, this means that the office had a significant number of non-English contacts and should have bilingual staff to meet the office's needs.

The number of certified bilingual staff (for that language) in the office is compared to the indicator of deficiency. If the number of certified bilingual staff is greater than the

MONITORING AND REPORTING

indicator of deficiency, then there is no actual deficiency. If the number of certified bilingual staff is less than the indicator of deficiency, then there is an actual deficiency.

If the numbers indicate any actual deficiencies, Caltrans must analyze those actual deficiencies and determine whether there are enough language access resources available to meet the office's language needs. Because Caltrans uses volunteer interpreters and has access to the Language Line for interpreting services, most reportable position deficiencies are reduced to non-actual deficiencies.

Document Deficiencies

Caltrans is required to have relevant documents translated into languages that fall above the 5% threshold in any given office.

Caltrans must identify which materials have been translated into 5% languages, and which have not.

If Caltrans identifies documents that need to be translated, it must submit a plan to translate the documents to CALHR, and report on the progress of the plan until completed.

Reporting Results

Caltrans reports its language survey results through the Language Survey/Implementation Plan (LSIP) Online System, which in 2015 was located at <http://jobs.spb.ca.gov/lcip/>.

Language Access Complaints

The law requires that Caltrans have a form and process for receiving and handling complaints related to language access issues. HQ EEOP is required to log any received Language Access Complaints on the Language Access Complaint Tracking Spreadsheet, which is kept in the EEO shared folder accessible by the HQ EEOP office. If the District EEO office receives any Language Access Complaint forms, the complaint must be forwarded to HQ EEOP immediately.

WORKFORCE ANALYSIS

HQ EEOP conducts the annual Workforce Analysis (WFA) for Caltrans, required by California Government Code sections 19797, 19232, and 19402. The purpose of the WFA is to identify areas of significant underutilization within the workforce of each State

MONITORING AND REPORTING

Department, and determine if any job barriers exist, and/or to explain why underutilization might be present. Goals and solutions are included in the action plan.

PROCESS TO DETERMINE EEO COMPLIANCE OF SUBRECIPIENTS/CONTRACTORS

The FTA funds that Caltrans receives are distributed through transit and planning grants program. The two Caltrans divisions that administer these funds are the Division of Rail and Mass Transportation (DRMT) and Division of Transportation Planning (DOTP).

The services provided by the sub-recipients for DRMT can fall within three categories:

- The 5310 Program is to improve mobility for seniors and individuals with disabilities.
- The 5311 Program provides capital, planning and operating assistance to support public transportation in rural areas with populations less than 50,000 where many residents often rely on public transit to reach their destinations.
- The 5339 Program makes federal resources available to replace, rehabilitate and purchase buses and related equipment.

DRMT receives approximately \$70 million and DOTP, \$20 million per year. For DRMT, during the application process, all subrecipients are required to inform DRMT of the total number of transit related staff in their agency. DRMT follows the FTA threshold requirements and requires an EEO program be submitted with the grant application when applicable. Because they work with small agencies, the majority of grant recipients do not meet the minimum requirements. DRMT uses a EEO Program Threshold checklist to evaluate the sub-recipients' need for EEO reporting. See Appendix 7, pages 106-107 for sample checklist. Once a sub-recipient has undergone an EEO compliance evaluation, DRMT will issue a "Proof of Review" document signed by their EEO designee. See Appendix 2, pages 74-77 for Proof of Review documents. To ensure EEO posting compliance, District Transit Liaisons routinely inspect worksites on a triennial basis. Historically, DOTP did not have FTA-funded grant recipients who were required to report for EEO Compliance. EEOP will partner with DOTP and DRMT to convene a workgroup to ensure uniform reporting as required for any FTA- funded grant recipients.

PROCESS TO REVIEW UNION CONTRACTS

The union contracts are negotiated between the various unions and a Chief Negotiator from CalHR who is appointed by the Governor's Office. The Departments contribute

MONITORING AND REPORTING

information to the Chief Negotiator to ensure that all persons impacted by the Contracts are treated equitably. The unions are present during negotiations with a representative number of their members and they evaluate the offers and submit offers until agreement is reached. After agreement is reached, this tentative agreement is sent to all members for ratification. If ratified, the MOU is analyzed by the legislative counsel to ensure that the Agreement meets all legal requirements and the MOU is placed in statute. Although this has never occurred, if any member believes that the MOU contains any language that results in disparate impact, a legal challenge alleging Equal Protection violations can be made.

PROCESS TO MONITOR COMPLAINTS

The Discrimination Complaint Investigation Unit (DCIU) processes and investigates formal discrimination complaints. Information on where and how to file a complaint is found on the Caltrans Intranet site.

The discrimination complaint process is designed to provide applicants, employees, contractors, and members of the public with a uniform method for filing complaints of discrimination and ensure such complaint receives prompt and impartial consideration to bring about satisfactory resolution at the lowest possible level.

It is Caltrans' policy to initiate a prompt and effective investigation of any issues concerning alleged discrimination or retaliation in employment practices concerning recruitment, selection, appointment, transfer, training, and other terms and conditions of employment. To that end, Caltrans maintains a uniform process for employees and applicants to voice allegations of discrimination or retaliation in departmental employment practices.

Formal complaints can be filed directly with the DCIU or forwarded to the DCIU by the District EEO Office. The Discrimination Complaint Questionnaire is used as the formal document to file a formal complaint. Intake interviews are scheduled with an EEO officer or a DCIU investigator to gather pertinent information regarding the complaint and to determine if the complaint meets jurisdictional and procedural requirements. If it does, the DCIU will assign an investigator to conduct a comprehensive, neutral, and timely confidential investigation on behalf of the Department.

The trained DCIU investigator serves as an impartial fact finder whose primary responsibility is to gather sufficient evidence relevant to the complaint issue(s) that would provide the basis for determining whether there is a violation of EEO policy.

MONITORING AND REPORTING

DCIU investigators do not act as an intermediary between the complainant and Caltrans to seek a resolution of the complaint during the investigation. A trained DCIU investigator is responsible for:

- Investigating the issue(s) of the complaint.
- Gathering facts that can be used to make proper determination.
- Interviewing all parties deemed relevant and securing relevant documents to support facts.
- Confining the investigation to relevant issues while remaining neutral.
- Submitting the completed investigation to the EEO Program Manager.
- Determining if a policy violation is substantiated.

DCIU maintains a database that documents the name of the complainant, the basis of the complaint(s), the protected group(s), the date the complaint was filed, the investigation findings, the date the complaint was closed, and the name of the investigator.

As part of the process for monitoring complaints, DCIU data is reported quarterly to the Lean 6-Sigma green belt for the Administration Program. Lean 6-Sigma (L6S) is a process efficiency methodology that the EEO Program has used to improve their investigations process. The target is to complete 95% of investigations within a 45-business day timeframe. In June 2015 (prior to the L6S effort), only 7% of investigations were meeting the 45-day target. At this time of this report, 51% of investigations are completed within 45 business days. Data for the DCIU's key performance indicator is published quarterly to the Administration Program's Performance Dashboard on the Caltrans intranet.

APPENDIX 1 – EEO POLICY STATEMENT – SIGNED BY DIRECTOR

Appendix 1 – EEO Policy Statement – Signed by

California Department of Transportation

DIRECTOR'S EEO POLICY STATEMENT

As an equal opportunity employer, Caltrans strives to recruit and develop a workforce that reflects the community we serve. No person is excluded from employment opportunities based on race, religious creed, color, national origin, ancestry, age, disability (physical or mental), medical condition (cancer and genetic characteristics), genetic information, marital status, sex (including pregnancy, childbirth, or related medical condition), gender, gender identity, gender expression, sexual orientation, political affiliation, or military and veteran status (Government Code sections 12920 and 19702 et seq.)

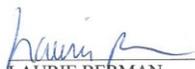
Caltrans' Equal Employment Opportunity (EEO) Policy applies to all employment actions, including, but not limited to, recruitment or recruitment advertising, hiring, position upgrades, selection for training, promotions, transfers, demotions, layoffs, terminations, rates of pay or other forms of compensation, as it relates to employees and related public and private sector business activities.

All job applicants and employees have the right to file complaints alleging discrimination. Retaliation against an individual who files a charge or complaint of discrimination, participates in an employment discrimination proceeding (such as an investigation or lawsuit), or otherwise engages in protected activity, is strictly prohibited and will not be tolerated. Caltrans is committed to providing reasonable accommodation to job applicants and employees for disability or religious observance, barring any undue hardship to the department.

As Caltrans Director, I maintain overall responsibility and accountability for Caltrans compliance with its EEO Policy and Program. To ensure day-to-day management, including program preparation, monitoring, and complaint investigation, I have appointed Cris Rojas, Deputy Director Administration, (916) 654-4096, as Caltrans' EEO Officer. Deputy Director Rojas reports directly to me and acts with my authority with all levels of management, labor unions, and employees.

All Caltrans executives, management, and supervisory personnel share in the responsibility for implementing and monitoring Caltrans' EEO Policy and Program within their respective areas. The Caltrans EEO Program coordinates to communicate workforce goals and to provide the training, communication, and data to ensure compliance across the department. The department has identified EEO as a key performance indicator and will include this data for the Administration Program's performance dashboard. Performance for EEO goals will be reported at regular intervals to the Caltrans Executive Board.

I am personally committed to a workplace that acts upon its daily responsibility to treat all applicants and employees with dignity and respect, as well as equitably under the guidelines of our EEO Policy and Program.


LAURIE BERMAN
Director

12-18-18
Date Signed

"Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability"

APPENDIX 1 – EEO POLICY STATEMENT – SIGNED BY DIRECTOR

Director

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Appendix 2 – EEO Policies and Directives

California Department of Transportation

Director's Policy

Number: DP-01-R11
Effective Date: 3/5/2018
Supersedes: DP-01-R10 (12/01/2014)
Responsible Program: Administration, Equal Employment Opportunity Program

TITLE Equal Employment Opportunity

POLICY

The California Department of Transportation (Caltrans) uses merit and excellence of qualifications as the basic principles guiding Caltrans Equal Employment Opportunity (EEO) efforts regarding employee recruitment, hiring, retention, training, transfers, promotions and related public and private sector business activities.

Caltrans strives to maintain a diverse workforce and to provide EEO to all applicants, employees, clients, and customers, without regard to race, religious creed, color, national origin, ancestry, age, disability (physical or mental), medical condition (cancer and genetic characteristics), genetic information, marital status, sex (including pregnancy, childbirth, or related medical condition), gender, gender identity, gender expression, sexual orientation, political affiliation, or military and veteran status (Government Code sections 12920 and 19702 et seq.) Caltrans has a "Zero Tolerance" policy for EEO-related discrimination and/or harassment.

It is a violation of this policy to retaliate against Caltrans employees, applicants, vendors, contractors, special service employees, or an employee of another department or agency who has supported this policy, filed a complaint, testified, or assisted in any proceeding under this policy.

All applicants and employees have the right to file complaints alleging discrimination. All internal EEO complaints must be filed with the Caltrans Discrimination Complaint Investigation Unit (DCIU) within one year from the last date upon which the alleged violation(s) of policy occurred.

INTENDED RESULTS

Caltrans' EEO policy has been developed to ensure a work environment free from all forms of discrimination and harassment for its diverse workforce. The principles of EEO are applied in all employment decisions and business practices, unless such practices would violate state or federal laws and statutes, court orders, or result in a loss of federal funds.

"Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability"

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Director's Policy
Number DP-01-R11
Page 2

RESPONSIBILITIES

Deputy Director, Administration:

- Serves as the EEO Officer for Caltrans.
- Ensures that the Caltrans EEO program and plan are fully implemented and complied with in all programs and business activities.
- Ensures that employment, recruitment, hiring, retention, training, transfers, promotions and business activities comply with EEO guidelines and laws.
- Ensures that active recruitment efforts for qualified applicants are broad and inclusive of all segments of the relevant workforce.
- Ensures the [Director's EEO Policy Statement](#) is implemented and maintained up to date.

Program Manager, Equal Employment Opportunity Program:

- Prepares Caltrans annual EEO Plan, which includes the Workforce Analysis, Upward Mobility, Bilingual Services Program, and Persons with Disabilities Plan.
- Provides EEO technical assistance to managers and supervisors.
- Provides oversight for Caltrans informal and formal discrimination complaint processes.
- Ensures that comprehensive, neutral and timely investigations of formal discrimination complaints and provides a thorough, impartial, uniform, and confidential complaint intake process that is consistent with the Caltrans EEO Investigation Procedures Manual.

Deputy Directors, District Directors, Chief/Deputy District Directors, Division Chiefs:

- Provide a work environment free from discrimination and harassment by ensuring that program objectives, standards and practices comply with EEO guidelines.
- Ensure that managers and supervisors review this policy with their employees on an annual basis.
- Designate EEO contact(s) for their District and/or Division.

Managers and Supervisors:

- Provide a work environment that is free from discrimination and harassment by ensuring that standards and practices comply with EEO guidelines.
- Review this policy with employees on an annual basis.
- Forward complaints to the District and/or the Headquarters EEOP officers in a confidential and timely manner.
- Ensure that employees are aware of their responsibility to cooperate fully in the investigation processes of a complaint and in disciplinary proceedings for violations of this policy.
- Take immediate and appropriate corrective action when a violation of this EEO policy occurs. Corrective action may include remedial or disciplinary action after an appropriate finding that a policy violation occurred, and/or taking steps

*"Provide a safe, sustainable, integrated and efficient transportation system
to enhance California's economy and livability"*

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Director's Policy
Number DP-01-R11
Page 3

during the period that an investigation of a complaint is pending to prevent additional potential or alleged policy violations.

- Provide a work environment that is free from retaliation for those who have supported this policy, filed a complaint, testified, or assisted in any proceeding under this policy.

District and Headquarters EEO Managers, Officers, and Coordinators:

- Monitor the implementation of District programs and ensure that business activities comply with EEO guidelines and directives.
- Monitor and ensure that the work environment is free from discrimination and harassment.
- Serve as the local staff resource for managers, supervisors, employees, and investigators regarding EEO issues.
- Serve as a point of contact for employees to initiate the complaint process.

Employees, Applicants and Business Partners:

- Ensure that fellow employees, business partners, and the general public are treated with dignity and respect, in a work environment that is free from discrimination and harassment.
- Immediately report alleged violations of this policy to a supervisor, manager, EEO officer, or the DCIU.
- Cooperate fully in the investigation processes of a complaint and in disciplinary proceedings for violations of this policy.

APPLICABILITY

This policy applies to all Caltrans employees, applicants and business partners.



LAURIE BERMAN
Director

3/5/18

Date Signed

*"Provide a safe, sustainable, integrated and efficient transportation system
to enhance California's economy and livability"*

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

California Department of Transportation

*Flex your power!
Be energy efficient!*

Deputy Directive

Number: DD-76-R3

*Refer to
Director's Policy:* DP-01-R9
Equal Employment
Opportunity

Effective Date: 6/14/2013

Supersedes: DD-76-R2 (5/24/2010)

TITLE Religious Accommodation

POLICY

The California Department of Transportation (Caltrans) makes every effort to ensure that Religious Accommodation is provided to all employees, applicants and customers in its services and programs when appropriate. Caltrans has a "Zero Tolerance" policy for religious discrimination and/or harassment in the workplace.

In accordance with applicable Federal and state laws, Caltrans provides a workplace that is free from discrimination or harassment because of a person's religion or religious beliefs and provides reasonable accommodation for religious observances and practices.

DEFINITION/BACKGROUND

The Unruh Civil Rights Act (Civil Code section 51, et seq.), and the Fair Employment and Housing Act (Government Code section 12900, et seq.) establish that all public accommodations, state and local governmental services, public and private transportation services, communications, and matters relating to employment must be free from unlawful discrimination. Applicable Federal laws include the Civil Rights Act of 1991 and Titles VI and VII of the Civil Rights Act of 1964, as amended.

Religious Accommodation is an arrangement provided by Caltrans when an individual cannot perform the essential functions of his or her job or cannot participate in the job application process due to a conflict with that individual's religious beliefs, observances, or practices and the arrangement can be provided without undue hardship upon the Caltrans's ability to conduct business. (Government Code sections 12926 (t) and 12940 (l).)

Religion, Religious Creed, Religious Observance, and Religious Belief includes all aspects of religious belief, observance, religious dress and grooming practices. (Government Code section 12926 (p).)

"Caltrans improves mobility across California"

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Deputy Directive
Number DD-76-R3
Page 2

Employees are all persons who work for Caltrans, including civil service, temporary, emergency, limited-term, seasonal, exempt, special employment, retired annuitants, contractor employees and student assistants.

Customers are all persons participating in Caltrans's programs, services, and activities.

Applicants are all persons who seek employment with Caltrans.

RESPONSIBILITIES

Deputy Director, Administration:

- Ensures the Equal Employment Opportunity Program (EEOP) and Equal Employment Opportunity Plan are fully implemented and adopted in all Caltrans programs and business activities.
- Reviews and makes determinations on Religious Accommodation Appeals.

Chief, Division of Human Resources:

- Enforces the "Zero Tolerance" policy for religious discrimination and harassment in the workplace.
- Oversees the religious accommodation process.
- Provides technical assistance to Deputy Directors, District Directors, Division Chiefs and managers regarding religious accommodation issues.
- Develops operational guidelines to assist supervisors and managers with the implementation and application of this policy.
- Maintains and updates the Caltrans Religious Accommodation Guide.
- Ensures comprehensive, neutral, and timely investigation of formal religious accommodations complaints and provides a thorough, impartial, uniform and confidential intake process, as established by the EEO Investigation Procedure Manual.

Deputy Directors, District Directors, and Division Chiefs:

- Provide a workplace that is free from unlawful religious discrimination, harassment, and retaliation and takes immediate corrective action to address any violations of this policy.
- Consider the expressed religious needs of employees, applicants, and customers when developing processes and procedures in their specific areas.
- Ensure managers and supervisors are aware of employee, applicant, and customer civil rights, including their right to request religious accommodation.
- Ensure managers and supervisors provide religious accommodations to ensure equal employment opportunities for all employees, applicants, or customers, in accordance with the Caltrans Religious Accommodation Guide.

"Caltrans improves mobility across California"

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Deputy Directive
Number DD-76-R3
Page 3

- Ensure managers and supervisors are trained on the procedures specified in the Caltrans Religious Accommodation Guide.

Managers and Supervisors:

- Provide a workplace that is free from religious discrimination, harassment, or retaliation and take effective, appropriate, and immediate corrective action to address any infringement of this policy.
- Ensure that reasonable religious accommodation requests from employees, applicants and customers are adopted in the workplace.
- Work with EEOP staff when reviewing religious accommodation requests.

EEOP Staff (Statewide):

- Monitor implementation of the Religious Accommodation policy.
- Provide technical assistance to managers, supervisors, and employees concerning religious accommodation issues.
- Serve as a liaison between employees, managers, and supervisors regarding religious accommodation issues, as needed.

Employees, Applicants, and Customers:

- Responsible for initiating a religious accommodation request, as appropriate, to either their supervisor, exam unit, or the EEOP staff.

APPLICABILITY

All Caltrans employees, applicants, and customers.



NORMA ORTEGA
Acting Chief Deputy Director

6-14-2013

Date Signed

"Caltrans improves mobility across California"

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

California Department of Transportation

*Serious drought.
Help save water!*

Deputy Directive

Number: DD-49-R5

*Refer to
Director's Policy:* DP-01-R10
Equal Employment
Opportunity

Effective Date: 09/25/2015

Supersedes: DD-49-R4 (07/23/2013)

*Responsible
Program:* Equal Employment
Opportunity Program

TITLE Sexual Harassment Prevention

POLICY

The California Department of Transportation (Caltrans) has a “zero tolerance” policy for sexual harassment and strives to provide a workplace free from sexual harassment. Caltrans expects all employees to prevent, identify, and report inappropriate conduct. Caltrans regularly provides sexual harassment prevention training for employees at all levels; takes reasonable steps to prevent sexual harassment, which includes actions or behaviors that may be construed as sexual harassment; promptly investigates allegations of inappropriate conduct; and takes effective, appropriate, and timely corrective actions. Caltrans employees are to refrain from conduct that can reasonably be interpreted as sexual harassment.

It is a violation of this policy to retaliate against Caltrans employees, applicants, vendors, contractors, special service employees, or an employee of another department or agency who has supported this policy, filed a complaint, testified, or assisted in any proceeding under this policy.

All internal sexual harassment complaints must be filed with the Caltrans' Discrimination Complaint Investigation Unit (DCIU) within one year from the last date upon which the alleged violation(s) of this policy occurred. All allegations of sexual harassment will be formally investigated by Caltrans' DCIU.

DEFINITION/BACKGROUND

Federal and state laws prohibit sexual harassment in the workplace including Title VII of the Civil Rights Act of 1964 as amended; United States Equal Employment Opportunity Commission regulation (29 Code of Federal Regulations, Part 1604.11); California Government Code sections 12940, 12950-12950.1 and 19702 (a). When corrective action is warranted, it is taken pursuant to California Government Code section 19572.

*"Provide a safe, sustainable, integrated and efficient transportation system
to enhance California's economy and livability"*

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Deputy Directive
Number DD-49-R5
Page 2

Sexual harassment is any unwelcome conduct of a sexual nature that explicitly or implicitly affects an individual's employment; unreasonably interferes with an individual's work performance; or creates an intimidating, hostile, or offensive work environment. Sexually harassing conduct need not be motivated by sexual desire. (California Government Code section 12940)

Sexual Harassment includes many forms of offensive behavior, including harassment of a person of the same gender as the harasser. Forms of sexual harassment include, but are not limited to:

- Unwanted sexual advances.
- Offering employment benefits in exchange for sexual favors.
- Actual or threatened retaliation.
- Leering; making sexual gestures; or displaying sexually suggestive objects, pictures, cartoons or posters.
- Making or using derogatory comments, epithets, slurs, or jokes.
- Sexual comments including graphic comments about an individual's body; sexually degrading words used to describe an individual; or suggestive or obscene letters, notes, or invitations.
- Physical touching or assault, as well as impeding or blocking movements.

Employees are all persons who work for Caltrans including: civil service, temporary, emergency, limited-term, seasonal, exempt, retired annuitants, special employment, contract employees, consultants, volunteers and student assistants.

RESPONSIBILITIES

Deputy Director, Administration:

- Serves as the Equal Employment Opportunity (EEO) Officer for Caltrans.
- Promotes a work environment free of sexual harassment.
- Ensures that the Caltrans' Equal Employment Opportunity Program (EEOP) and EEO Plan are fully implemented and complied with in all programs and business activities.
- Ensures that employment, recruitment, hiring, retention, training, transfers, promotions, and business activities comply with EEO guidelines, laws, rules and regulations.

Program Manager, Equal Employment Opportunity Program (EEOP):

- Promotes a work environment free of sexual harassment, coordinates sexual harassment prevention training, and monitors implementation of appropriate corrective actions whenever sexual harassment is identified.
- Manages the EEOP and serves as the resource for sexual harassment prevention and related training needs assessments.

"Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability"

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Deputy Directive
Number DD-49-R5
Page 3

- Provides oversight of the DCIU and Caltrans' formal sexual harassment complaint processes.
- Ensures comprehensive, neutral, and timely investigation of formal sexual harassment complaints and provides a thorough, impartial, uniform, and confidential internal intake process.

Chief/Deputy Directors, District Directors, Deputy District Directors, and Division Chiefs:

- Provide a work environment free of sexual harassment, and implement appropriate corrective actions whenever sexual harassment is identified.
- Ensure that all employees receive regular sexual harassment prevention training and that managers and supervisors complete sexual harassment prevention training every two years as required by California Government Code section 12940.
- Ensure that managers and supervisors provide a work environment free of sexual harassment and implement sexual harassment prevention awareness and corrective procedures.
- Ensure that managers and supervisors review this policy with their employees on an annual basis.
- Take immediate and appropriate corrective action when a violation of this policy occurs. Corrective action may include remedial or disciplinary action after an appropriate finding that a policy violation occurred, and/or taking steps during the period that an investigation of a complaint is pending to prevent additional potential or alleged policy violations.
- Provide a work environment that is free from retaliation for those who have supported this policy, filed a complaint, testified, or assisted in any proceeding under this policy.

Managers and Supervisors:

- Provide a work environment free of sexual harassment through sexual harassment prevention awareness and training efforts.
- Complete sexual harassment prevention training within 6 months of appointment for new managers and supervisors and every two years thereafter as required by California Government Code section 12940.
- Review this policy with employees on an annual basis.
- Ensure all new employees receive formal sexual harassment prevention training within 6 months of hire and that all employees receive regular training in sexual harassment prevention.
- Take immediate and appropriate corrective action when a violation of this policy occurs. Corrective action may include remedial or disciplinary action after an appropriate finding that a policy violation occurred, and/or taking steps during the period that an investigation of a complaint is pending to prevent additional potential or alleged policy violations.
- Forward complaints to District and/or Headquarters EEO officers in a confidential and timely manner.

"Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability"

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Deputy Directive
Number DD-49-R5
Page 4

- Ensure that employees are aware of their responsibility to cooperate fully in the investigative processes of a complaint and in disciplinary proceedings for violations of this policy.
- Provide a work environment that is free from retaliation for those who have supported this policy, filed a complaint, testified, or assisted in any proceeding under this policy.

Headquarters and District EEO Managers, Officers, and Coordinators:

- Promote a work environment free of sexual harassment through sexual harassment prevention awareness and training efforts.
- Monitor the implementation of programs and business activities to ensure that they comply with EEOP guidelines.
- Monitor and ensure that the work environment is free from sexual harassment.
- Serve as a staff resource for managers, supervisors, employees, and investigators regarding EEO and sexual harassment issues.
- Serve as a point of contact for employees to initiate the complaint process.

Employees and Business Partners:

- Comply with this policy.
- Ensure that fellow employees, business partners, and the general public are treated with dignity and respect in a work environment free from sexual harassment.
- Regularly attend sexual harassment prevention training.
- Immediately seek assistance from management and/or the EEOP Officer when experiencing or observing sexual harassment in the workplace.
- Immediately report sexual harassment incidents to a supervisor, manager, EEO Officer, or the EEOP/DCIU.
- Cooperate fully in all investigation processes of a complaint and in disciplinary proceedings for violations of this policy.

APPLICABILITY

All Caltrans employees and business partners.



KOME AJISE
Chief Deputy Director

9/25/15

Date Signed

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

California Department of Transportation

*Flex your power!
Be energy efficient!*

Deputy Directive

Number: DD-48-R3

*Refer to
Director's Policy:* DP-01
Equal Employment
Opportunity

Effective Date: 6/14/2013

Supersedes: DD-48-R2 (11-30-2009)

TITLE Reasonable Accommodation

POLICY

The California Department of Transportation (Caltrans) ensures equal employment opportunities when considering reasonable accommodation requests from employees or applicants. Caltrans makes every effort to provide reasonable accommodation to assist qualified employees and applicants with work-related or non-work related disabilities, whether or not they are covered by worker's compensation and/or insurance, to participate in applicable Caltrans programs, services, and/or to perform a particular job. Caltrans processes reasonable accommodation requests and engages in timely, good faith interactive processes with individuals who request an accommodation.

Caltrans is not required to provide an accommodation that would cause a direct threat to the health or safety of the employee, applicant, or others. Caltrans is not required to create a position and/or promote an employee who requests a reasonable accommodation. Caltrans is also not required to provide the specific accommodation requested by an employee.

*DEFINITION/
BACKGROUND*

State and Federal laws require equal employment opportunities for all qualified persons and reasonable accommodation be provided to assist qualified disabled employees and applicants. Applicable laws include the Fair Employment and Housing Act (FEHA) (Government Code sections 12940 et seq.), the Civil Rights Act of 1991, the Americans with Disabilities Act (ADA) of 1990 and Amendments Act of 2008 (ADAA), Section 504 of the Rehabilitation Act of 1973, Section 19230 (c) of the Government Code, Title 2, Section 53.2 of the California Code of Regulations, and the Unruh Civil Rights Act (Civil Code sections 51, et seq.).

"Caltrans improves mobility across California"

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Deputy Directive
Number DD-48-R3
Page 2

Reasonable Accommodation (RA): is a logical adjustment made to a job or work environment that allows a qualified person with a disability that is work-related or non-work related to participate in Caltrans employment process and in applicable work-related functions. To be entitled to an RA, a qualified worker must be impaired in his/her ability to perform the essential functions of the desired or held position because of his/her physical or mental disability or medical condition. RA includes any reasonable adjustment that changes environments, schedules or requirements to adapt to the known physical or mental limitations of an applicant or employee. Such adjustments may include, but are not limited to, modified schedules, leaves of absence, modified duty, provision of assistive devices, reassignments, alternative formats for written materials, equipment or furniture modifications.

RA does not include the purchase of personal use items (i.e., prescription eyeglasses, hearing aids, etc.). A request for a change in supervision does not constitute an RA.

Disability: includes any physical or mental impairment that limits one or more major life activity, a record of having such impairment or regarded as having such an impairment.

Employees: are persons who work for Caltrans and include civil service, temporary, emergency, limited-term, seasonal, exempt, retired annuitant, and special employment workers.

Applicants: are all persons who seek employment with Caltrans.

Essential Functions: are those duties that are fundamental to the job and are designated as such on the Duty Statement. Commuting to or from work is not an essential function and will not be accommodated by Caltrans.

RESPONSIBILITIES

Deputy Director, Administration:

- Ensures the development and dissemination of Caltrans Reasonable Accommodation policy and guidelines.
- Ensures implementation of a reasonable accommodation program that enables employees or applicants the opportunity to participate in Caltrans programs, services and applicable job duties.
- Responds as a second level of appeal for denials of employee's requests for reasonable accommodation.
- Provides oversight to Caltrans RA Program to ensure equal employment opportunities in accordance with Caltrans Equal Employment Opportunity Plan.

"Caltrans improves mobility across California"

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Deputy Directive
Number DD-48-R3
Page 3

- Monitors implementation of the Americans with Disabilities Act Program as established in Caltrans Equal Opportunity Plan.

Deputy Directors, District Directors, Deputy District Directors and Division Chiefs:

- Provide direction to managers and supervisors to engage in the interactive process with their employees.
- Ensure managers and supervisors are trained in reasonable accommodation procedures.
- Respond timely to employees' appeals to denials of request for reasonable accommodation.

Managers and Supervisors:

- Provide the reasonable accommodation policy to employees.
- Provide the reasonable accommodation paperwork when needed (PMS-00 18, 0019 and 0021) to employees with a known disability, including those who have applied for workers' compensation benefits.
- Consult with the Reasonable Accommodation Coordinators, Liaisons and/or the Reasonable Accommodation Branch Chief to obtain assistance in the reasonable accommodation process for a non-work related disability.
- Consult with the Return to Work Coordinators (RTWC), safety officers or Workers' Compensation Branch Chief for assistance in the reasonable accommodation process for work-related disabilities.
- Engage in a meaningful, good faith interactive process with employees requesting reasonable accommodation and consider such requests in accordance with applicable laws.
- Implement approved reasonable accommodation requests.

Reasonable Accommodation Coordinators, Liaisons, Return to Work Coordinators, Safety Officers, and Reasonable Accommodation and Workers' Compensation Branch Chiefs:

- Provide training to managers and supervisors on the reasonable accommodation process.
- Coordinate and monitor reasonable accommodation requests to ensure they are processed in accordance with the law and the policy.
- Provide technical assistance regarding reasonable accommodation to managers, supervisors, and employees.

Employees:

- Notify their supervisor that they have a disability that requires an accommodation to enable them to perform their job's essential functions.
- Submit requests for reasonable accommodation to their immediate supervisor.

"Caltrans improves mobility across California"

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

Deputy Directive
Number DD-48-R3
Page 4

- Engage in a meaningful, good faith interactive process with supervisors in considering the request to determine an appropriate accommodation.
- Provide documentation to substantiate requests for reasonable accommodation as required, or as requested by Caltrans.
- Cooperate in obtaining information from their physician to enable the supervisor to fully evaluate the request for reasonable accommodation.

Applicants:

- Identify needs and submit requests for reasonable accommodation as established in the Reasonable Accommodation Guide.

APPLICABILITY

All Caltrans employees and applicants.



NORMA ORTEGA
Acting Chief Deputy Director

6-14-2013

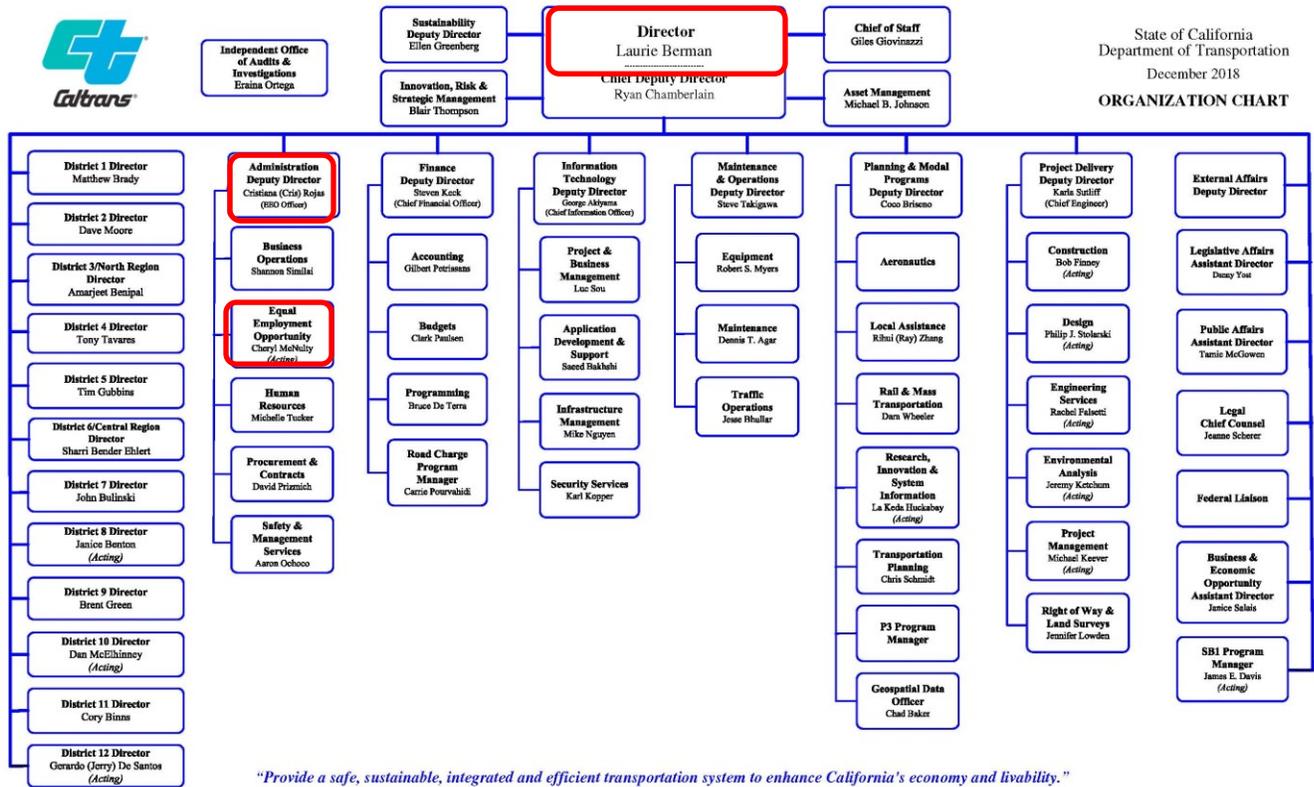
Date Signed

"Caltrans improves mobility across California"

APPENDIX 2 – EEO POLICIES AND DIRECTIVES

APPENDIX 3 – ORGANIZATIONAL CHART

Appendix 3 – Organizational Chart



APPENDIX 4 – CALTRANS DISTRICT MAP

Appendix 4 – Caltrans District Map



APPENDIX 5 – LIST OF SUBRECIPIENTS AND CONTRACTORS

Appendix 5 – List of Subrecipients and Contractors

SUB-RECIPIENTS FOR CALTRANS DIVISION OF RAIL AND MASS TRANSPORTATION

(* indicates required to provide EEO Plan)

1. Alpine County Community Development
2. Amador Transit
3. * Butte County Association of Governments/Butte Regional Transit
4. Calaveras Transit Agency
5. City of Arcata
6. City of Arvin
7. City of Auburn
8. City of California City
9. City of Chowchilla
10. City of Corcoran – Corcoran Area Transit
11. City of Dinuba
12. City of Escalon
13. City of Eureka
14. City of Fairfield
15. City of Guadalupe
16. City of McFarland
17. City of Needles
18. City of Ojai
19. City of Porterville
20. City of Ridgecrest
21. City of Rio Vista
22. City of Shafter
23. City of Solvang
24. City of Taft
25. City of Tehachapi
26. City of Wasco
27. City of Woodlake
28. Colusa County Transit Agency

APPENDIX 5 – LIST OF SUBRECIPIENTS AND CONTRACTORS

29. * County Connection (Central Contra Costa Transit Authority)
30. County of Los Angeles, Department of Public Works
31. County of Mariposa
32. County of Nevada Public Works, Transit Services Division
33. County of Sacramento, Department of Transportation
34. County of Shasta Department of Public Works
35. County of Siskiyou
36. County of Tulare
37. Eastern Sierra Transit Authority
38. Eldorado County Transit
39. Fresno County Rural Transit Agency
40. Glenn County Transportation Commission
41. Humboldt Transit Authority
42. Imperial County Transportation Commission
43. Kern Regional Transit
44. Kings County Area Public Transit Agency
45. Lake Transit Authority
46. Lassen Transit Service Agency
47. Madera County
48. Marin County Transit District
49. Mendocino Transit Authority
50. Modoc Transportation Agency
51. * Monterey-Salinas Transit
52. Morongo Basin Transit Authority
53. Mountain Area Regional Transit Authority
54. * Napa County Transportation and Planning Agency
55. * North County Transit District
56. Placer County Public Works (Tahoe Area Regional Transit [TART] & Placer County Transit [PCT])
57. Plumas County Transportation Commission
58. Redwood Coast Transit Authority
59. * Riverside Transit Agency
60. San Benito County Local Transportation Authority
61. * San Diego Metropolitan Transit System
62. * San Joaquin Regional Transit District

APPENDIX 5 – LIST OF SUBRECIPIENTS AND CONTRACTORS

63. * San Luis Obispo RTA
64. * San Mateo County Transit District
65. * Santa Clara Valley Transportation Authority
66. * Santa Cruz Metropolitan Transit District
67. Sierra County Transportation Commission
68. Sonoma County Transit
69. Stanislaus County Public Works – Transit Division
70. * SunLine Transit Agency
71. Tehama County Transit Agency
72. Town of Truckee – Transportation District
73. Transit Joint Powers Authority for Merced County
74. Trinity County Department of Transportation
75. Tuolumne County Transit Agency
76. Victor Valley Transit Authority
77. Yolo County Transportation District
78. Yuba-Sutter Transit Authority

APPENDIX 6 – SUBRECIPIENT CHECK LIST (DRMT)

Appendix 6 – Subrecipient Check List (DRMT)

EEO PROGRAM CHECKLIST

Every four years, on a date determined by FTA, each direct recipient who meets the threshold described in section 1.4 of this Circular, must submit the following information to FTA as part of its EEO Program. Subrecipients and contractors who meet the threshold must submit the required information to its direct recipient (the entity from whom the subrecipient receives funds directly, generally a transit agency or State DOT).

EEO Program General Requirements (Chapter 2)

Full EEO Program Requirements

Any FTA applicant, recipient, subrecipient, and contractor who: 1) Employs 100 or more transit related employees and 2) Requests or receives capital or operating assistance in excess of \$1 million in the previous Federal fiscal year, or requests or receives planning assistance in excess of \$250,000 in the previous Federal fiscal year, must submit the a full EEO Program, including the following elements, every four years, either to FTA or to its direct recipient, as required:

- Statement of Policy
- Dissemination Plan
- Designation of Personnel Responsibility
- Utilization Analysis
- Goals and Timetables
- Assessment of Employees Practices
- Monitoring and Reporting Plan

APPENDIX 6 – SUBRECIPIENT CHECK LIST (DRMT)

DRMT CHECKLIST (CONTINUED)

Abbreviated EEO Program Requirements:

Any FTA applicant, recipient, subrecipient, and contractor who: 1) Employs 50 - 99 transit-related employees and 2) Requests or receive capital or operating assistance in excess of \$1 million in the previous Federal fiscal year, or requests or receives planning assistance in excess of \$250,000 in the previous Federal fiscal year must prepare and maintain the following abbreviated EEO Program elements:

- Statement of Policy
- Dissemination Plan
- Designation of Personnel Responsibility
- Assessment of Employees Practices
- Monitoring and Reporting Plan

APPENDIX 7 – PROOF OF REVIEW

Appendix 7 – Proof of Review

STATE OF CALIFORNIA—CALIFORNIA STATE TRANSPORTATION AGENCY

EDMUND G. BROWN Jr., Governor

DEPARTMENT OF TRANSPORTATION
DIVISION OF RAIL AND MASS TRANSPORTATION
P.O. BOX 942873, MS-39
SACRAMENTO, CA 94273-0001
PHONE (916) 654-8811
FAX (916) 654-9366
TTY 711
www.dot.ca.gov



*Making Conservation
a California Way of Life.*

December 12, 2018

Ms. Maria Harris
Human Resources Manager
El Dorado County Transit Authority
6565 Commerce Way
Diamond Springs, CA 95619

Re: Equal Employment Opportunity (EEO) Plan Approval

Dear Ms. Harris:

Thank you for submitting El Dorado County Transit Authority's EEO Plan. Upon our December 12, 2018 Plan review, we have determined that it meets the requirements set forth in the Federal Transit Administration's (FTA) Title VI Circular, 4704.1A, "Equal Employment Opportunity (EEO) Requirements and Guidelines for Federal Transit Administration Recipients," effective October 31, 2016. This Plan becomes part of your Certificate and Assurances and you are also required to maintain it.

We thank you for partnering with us to meet the new FTA compliance requirements. Please feel free to contact me at (916) 324-0822, should you have any questions or need immediate technical assistance. I can also be reached by e-mail at lea_simpson@dot.ca.gov.

Sincerely,

A handwritten signature in blue ink that reads "Lea M. Simpson".

LEA M. SIMPSON
Sr. Transportation Planner

APPENDIX 7 – PROOF OF REVIEW

STATE OF CALIFORNIA—CALIFORNIA STATE TRANSPORTATION AGENCY

EDMUND G. BROWN Jr., Governor

DEPARTMENT OF TRANSPORTATION
DIVISION OF RAIL AND MASS TRANSPORTATION
P.O. BOX 942873, MS-39
SACRAMENTO, CA 94273-0001
PHONE (916) 654-8811
FAX (916) 654-9366
TTY 711
www.dot.ca.gov



*Making Conservation
a California Way of Life.*

December 12, 2018

Ms. Pam Lorence
Research & Program Coordinator
City of Santa Rosa
45 Stony Point Road
Santa Rosa, CA 95401

Re: Equal Employment Opportunity (EEO) Plan Approval

Dear Ms. Lorence:

Thank you for submitting the City of Santa Rosa's EEO Plan. Upon our December 12, 2018 Plan review, we have determined that it meets the requirements set forth in the Federal Transit Administration's (FTA) Title VI Circular, 4704.1A, "Equal Employment Opportunity (EEO) Requirements and Guidelines for Federal Transit Administration Recipients," effective October 31, 2016. This Plan becomes part of your Certificate and Assurances and you are also required to maintain it.

We thank you for partnering with us to meet the new FTA compliance requirements. Please feel free to contact me at (916) 324-0822, should you have any questions or need immediate technical assistance. I can also be reached by e-mail at Lea_Simpson@dot.ca.gov

Sincerely,

A handwritten signature in blue ink that reads "Lea M. Simpson".

LEA M. SIMPSON
Sr. Transportation Planner

*"Provide a safe, sustainable, integrated and efficient transportation system
to enhance California's economy and livability."*

APPENDIX 7 – PROOF OF REVIEW

STATE OF CALIFORNIA—CALIFORNIA STATE TRANSPORTATION AGENCY

EDMUND G. BROWN Jr., Governor

DEPARTMENT OF TRANSPORTATION
DIVISION OF RAIL AND MASS TRANSPORTATION
P.O. BOX 942873, MS-39
SACRAMENTO, CA 94273-0001
PHONE (916) 654-8811
FAX (916) 654-9366
TTY 711
www.dot.ca.gov



*Making Conservation
a California Way of Life.*

December 12, 2018

Mr. Omar McPherson
Grants & Financial Manager
San Luis Obispo Regional Transit Authority
179 Cross Street
San Luis Obispo, CA 93401

Re: Equal Employment Opportunity (EEO) Plan Approval

Dear Mr. McPherson:

Thank you for submitting San Luis Obispo Regional Transit's EEO Plan. Upon our December 12, 2018 Plan review, we have determined that it meets the requirements set forth in the Federal Transit Administration's (FTA) Title VI Circular, 4704.1A, "Equal Employment Opportunity (EEO) Requirements and Guidelines for Federal Transit Administration Recipients," effective October 31, 2016. This Plan becomes part of your Certificate and Assurances and you are also required to maintain it.

We thank you for partnering with us to meet the new FTA compliance requirements. Please feel free to contact me at (916) 324-0822, should you have any questions or need immediate technical assistance. I can also be reached by e-mail at Lea_Simpson@dot.ca.gov

Sincerely,

A handwritten signature in blue ink that reads "Lea M. Simpson".

LEA M. SIMPSON
Sr. Transportation Planner

*"Provide a safe, sustainable, integrated and efficient transportation system
to enhance California's economy and livability."*

APPENDIX 7 – PROOF OF REVIEW

STATE OF CALIFORNIA—CALIFORNIA STATE TRANSPORTATION AGENCY

EDMUND G. BROWN Jr., Governor

DEPARTMENT OF TRANSPORTATION
DIVISION OF RAIL AND MASS TRANSPORTATION
P.O. BOX 942873, MS-39
SACRAMENTO, CA 94273-0001
PHONE (916) 654-8811
FAX (916) 654-9366
TTY 711
www.dot.ca.gov



*Making Conservation
a California Way of Life.*

December 13, 2018

Mr. Carl Hasty
District Manager
Tahoe Transportation District
128 Market Street, Suite 3F
Stateline, NV 89448

Re: Equal Employment Opportunity (EEO) Plan Approval

Dear Mr. Hasty:

Thank you for submitting Tahoe Transportation District's EEO Plan. Upon our December 13, 2018 Plan review, we have determined that it meets the requirements set forth in the Federal Transit Administration's (FTA) Title VI Circular, 4704.1A, "Equal Employment Opportunity (EEO) Requirements and Guidelines for Federal Transit Administration Recipients," effective October 31, 2016. This Plan becomes part of your Certificate and Assurances and you are also required to maintain it.

We thank you for partnering with us to meet the new FTA compliance requirements. Please feel free to contact me at (916) 324-0822, should you have any questions or need immediate technical assistance. I can also be reached by e-mail at Lea_Simpson@dot.ca.gov

Sincerely,

A handwritten signature in blue ink that reads "Lea M. Simpson".

LEA M. SIMPSON
Sr. Transportation Planner

*"Provide a safe, sustainable, integrated and efficient transportation system
to enhance California's economy and livability."*

APPENDIX 8 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS SUBMISSION (2016)

Appendix 8 – Copy of Goals and Timetables from Previous Submission (2016)

GOALS AND TIMETABLES

OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY OBJECTIVES

- To obtain/maintain a workforce representative of California's diverse labor force.
- To maintain a work environment free of discrimination as required by Title VII of the 1972 Equal Employment Opportunity Act, California Government Code 19702, the Age Discrimination Act, laws pertaining to persons with disabilities, and other related laws.
- To ensure that departmental programs, services and/or benefits are administered equally and fairly to participants or beneficiaries in accordance with applicable State and Federal laws.
- To ensure the Department complies with the Dymally-Allatore Bilingual Services Act of 1973.

GENERAL OBJECTIVES

- Provide a statistical evaluation on the Department's efforts to address underutilization.
- Enhance the effectiveness of the Office of Equal Employment Opportunity in serving Districts and Headquarters management staff.
- Ensure that proposed new classifications and revisions to existing classifications allow for the maximum utilization, advancement, and career mobility of minorities, women, and persons with disabilities.
- Make the Statewide Affirmative Action Plan available to Caltrans' employees.

TARGET GROUPS/CLASSIFICATION & PLANNED ACTION/GOALS

Persons with Disabilities (PWD)

Caltrans reviews persons with disabilities (PWD) in addition to the review of minority groups and gender analysis. The Department conducted the Disability Survey in October 2014, and the numbers reflected that as of Dec 31, 2014, the Department's PWD representation was at 17.4%, exceeding both the State threshold of 13.3% and Cal HR's estimate (based on the Workforce Analysis report) of 16.6%. The Department's prior PWD representation as of December 31, 2013, was at 12.4%, which did not meet the State's threshold or CalHR's estimate; showing that within one year the department surpassed minimum threshold. CalHR requires the Department to survey employees every five years.

Goals:

- Complete Caltrans' Disability Awareness Online Training by 2016.
- Continue to promote Disability Awareness Training.

Planned Action:

- Develop partnerships with other state departments to share resources.
- Promote and attend the monthly Caltrans' Disability Awareness Committee (CTDAC) in HQ and Statewide DACs via video teleconferences (VTC).
- Promote participation in biennial disability survey for Caltrans' workforce on a voluntarily basis.

APPENDIX 8 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS SUBMISSION (2016)

GOALS AND TIMETABLES

- Make District DAC and HQ DAC information and activities available online by year 2016.

Summary of Caltrans Ethnicity / Gender Percentages
Data as of December 31, 2013 & December 31, 2014
2014 & 2015 Calendar Yearly Totals and Percentages

| Year | Women | Men | Minorities | Caucasian | Disability |
|------|-------|-------|------------|-----------|------------|
| 2014 | 25.4% | 74.6% | 52.4%* | 47.6% | 12.4% |
| 2015 | 25.2% | 74.8% | 53%** | 47.0% | 17.4% |

*Other/Unknown is 3.8%

Asian/Filipino/Pacific Islander (AFPI)

The numbers needed to address underutilization for AFPI Statewide are reflected in the statistical overview chart below. The chart reflects Occupational Groups where underutilization occurs.

| Ethnicity/ Gender | Occupational Groups | Statewide District | Hiring Goal (Number of Hires Needed to Reach Parity) |
|----------------------|--|-----------------------|---|
| AFPI | 059 – Electrical Engineering Technicians | Statewide | 8 |
| AFPI | 081 – Data Processing Managers | Statewide | 6 |
| AFPI | 086 – Information Systems/Systems Software | Statewide | 48 |
| AFPI | 095 – Rail Transportation Service | Statewide | 7 |

Goals:

- Increase outreach events by an additional 3, with focus on AFPI professionals in above listed occupational groups by year 2018.
- Hire 18 AFPI in Occupational Groups 059, 081, 086, and 095 by 2017; approximately 25% of above listed deficiency.
- Implement by January 1 2016, DHR Occupational Groups style fliers for EEO District outreach events, for the above listed Occupational Groups.

Planned Action:

- Review District Annual Element Report Annual Planned Action Goals to measure participation in outreach to deficient groups.
- Monitor statewide activities via monthly and quarterly EEO meetings.

APPENDIX 8 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS SUBMISSION (2016)

GOALS AND TIMETABLES

- Provide Caltrans specific employment information at outreach events.
- Encourage EEO review of interview questions for hiring panels.

Black/African American

The numbers needed to address underutilization for Black/African American Statewide are reflected in the statistical overview chart below. The chart reflects Occupational Groups where underutilization occurs.

| Ethnicity/ Gender | Occupational Groups | Statewide District | Hiring Goal (Number of Hires Needed to Reach Parity) |
|---------------------------|----------------------|-----------------------|---|
| Black/African American | 065 – Land Surveyors | Statewide | 17 |

Goals:

- Increase outreach by an additional 4 events with focus on Black / African American professionals in Land Surveyor occupational groups by year 2018.
- Hire 5 Black/African American in Occupational Group 065 by 2017; approximately 25% of above listed deficiency.
- Implement by January 1 2016, DHR Occupational Groups style fliers for EEO District outreach events in the above listed Occupational Group.

Planned Action:

- Review District Annual Element Reports and annual planned action goals to measure participation in outreach to deficient groups.
- Monitor statewide activities via monthly and quarterly EEO meetings.
- Provide Caltrans specific employment information at outreach events.
- Encourage EEO review of interview questions for hiring panels.

Women/Female

The numbers needed to address underutilization for Women/Female statewide are reflected in the statistical overview chart below. The chart reflects Occupational Groups where underutilization occurs.

| Ethnicity/Gender | Occupational Groups | Statewide District | Hiring Goal (Number of Hires Needed to Reach Parity) |
|------------------|---|-----------------------|---|
| Women | 061 – Engineering Geologist/ Geologist | Statewide | 16 |
| Women | 065 – Land Surveyors | Statewide | 47 |

APPENDIX 8 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS SUBMISSION (2016)

GOALS AND TIMETABLES

Goals:

- Increase outreach by an additional 3 events with focus on women professionals in above listed occupational groups by year 2018.
- Hire 16 Women in Occupational Groups 061 and 065 by 2017; approximately 25% of above listed deficiency.
- Implement by January 1, 2016, DHR Occupational Groups style fliers for all EEO District outreach events in the above listed Occupational Groups.

Planned Action:

- Review District Annual Element Reports and annual planned action goals to measure participation in outreach to deficient groups.
- Monitor statewide activities via monthly and quarterly EEO meetings.
- Provide Caltrans specific employment information at outreach events.
- Encourage EEO review of interview questions for hiring panels.

Classification Group - 210 - Highway/Land Maintenance Workers

| District | Count of Employees | Total Minority Count | State Deficiency (ies) | |
|---------------------|--------------------|----------------------|------------------------|---------------------------------|
| | | | Women | Asian/Filipino/Pacific Islander |
| 1 | 72 | 14 | 25 | 0 |
| 2 | 85 | 13 | 30 | 0 |
| 3 | 153 | 32 | 65 | 14 |
| 4 | 129 | 89 | 40 | 24 |
| 5 | 48 | 26 | 23 | 0 |
| 6 | 28** | 17 | -- | -- |
| 7 | 200 | 166 | 70 | 21 |
| 8 | 78 | 46 | 36 | 0 |
| 9 | 4** | 2 | -- | -- |
| 10 | 21** | 5 | -- | -- |
| 11 | 63 | 37 | 22 | 4 |
| 12 | 38 | 29 | 13 | 6 |
| Total | 919 | 476 | -- | -- |
| Deficiencies | -- | -- | 324 | 69 |
| Percentages | 100.00% | 51.80% | 35.26% | 7.51% |

** - Sample size is not large enough to perform Z Test

APPENDIX 8 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS SUBMISSION (2016)

GOALS AND TIMETABLES

Classification Group - 125- Highway/Landscape Maintenance Workers

| District | Count of Employees | Total Minority Count | State Deficiency(ies) | | |
|---------------------|--------------------|----------------------|-----------------------|---------------------------------|---------------|
| | | | Women | Asian/Filipino/Pacific Islander | Hispanic |
| 1 | 177 | 22 | 14 | 0 | 0 |
| 2 | 336 | 26 | 20 | 0 | 50 |
| 3 | 515 | 102 | 14 | 11 | 48 |
| 4 | 406 | 209 | 0 | 2 | 38 |
| 5 | 208 | 88 | 0 | 0 | 0 |
| 6 | 258 | 77 | 9 | 0 | 46 |
| 7 | 543 | 396 | 0 | 14 | 73 |
| 8 | 339 | 173 | 0 | 0 | 49 |
| 9 | 195 | 26 | 22 | 0 | 34 |
| 10 | 203 | 59 | 6 | 0 | 11 |
| 11 | 231 | 107 | 0 | 0 | 0 |
| 12 | 144 | 84 | 0 | 1 | 28 |
| Total | 3555 | 1369 | -- | -- | -- |
| Deficiencies | -- | -- | 85 | 28 | 377 |
| Percentages | 100.00% | 38.51% | 2.39% | 0.79% | 10.60% |

Goals:

- Implement DHR style fliers with information pertaining specifically to the Caltrans Highway Maintenance/Landscape worker, Classification Groups 210 & 125; to be implemented by January 1, 2016.
- DHR will conduct research regarding various trade-specific organizations and labor unions for dissemination of future fliers on an as needed basis.
- Implement by January 1, 2016, DHR Occupational Groups style fliers for all EEO District outreach events.
- Standardize EEO operational procedures and trainings statewide by 2020.
- Hire 81 women and 18 Asian/Filipino/Pacific Islander in classification group 210 by 2018; approximately 25% of each above listed deficiency.
- Hire 22 women, 7 Asian/Filipino/Pacific Islander, and 95 Hispanic in classification group 125 by 2018; approximately 25% of each above listed deficiency.

APPENDIX 8 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS SUBMISSION (2016)

GOALS AND TIMETABLES

Planned Action:

- DHR will present Recruitment and Career Development presentation at the Division of Maintenance Leadership Development Academy. This will include information from DHR presentation on recruitment /retention of a qualified workforce and development of Upward Mobility Plan for career with Caltrans.
- When attending career fairs including high school, collegiate, vocational school, and veterans outreach events, provide class specifications and exam bulletins for various maintenance classifications. The information shared is based on candidate pool and qualifying classifications.
- Encourage EEO review of interview questions for hiring panels.
- Revise and implement standardized Diversity Awareness Training statewide by December 2016.
- Implement EEO Desk Manual containing standardized and newly restructured operational procedures by 2017.

APPENDIX 9 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS APPROVED SUBMISSION (2012)

Appendix 9 – Copy of Goals and Timetables from Previous Approved Submission (2012)

Caltrans' previous approved submission to the Federal Transportation Administration was **Caltrans EEO Self-Assessment Elements 2012**. The goals timeframe for implementation of the outlined objectives was for Federal Fiscal Year 2013. It is noted here that EEO goals and objectives were broadly defined, not quantitative or in chart format, and did not include a timeline. In future, we will endeavor to provide more specific and quantifiable goals with timeframes for implementation or completion.

Caltrans Headquarters EEO Program Goals

Goal 1: Continue to promote an accessible, safe, and healthy work environment that is free from discrimination and harassment.

- Objective 1.1: Review and update the Caltrans EEO Policy and related Deputy Directives to ensure that they remain current with applicable regulations and law.

Goal 2: Provide effective training and guidance to managers, supervisors, and employees, regarding EEO, other Civil Rights laws, and Caltrans policies and procedures, to help them appropriately address workplace situations respectfully, legally, and consistently.

- Objective 2.1: Conduct research into the feasibility of implementing an online DivAT (Diversity Awareness Training) for Caltrans employees.
- Objective 2.2: Market the training modules to managers and supervisors during regular staff meetings. These modules will review the guidelines for implementing the Caltrans EEO Policy and related Deputy Directives as well as the expectations of Caltrans employee behavior in the work environment.

Goal 3: Establish a Caltrans-wide Outreach Program to employees.

- Objective 3.1: Update and improve the EEOP website to ensure that the most current information is available to Caltrans employees.

APPENDIX 9 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS APPROVED SUBMISSION (2012)

- Objective 3.2: Promote the celebration of cultural heritage events to help Caltrans employees understand and embrace diversity; e.g., Black Heritage Month, Chinese New Year, Jewish New Year, Cinco de Mayo, Tet Nguyen Dan, etc.
- Objective 3.3: Plan a Disability and Diversity Awareness Celebration for September 2013.
- Objective 3.4; Develop and update handouts, such as Frequently Asked Questions, concerning EEO Goals and Objectives or posters that highlight diversity awareness and how Caltrans employees can help support EEO goals and objectives.

Goal 4: Provide updated training and guidance to EEO supervisors, managers, and officers, so that they can function effectively in their capacities as Caltrans EEO subject matter experts.

- Objective 4.1: Update and revise the EEO Guide to ensure that all information within the EEO Guide is current.
- Objective 4.2: Conduct monthly VTC meetings to update all EEO Managers and Officers about current statewide activities and plan for future EEO training and events.

District 1 (Eureka, CA) – 2013 EEOP GOALS

1. Provide classroom-based SHPT to rank and file, managers, and supervisors, before the end of 2013 to ensure SHPT is provided every two years to all staff.
2. Attend monthly statewide EEO VTC meetings, quarterly Regional EEO VTC or teleconference, and quarterly Title VI Interdisciplinary meetings.
3. Attend monthly staff meetings, quarterly DAC meetings, and quarterly Incident Response Team meetings.
4. Continue to recruit for Disability Awareness Committee members.
5. Plan Diversity and Disability Awareness Day events for October 2013.
6. Plan Bring Your Child to Work Day event for April 2013.
7. Pursue participation within the District in the Garrett Morgan Symposium.
8. Coordinate and facilitate Title VI activities within the District, train greeters, and participate in public outreach meetings to address Title VI issues.

APPENDIX 9 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS APPROVED SUBMISSION (2012)

9. Continue to serve on interview panels as EEO representative.
10. Provide EEO, Sexual Harassment Prevention, and Title VI training to all District employees.

District 2 (Redding, CA) – 2013 EEOP GOALS

1. Continue the DAC efforts of increasing awareness and sensitivity to all District employees.
2. Continue participation in North Region EEO meetings.
3. Encourage employees to receive the online Title VI Training by sending quarterly e-mail reminders.
4. Ensure all supervisors and managers receive mandatory SHPT in 2013.
5. Ensure all rank and file employees receive mandatory SHPT in 2013.
6. Attend the Office Chief's annual unit meeting to review the EEO policies and answer questions.

District 3 (Marysville, CA) – 2013 EEOP GOALS

1. Attend weekly Executive Staff meetings, Monthly Branch Chief meetings, and Quarterly District Safety Awareness Committee meetings. Done
2. Continue to work with Local Assistance and ADA Coordinator on inquiries and grievances on ADA related issues.
3. Provide status reports to Headquarters ADA Liaison to show progress of inquiries and/or grievances on file.
4. Maintain postings for EEO and Title VI information. Ensure the postings are placed in Maintenance Stations and Resident Engineer Offices. Done
5. Continue to recruit employees for the DAC.
6. Provide ongoing training in an effort to minimize discrimination.
7. Continue to participate in hiring panels. Only partial.
8. Continue to review and provide recommendations on the screening criteria used for hiring positions. Only partial.
9. Attend recruitment events.
Disability Awareness/Diversity Day Celebration will be held in October 2013. Done

APPENDIX 9 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS APPROVED SUBMISSION (2012)

10. Conduct SHPT for employees.
11. Coordinate online SHPT for managers/supervisors.

District 4 (Oakland, CA) – 2013 FEOP GOALS

1. Review DAC policies and procedures and provide District employees with guidance concerning the Americans with Disabilities Act compliance issues.
2. Begin to provide DisAT to District 4 staff.
3. Continue to provide SHPT and DivAT to District 4 staff.
4. Continue to update the District EEO Intranet site.
5. Continue to provide Title VI Training on-line training via LMS on a monthly basis.
6. Continue to provide Title VI Training for employees without computer access and by special request.
7. Continue District oversight responsibilities for the 13th Annual Garrett Morgan Sustainable Transportation Symposium.
8. Re-establish the Adopt-a-School and Mentoring Programs within the District.
9. Continue job tutorial training at Recruitment and Career Fairs

District 5 (San Luis Obispo, CA) – 2013 FEOP GOALS

1. Revamp the DAC program by encouraging additional staff to participate.
2. Resume hosting Brown Bag sessions supporting DAC, Diversity Awareness, and Healthy Living programs.
3. Update the Diversity Awareness/DAC/Training Web pages.

District 6 (Fresno, CA) – 2013 FEOP GOALS

1. Coordinate and provide training promoting awareness of Title VI requirements, policies and procedures.
2. Continue efforts to reestablish the Disabled Advisory Committee.
3. Continue to provide LEP and Title VI public information in languages other than English at public meetings and outreach events.
4. Self monitoring to improve the LEP reporting by creating a database that will compile monthly reporting; overall it will provide statistics accurately and quickly.
5. Update the LEP Volunteer Interpreter List for all counties within District 6 Fresno.
6. Plan and implement District 6 Diversity and Disability Awareness Day for spring of

APPENDIX 9 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS APPROVED SUBMISSION (2012)

2013.

7. Plan and implement Cultural History event celebrations throughout the year of 2012.
8. Develop new ideas for training and motivating employees for Sexual Harassment Prevention training, and Diversity Awareness Training.
9. Update EEO intranet web site to include schedule for EEO class training dates.
10. Prepare articles to D6 Newsletter that provides updates and resources regarding EEO Policies.
11. Monitor and update our EEO Intranet website Title VI information including publications, and services, to ensure that the most current and accurate information is provided to our employees.

District 7 (Los Angeles, CA) – 2013 EEOP GOALS

1. Enhance efforts to market, promote and increase membership in the DAC; continue to heighten disability awareness by providing training and quality programs that inform staff about the challenges, accomplishments, and achievements of persons with disabilities.
2. Develop an ADA Guide on ADA topics and grievance procedures to enhance the ADA grievance process.
3. Continue to invite and increase the participation of ADA Team in the Monthly ADA Teleconferences.
4. Maintain the momentum of the Bring Your Own Lunch and Learn series and Resource Fairs by hosting an event on a quarterly basis. These events serve as a marketing tool for EEO and help to provide positive training opportunities for staff, which boosts morale and promotes workforce cohesion.
5. Enhance and update the EEO website, posters, pamphlets and brochures; update EEO brochures to ensure that the most current and accurate information is provided to our customers.
6. Participate on interview panels, review interview questions, and make recommendations upon request.
7. Host Diversity and Disability Awareness Day and other cultural events that promote the core principles of EEO.
8. Provide updates and news on current important topics to the District in a timely manner by providing newsletter articles, notices, and electronic mail.
9. Attend Divisional all-hands meetings to provide EEO overview, updates, and

APPENDIX 9 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS APPROVED SUBMISSION (2012)

current EEO topics.

10. Expand and enhance the Mentor Program to increase mentor participation by hosting job shadow days and Bring Your Child to Work Day.
11. Provide our local community and schools with information about Caltrans and/or the State of California and its employment opportunities through "Adopt-A-School," Career Fairs and other promotional venues and participate in the Garrett Morgan Symposium.
12. Provide updated SHPT, EEO Overview, Diversity Awareness, and DisAT to all staff and divisions on a continuous basis.
13. Awarded more and increase the amount of scholarships to students from the Adopt-A- School Program.

District 8 (San Bernardino, CA) – 2013 EEOP GOALS

District 8 EEO Officers will:

1. Develop and provide focus-based EEO protected basis discrimination and harassment training modules to management staff in the District.
2. Continue to provide Sexual Harassment Prevention/EEO Overview Training classes per AB1825, repeating every two (2) years as necessary for Supervisory / Management and Rank & File staff.
3. Schedule a minimum of four classes each quarter for both Supervisory/Management and Rank & File staff.
4. Provide Diversity Awareness Training for Supervisory/Management and Rank & File staff.
5. Provide Disability Awareness Training for Supervisory/Management and Rank & File staff.
6. Develop and implement new Supervisor/Manager Reasonable Accommodation Focus training.
7. Coordinate annual Bring Your Child to Work Day Event.
8. Coordinate annual Disability Month Event.
9. Coordinate annual Diversity Day Event.
10. Develop a Title VI vs. Title VII Fact sheet.
11. Develop a Limited English Proficiency FAQ sheet.
12. Recruit new members for the District's Disability Advisory Committee (DAC).
13. Continue to provide the District with hiring panel support through the review of interview questions and training on the interview process with all hiring panels for all interviews in the District.

APPENDIX 9 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS APPROVED SUBMISSION (2012)

District 9 (Bishop, CA) – 2013 EEOP GOALS

1. The EEO officer would like to participate in the Adopt a school program for the dual Language program.
2. The EEO officer would like to take mediation skills training to assist the District with their mediations.

District 10 (Stockton, CA) – 2013 EEOP GOALS

1. Continue to attend job fairs and career days within District boundaries.
2. Continue to provide tools and resources to high schools and middle schools during their career exploration days.
3. Continue to have staff participate in MOCK fairs to prepare students or job seekers for the job market.
4. Increase awareness and understanding of careers in Math and Science and the required college preparation to students in Middle School and High School.
5. Continue mentoring a class from Morada Middle School to participate in the 2013 Garret Morgan Program Project Competition and Videoconference.
6. Continue informing high schools and universities about the Caltrans Volunteer Program and the Student Assistant Program.
7. Re-instate the Adopt-A-School Program.
8. Assemble the Diversity and Disability Awareness Day Planning Committee to deliver the Annual Diversity/Disability Awareness Day for FFY 2013.
9. Continue to deliver EEO-Related training, including Sexual Harassment Prevention Training, Title VI Training, Diversity Awareness Training, and Workplace Violence Prevention Training for rank and file employees, supervisors and management.

10. Ongoing effort to raise awareness of the Disability Advisory Committee (DAC) as a resource to employees, the EEO Officer will remind employees of the purpose of the DAC during any EEO-related training that is given.
11. Keep the DAC active and increase awareness of the DAC.
12. Continue to attend Monthly EEOP videoconference meetings and provide updates on a monthly basis.

APPENDIX 9 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS APPROVED SUBMISSION (2012)

District 11 (San Diego, CA) – 2013 EEOP GOALS

1. Provide SHPT and DivAT to all District employees.
2. Enhance efforts in the ADA Program area, specifically with regard to providing input for processing ADA discrimination complaints, disseminating relevant information such as current issues and concerns, and monitoring the District's compliance with ADA directives and laws.
3. Enhance efforts to market, promote, and increase membership in the DAC, in addition to assisting the DAC with its efforts to increase disability awareness and sensitivity to the disabled community.
4. Coordinate Diversity/Disability Day, Bring Your Child to Work Day, and Disability Awareness Month.
5. Update EEO informational handouts as needed.
6. Continue to assist the public with ADA complaints/grievances.
7. Continue to attend monthly EEOP VTC meetings and provide updates to them on a monthly basis.

District 12 (Irvine, CA) – 2013 EEOP GOALS

1. Provide EEO Awareness training to all staff in the District.
2. Provide DivAT to all employees.
3. Provide SHPT to all new employees.
4. Provide yearly Title VI training to all staff.
5. Plan and coordinate a Southern Region Quarterly EEO Workshop Meeting for all EEO Staff from Districts 7, 8, 11, and 12, along with other designated EEO staff members in Summer 2012.
6. Increase Caltrans staff member interest in the Disability Awareness Committee through membership drives.
7. Increase employee participation in the Mentor Program.
8. Promote, plan, and coordinate Diversity and Disability Awareness Day.
9. Promote, plan, and coordinate Bring Your Child to Work Day.
10. Promote, plan, and coordinate local school participation in the Garrett Morgan Symposium.
11. Update EEO informational handouts as needed.
12. Review interview questions and interview process, upon request, for interviews in the District.
13. Continue to serve our local community and schools to provide information about the Department and/or the State of California and the opportunities that we can

APPENDIX 9 – COPY OF GOALS AND TIMETABLES FROM PREVIOUS APPROVED SUBMISSION (2012)

provide, with an emphasis on outreach.

District 59 (Division of Engineering Services) Sacramento, CA Headquarters **2013 EEOP GOALS**

1. Continue to support and coordinate efforts with the EEO Program and participate in the various Department EEO events and conferences.

APPENDIX 10 – FTA APRIL 2018 CHECKLIST WITH CALTRANS REPORT PAGE COORDINATES

Appendix 10 – FTA April 2018 Checklist with Caltrans Report Page Coordinates

| | | | | |
|---------------------------------|---|------------|-----------|--|
| | Recipient Name: Caltrans | | | |
| | TRAMS ID:1622 | | | |
| | Date EEO Program Was Reviewed:4/19/18 | | | |
| | Review Conducted By: Lynette Little | | | |
| 2.2 EEO PROGRAM ELEMENTS | | | | |
| | STATEMENT OF POLICY-C. 4704.1A 2.2.1 | Yes | No | Review Comments |
| 1 | Is there a written Statement of Policy by the CEO/GM | x | | The statements provided are very confusing. Neither is signed and I am not sure which policy you post and use at the agency? All of the elements below should be agency wide. PP. 11-12, 79 |
| | Does the statement: | | | |
| 2 | Express the agency's commitment that all employment actions will be administered without regard to race, color, religion, national origin, sex (including gender identity, sexual orientation, and pregnancy), age, genetic information, disability, veteran status, or other protected | | x | No statement with overall agency commitment. Again, confusing. Job descriptions listed but no clear statement. P. 11, paragraph 1 |
| 3 | Commit to develop a written nondiscrimination program and make the EEO Program available for inspection | | x | Not sure I saw overall agency commitments for all the following elements? P. 12, paragraph 2 |
| 4 | Explain that the responsibility for implementing the EEO Program is assigned to an agency executive who reports directly to the CEO/GM | | x | P. 11, paragraph 5 |
| 5 | State that applicants and employees have the right to file complaints alleging discrimination with the EEO Officer or | | x | P. 11, paragraph 3 |
| 6 | State that retaliation against an individual who engages in protected activity is strictly prohibited and will not be tolerated | | x | P. 11, paragraph 3 |
| 7 | State the agency's commitment to provide reasonable accommodations to applicants and employees who need them because of a disability or to practice or observe their religion | | x | P. 11, paragraph 4 |
| 8 | State that all management and supervisory personnel share in this responsibility and are assigned specific tasks to ensure and achieve compliance | | x | P. 12, paragraph 1 |
| 9 | State that the agency evaluates the performance of supervisors based on the success of the EEO Program | | x | P. 12, paragraph 1 |
| 10 | Provide the name and contact information for the EEO Officer | | x | P. 11, paragraph 5 |
| 11 | Provide the Signature and Date of GM or CEO | | x | No actual signature and date on the submitted policy. P. 79 |
| | DISSEMINATION-C. 4704.1A 2.2.2 | Yes | No | Review Comments |
| | Does the dissemination section include: | | | This section appeared to be general in nature and not specific to FTA requirements outlined below. The dissemination section of your FTA EEO plan should clearly outline all the following elements. |
| 12 | Providing written communications from the CEO/GM (i.e., policy statement) | | x | P. 13, paragraph 1 |
| 13 | Posting official EEO materials in various locations around the agency | | x | P. 14, under "Postings" at bottom |

APPENDIX 10 – FTA APRIL 2018 CHECKLIST WITH CALTRANS REPORT PAGE COORDINATES

| | | | | |
|----|---|------------|-----------|---|
| 14 | Including the EEO policy statement in the agency's personnel and operations manual, employee handbooks, reports and manuals | | x | P. 13, paragraphs 1-3 |
| 15 | Meeting with top management officials at a minimum semiannually to discuss the EEO Program and its implementation | | x | P. 15, under "Meetings", first paragraph |
| 16 | Meeting with all employees and affinity groups to seek input on the program implementation | | x | P. 15, under "Meetings", first paragraph |
| 17 | Conducting periodic EEO training for all employees and for managers | | x | P. 16, under "EEO Trainings & Presentations" at bottom |
| 18 | Conducting EEO training for all new supervisors or managers within 90 days of their appointment | | x | P. 16, under "EEO Trainings & Presentations" at bottom |
| | <i>Externally, does the agency state:</i> | | | |
| 19 | When there is outreach or advertising to recruitment entities the agency will disseminate their policy to those entities | | x | Not discussed P. 17, last paragraph |
| 20 | All recruitment ads must state that the agency "is an equal employment opportunity employer" | x | | P. 17, paragraph 5 under "Recruitment" |
| | DESIGNATION OF PERSONNEL-C. 4704.1A 2.2.3 | Yes | No | Review Comments |
| | Do the EEO program office responsibilities include: | | | This section was difficult to review as it appear to not be specific to FTA requirements. |
| 21 | Developing the EEO policy statement and a written EEO Program | x | | P. 18 - EEO Officer, bullet #7 |
| 22 | Assisting management in collecting and analyzing employment data, identifying problem areas, setting goals and time tables, and developing programs to achieve goals | | x | Not sure I saw this listed? P. 18 - EEO Officer, bullet #8 |
| 23 | Designing, implementing, and monitoring audit and reporting systems to measure program effectiveness and to determine where progress has been made and where proactive action is needed | | x | P. 18 – EEO Officer, bullet #9 |
| 24 | Reviewing the agency's nondiscrimination plan with all managers and supervisors to ensure that the policy is understood | | x | P. 18 – EEO Officer, bullet #10 |
| 25 | Concurring in the hiring and promotion process | | | P. 18 – EEO Officer, bullet #11 |
| 26 | With human resources, periodically reviewing employment, complaint, and reasonable accommodation policies; performance evaluations; grievance procedures; and union agreements | | x | P. 18 – EEO Officer, bullet #12 |
| 28 | Reporting at least semiannually to the CEO/GM on progress towards agency goals and on contractor and vendor compliance | | x | P. 19 – EEO Officer, bullet #13 |
| 29 | Serving as liaison between the agency and government and community stakeholders | | x | P. 19 – EEO Officer, bullet #14 |
| 30 | Maintaining awareness of current EEO laws, and ensuring the laws affecting nondiscrimination are disseminated to responsible officials | | x | P. 19 – EEO Officer, bullet #15 |
| 31 | Investigating complaints of EEO discrimination | x | | P. 19 – EEO Officer, bullet #16 |
| 32 | Providing EEO training for employees and managers | | x | P. 19 – EEO Officer, bullet #17 |

APPENDIX 10 – FTA APRIL 2018 CHECKLIST WITH CALTRANS REPORT PAGE COORDINATES

| | | | | |
|--|--|------------|-----------|---|
| 33 | With human resources, advising employees and applicants of available training programs and professional development opportunities | | x | P. 19, bullet #18 |
| 34 | Auditing postings of the EEO policy statement to ensure compliance information is posted and up to date | | x | P. 19, bullet #19 |
| | Do the agency officials, supervisors and managers' responsibilities include: | | | No supervisor responsibility section. Very difficult to confirm the following is conducted by supervisors. |
| 35 | Participating in periodic audits of all aspects of employment to identify and to remove barriers obstructing the achievement of specified goals and objectives | | x | P. 20, Mgrs/Supes, bullet #2 |
| 36 | Holding regular discussions with other supervisors, employees, and affinity groups to ensure agency policies and procedures are being followed | | x | P. 20, Mgrs/Supes, bullet #3 |
| 37 | With the EEO Officer, maintaining and updating the personnel database for generating reports required for the nondiscrimination program | | x | P. 20, Mgrs/Supes, bullet #4 |
| 38 | Cooperating with the EEO Officer in review of information and investigation of complaints | | x | P. 20, Mgrs/Supes, bullet #6 |
| 39 | Encouraging employee participation to support the advancement of the EEO Program (e.g., professional development and career growth opportunities, posting promotional opportunities, shadowing, mentoring) | | | P. 20, Mgrs/Supes, bullet #9 |
| UTILIZATION ANALYSIS–C. 4704.1A 2.2.4 | | Yes | No | Reviewer Comments |
| 40 | Does the work force analysis include a statistical breakdown of the recipients' workforce by each EEO-4 job category? | | x | EEO 4 not used and all of the elements in this section are not contained in the UA. PP. 30-33 |
| 41 | Does the recipient break down its workforce by sex and racial group in each EEO-4 category? | | x | PP. 30-33 (charts) |
| 42 | Does the recipient provide an availability percentage for each sex and racial group in the EEO-4 job categories? | | x | PP. 30-33 (charts) |
| 43 | Does the recipient identify and explain the geography used to determine their availability percentage? | | x | P. 30, paragraph 3 |
| 44 | Does the recipient clearly identify underutilized sex and racial groups for each EEO-4 job category? | | x | PP. 30-33 (charts) |
| GOALS AND TIMETABLES–C. 4704.1A 2.2.5 | | Yes | No | Reviewer Comments |
| 45 | Does the recipient establish percentage goals to correct for each underutilized sex and racial group? | | x | PP. 37-40 |
| 46 | Does the recipient explain and provide a justification for prior goals that they did not meet? | | x | PP. 34 (all) - 35 (top) |
| EMPLOYMENT PRACTICES–C. 4704.1A 2.2.6 | | Yes | No | Reviewer Comments |
| 47 | Is there a detailed narrative assessment of current employment practices (e.g., hiring, recruitment, and training)? | x | | There is a detailed narrative of hiring, however none of the following elements were contained in this section of the submission. PP. 41-56 |
| 48 | Do the analyses contain statistical data over the program period to document the impact of the employment practices by sex and race? | | x | P. 55, bottom paragraph |

APPENDIX 10 – FTA APRIL 2018 CHECKLIST WITH CALTRANS REPORT PAGE COORDINATES

| | | | | |
|--|---|------------|-----------|---|
| 49 | Does the recipient provide an explanation of the steps it will take to address any potential adverse impacts in the sex and racial groups? | | X | P. 57 (top), 59 (top), 62 (top), 67 (top) |
| Does the statistical analysis contain: | | | | |
| 50 | The number of applicants for employment in each job category and the number hired, cross-referenced by sex and | | X | No EEO Applicant data is available at this time. |
| 51 | The number of employees in each job category who applied for promotion or transfer and the number in each job category promoted or transferred, cross-referenced by sex and race | | X | No EEO Applicant data is available at this time. |
| 52 | The number and types of disciplinary actions (e.g., indefinite suspension, loss of pay, demotion), tailored to the language used in union contracts and agency policies and procedures | | X | No EEO Disciplinary data is available at this time. |
| 53 | The number of voluntary/involuntary terminations, cross-referenced by sex and race | | X | P. 61 (shows no disparate impact for Terminations) |
| 54 | Job category training that fosters promotion potential, cross-referenced by sex and race | | X | No EEO Training data is available at this time. |
| 55 | Individuals with Disabilities and Veterans, the number of applicants for employment and promotions in each job category and the number hired and promoted, cross-referenced by sex and race | | X | No EEO Disabilities or Veterans data is available at this time. |
| MONITORING AND REPORTING SYSTEMS–C. 4704.1A 2.2.7 | | Yes | No | Reviewer Comments |
| Is there a monitoring system that describes: | | | | |
| 56 | Methods to monitor the EEO components identified in this chapter (e.g., dissemination, utilization analysis, statistical employment practices, timeframe to reach goals, all identified barriers and the progress of the action plan) | | X | What specific methods are used? P. 70, paragraphs 2-3 |
| 57 | Procedures used to determine EEO compliance of subrecipients and contractors such as collection and review of their EEO Programs, visits to facilities to ensure proper posting of the EEO Policy Statement, etc. | | X | Seeing nothing on subs? P. 75, paragraphs 2 through 4 |
| 58 | Procedures for reviewing union contracts, in conjunction with human resources, to ensure there is not a disparate impact | | X | Unions? P. 75 (bottom) and P. 76 (top) |
| 59 | Process for monitoring complaints (e.g., describe the tracking system, monitoring of trends, timeliness of investigations, resolutions, reporting to management) | | X | Not sure I saw this? I saw the form but no process. P. 76-77 |
| Is there a reporting system that describes: | | | | |
| 60 | Meetings held between the CEO/GM and the EEO Officer to discuss the progress of the EEO Program and the results of the monitoring (including but not limited to, hiring, promotions, status of EEO complaints) | | X | No details or discussion. P. 68, paragraph 1 |
| 61 | All program EEO-related meetings held between the EEO Officer and management, including topics covered, follow-up actions | | X | P. 68, paragraph 1-3 |

APPENDIX 10 – FTA APRIL 2018 CHECKLIST WITH CALTRANS REPORT PAGE COORDINATES

| | | | | |
|---|---|------------|-----------|--|
| 62 | EEO Officer's meetings with human resources and hiring officials to review current EEO goals and statistics on employment practices and policies (e.g., verifying that job descriptions contain legitimate position requirements and that all testing has been validated) | | x | P. 69, paragraph 1 |
| REQUIRED EEO PROGRAM ATTACHMENTS | | Yes | No | Reviewer Comments |
| 63 | List of subrecipients and contractors who are being monitored and the services they provide | | x | Nothing on subs. P. 95-97 |
| 64 | Proof of review of subrecipients and contractors' EEO Program (e.g., letter or memo to the subrecipient) | | x | PP. 100 -103 |
| 65 | Organization chart showing the reporting relationships of all directors, department heads, and executive leadership (include names and titles) | | x | While I do see the charts, I can not find EEO officer Christina Rojas and see the direct reporting relationship to GM. P. 93 |
| 66 | A copy of the goals and timetables from the previous program submission | | x | PP. 104-117 |

APPENDIX 11– FTA SEPTEMBER 2017 FINDINGS WITH CALTRANS REPORT PAGE COORDINATES

Appendix 11– FTA September 2017 Findings with Caltrans Report Page Coordinates

EEO Compliance Review: Caltrans

September 2017

7. Summary of Findings

| Requirements of FTA Circular 4704.1 | Site Review Finding | Deficiencies | Corrective Action(s) | Response Days/Date |
|-------------------------------------|---------------------|--|--|--|
| 1. Program | ND | - | - | - |
| 2. Statement of Policy | D | <p>Policy does not include:</p> <ul style="list-style-type: none"> • Commitment to undertake an affirmative action program to overcome the effects of past discrimination <i>P.11, paragraph 1</i> • Successful achievement of goals will provide benefits to the grantee <i>P.11, paragraph 1</i> • Performance of managers and supervisors will be evaluated on the success of the EEO Program. <i>P.12, paragraph 1</i> | <p>Submit to the FTA Office of Civil Rights an updated EEO Policy Statement in accordance with FTA Circular 4704.1A, Section 2.2.1.</p> <p><i>See Page coordinates under "Deficiencies" column to left</i></p> | <p>Within 60 days of the issuance of the Final Report.</p> |
| 3. Dissemination | D | <ul style="list-style-type: none"> • EEO policy not found on external website: http://www.dot.ca.gov/jobs/ • EEO statement not included on job fair and recruiting flyers <i>Included</i> • EEO statement not included on the job application <i>Job Applications are regulated by CalHR, not Caltrans</i> • Signed staff expectations forms not included in all the personnel files reviewed. <i>In Process</i> | <p>Submit to the FTA Office of Civil Rights an updated EEO Policy Statement containing the seven requirements from the circular (PP.11-12) and evidence it has been placed on Caltrans' website and fully disseminated both internally and externally in accordance with FTA Circular 4704.1A, Section 2.2.2.</p> <p><i>See Appendix 12 for Dissemination Proofs</i></p> | <p>Within 60 days of the issuance of the Final Report.</p> |

APPENDIX 11– FTA SEPTEMBER 2017 FINDINGS WITH CALTRANS REPORT PAGE COORDINATES

EEO Compliance Review: Caltrans

September 2017

| Requirements of FTA Circular 4704.1 | Site Review Finding | Deficiencies | Corrective Action(s) | Response Days/Date |
|--|---------------------|--|--|---|
| 4. Designation of Personnel Responsibility | D | EEO Officer does not concur on hires and promotions, assist in recruitment of minority, women or disabled applicants, or assist management in data needs, setting goals and timetables, etc. | Submit to the FTA Office of Civil Rights documentation that Caltrans' EEO Officer and staff are assigned to carry out the nine program requirements in accordance with FTA Circular 4704.1A, Section 2.2.3. PP. 18-21 | Within 60 days of the issuance of the Final Report. |
| 5. Utilization Analysis | D | Insufficient documentation was provided to validate: <ul style="list-style-type: none"> The statistical breakdown of the Caltrans' workforce by each department and job category The availability analysis comparing the participation rates of minorities and women at the various levels in the work force with their availability statewide, which is identified as the relevant labor market The underutilizations presented in the Caltrans AAP and EEO Program. | Submit to the FTA Office of Civil Rights a revised utilization analysis to include a statistical breakdown of all transit-related employees by correct EEO category cross-referenced by race, national origin, age, and sex in accordance with the requirements of the FTA Circular 4704.1A, Section 2.2.4. We currently do not have a list of our transit-related employees. We are working with the Division of Rail and Mass Transportation and Transportation Planning to identify and acquire this list. A project team is being convened to develop a method for collecting the necessary EEO data. | Within 60 days of the issuance of the Final Report. |
| 6. Goals and Timetables | D | Specific and detailed percentage and numerical goals with timetables were not set to correct underutilizations identified in the Caltrans AAP and EEO Program. | Submit to the FTA Office of Civil Rights goals and timetables for any underutilization identified in accordance with the requirements of the FTA Circular 4704.1A, Section 2.2.5. PP. 37-40 | Within 60 days of the issuance of the Final Report. |

APPENDIX 11– FTA SEPTEMBER 2017 FINDINGS WITH CALTRANS REPORT PAGE COORDINATES

EEO Compliance Review: Caltrans

September 2017

| Requirements of FTA Circular 4704.1 | Site Review Finding | Deficiencies | Corrective Action(s) | Response Days/Date |
|---------------------------------------|---------------------|--|---|---|
| 7. Assessment of Employment Practices | D | Assessment does not include quantitative analysis or assessment of practices that may operate as employment barriers and contribute to underutilization. | Submit to the FTA Office of Civil Rights quantitative and qualitative assessments of employment practices. This should include recruitment, results of testing validation, promotions, disciplinary actions, terminations, and compensation in accordance with FTA Circular 4704.1A, Section 2.2.6. <i>PP. 41-67</i> | Within 60 days of the issuance of the Final Report. |
| 8. Monitoring and Reporting System | D | An internal monitoring and reporting system has not been established to: <ul style="list-style-type: none"> Assess EEO accomplishments Identify those units which have failed to achieve goal(s) Provide a precise and factual database for future projections. | Submit to the FTA Office of Civil Rights evidence of a monitoring and reporting system in accordance the requirements of the FTA Circular 4704.1A, Section 2.2.7. <i>PP. 68-77, especially P. 70, paragraphs 2-3</i> | Within 60 days of the issuance of the Final Report. |

Findings at the time of the site visit: ND = No Deficiencies Found; D = Deficiency; NA = Not Applicable; AC = Advisory Comment

APPENDIX 12– DISSEMINATION PROOFS

Appendix 12– Dissemination Proofs

RECRUITING



Join the Caltrans family

NOW HIRING

Positions exist statewide in many areas including:
Engineering, Maintenance, Information Technology,
Accounting, Legal, Surveys, Planning, Human Resources,
Environmental, and more!

We offer:

- Competitive salary
- Excellent benefits (health, dental, vision, 401k/457 Retirement plans)
- Professional Job training
- WorkLife Balance (flexible work schedules, sick leave, and paid vacation)

We value:

- Dedication to public service
- Striving for excellence
- Commitment to teamwork and collaboration
- Leaders that seek innovative solutions
- California’s diverse communities and environmental landscapes

Start your career at  **Caltrans today!**

CALIFORNIA DEPARTMENT OF TRANSPORTATION

Caltrans is an Equal Employment Opportunity employer

Scan here to search vacancies 

For more information, please visit www.dot.ca.gov

APPENDIX 12– DISSEMINATION PROOFS



2019 Recruitment Events

| Date/Time | Event name/location |
|-------------------------------------|---|
| Jan. 16, 2019 10:00 AM - 3:00 PM | UCLA Winter Career Fair Los Angeles, CA |
| Jan. 17, 2019 4:00 PM - 7:00 PM | Cal Poly San Luis Obispo Architecture & Environmental Design San Luis Obispo, CA |
| Jan. 18, 2019 10:00 AM - 1:00 PM | MCAS Miramar Veterans Career Fair San Diego, CA |
| Jan. 23, 2019 10:30 AM - 3:00 PM | UC Santa Cruz Government and Nonprofit Job Fair Santa Cruz, CA |
| Jan. 23, 2019 9:30 AM - 2:30 PM | Cal Poly Winter Career Fair Day 1 San Luis Obispo, CA |
| Jan. 24, 2019 9:30 AM - 2:30 PM | Cal Poly Winter Career Fair Day 2 San Luis Obispo, CA |
| Jan. 24, 2019 10:00 AM - 2:00 PM | UC Santa Barbara Winter Career and Internship Fair Santa Barbara, CA |
| Jan. 24, 2019 10:00 AM - 3:00 PM | UC Irvine Internship and Career Fair Irvine, CA |
| Jan. 24, 2019 11:00 AM - 3:00 PM | Sacjobs.com McClellan Park, CA |
| Jan. 25, 2019 TBD | Fresno State Geomatics Engineering Conference Fresno, CA |

Career Fairs held at schools may not be open to the public. Please check with the school in advance before attending.

Listings in orange are out of state or onsite hiring events.
The Department of Transportation (Caltrans) is an Equal Employment Opportunity employer.



Askrecruitment@dot.ca.gov

APPENDIX 12– DISSEMINATION PROOFS

EEO POLICY POSTED ON EXTERNAL WEBSITE

About Caltrans

Caltrans manages more than 50,000 miles of California's highway and freeway lanes, provides inter-city rail services, permits more than 400 public-use airports and special-use hospital heliports, and works with local agencies.

Caltrans carries out its mission of providing a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability, with six primary programs: Aeronautics, Highway Transportation, Mass Transportation, Transportation Planning, Administration and the Equipment Service Center.

- ◊ [Caltrans' Mission, Vision, Goals & Values](#)
- ◊ [Director's Policy: Equal Employment Opportunity \(PDF\)](#)

Statewide Alerts and Other Information



www.dot.ca.gov/jobs



APPENDIX 13– RELIGIOUS ACCOMMODATION GUIDE

Appendix 13– Religious Accommodation Guide



Equal Employment Opportunity Program (EEOP)

Manager & Supervisor Quick Start Guide
for
Religious Accommodation

<http://eo.onramp.dot.ca.gov/publications>

Religious Accommodation – The Department endeavors to provide a workplace free from discrimination or harassment because of religion or religious beliefs. The Department will provide a reasonable accommodation for religious beliefs, observances and practices in accordance with applicable State and Federal laws.

Responsibility of Managers & Supervisors:

- Understand Department policies/directives (DP-01, DD-76) regarding religious accommodation.
- Make every effort to provide a workplace free from unlawful religious discrimination, harassment and retaliation and take effective, appropriate and immediate corrective action to address any conduct in violation of this policy.
- Review the Religious Accommodation Guide located on the EEOP website:
http://eo.onramp.dot.ca.gov/downloads/eo/files/Religious_Accommodation_Guide.pdf
- Work with the District/Local EEO officer when reviewing an employee religious accommodation request.
- Engage in the interactive process to ensure that employees' articulated reasonable religious accommodation needs are met without creating undue hardship to conducting Department business.

How to Respond:

- Keep requests for religious accommodation as confidential as possible.
- Provide the employee with the Religious Accommodation Request Form (obtain from EEOP)
- Engage in the interactive process by discussing ways to reasonably accommodate employees' religious belief.
- Document efforts to provide religious accommodation.
- Determine whether religious accommodation arrangements can be provided without undue hardship to conducting Department business.
- When possible, respond to an employee with your decision within five days of receiving the request.
- Provide a copy of the decision to the EEO office.
- If the employee feels that they have been discriminated against, explain that they have the right to file a discrimination complaint with the EEOP, Department of Fair Employment and Housing and/or the U.S. Equal Employment Opportunity Commission.

Policies:

- Equal Employment Opportunity: Director's Policy DP-01
- Religious Accommodation: Deputy Directive DD-76