



CALIFORNIA DEPARTMENT OF TRANSPORTATION
EQUAL EMPLOYMENT OPPORTUNITY PROGRAM (INTERNAL)
AFFIRMATIVE ACTION PLAN
2015

Publishing Information

The California Department of Transportation
Equal Employment Opportunity Program

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California Department of Transportation (Caltrans)

Internal Equal Employment Opportunity Program

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 business activities.

Caltrans strives to maintain a diverse workforce and to provide equal employment opportunity to all applicants, employees, clients, and customers equally while utilizing methods designed to achieve a workforce fully representative of the state available labor pool and adhering to state and federal laws.

(Caltrans Equal Employment Opportunity Director's Policy - **Attachment 1**)

Federal Highway Administration – State Transportation Agency Affirmative Action Plan

The Federal Highway Administration requires an Affirmative Action Plan (AAP) in accordance with 23 Code of Federal Regulations, Part 230, Subpart C, Appendix A, Part II – State Highway Agency Employment. The State Transportation Agency's (STA) Internal EEO Program ensures fair and equal treatment of persons regardless of race, color, national origin, religion, sex, age, and disability in all employment practices. Under regulations, The STA has the responsibility to develop, implement, monitor, and evaluate equal employment opportunity and an Affirmative Action (AA) program plan to achieve parity of minorities and females in all major job categories.

California Constitution - Proposition 209

In 1996 California Proposition 209 amended the California Constitution Article 1 Declaration of Rights Section 31, which abolished affirmative action in California. It prohibits discrimination or preferential treatment by state and other public entities based on race, sex, color, ethnicity, or national origin in the operation of public employment, public education, or public contracting. This prohibition does not affect local or state governments' eligibility to receive money from the federal government. Violations will be remedied equally with existing California anti-discrimination law.

However, since approving Proposition 209, (the Civil Rights Initiative), there has been no substantial change in civil rights requirements for Caltrans. Within this legislative parameter, Caltrans continues to uphold its internal employment discrimination processes and Equal

Employment Opportunity Program. Caltrans conducts yearly workforce and utilization analyses of California's labor force, continued recruitment, which encourages the inclusion of women and ethnic groups, continuous upward mobility training, and operates vital formal and informal discrimination complaint processes. To promote equal employment opportunity, Caltrans conducts mandatory sexual harassment prevention training for all managers and supervisors to support anti-discrimination and equality in employment efforts.

I. CALTRANS OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY PROGRAM (EEOP)

The Office of Equal Employment Opportunity Program (EEOP) is responsible for ensuring Caltrans complies with federal and state anti-discrimination laws and legal requirements in all of its internal business practices and activities. The Discrimination and Complaint Investigation Unit (DCIU) processes and investigates formal discrimination complaints. Further, DCIU provides maintenance of a uniform process for employees and applicants to voice allegations of discrimination or retaliation in departmental employment practices related to recruitment, selection, appointment, transfer, training and other terms and conditions of employment.

Program Mission

Caltrans, through its internal Equal Employment Opportunity Program, strives 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.

Program Vision

Caltrans maintains a work environment that recognizes, values, and respects the diversity of its employees and job applicants. Caltrans assures that all programs, services, employment and promotional opportunities are available to all qualified employees and applicants for employment.

A. Roles and Responsibilities

Director:

- Ensures Department non-discrimination and adherence to the principles of Equal Employment Opportunity.
- Enforces the Department's policy and programs to eliminate discrimination and to achieve relevant area labor force parity for underutilized groups.
- Evaluates the efforts and accomplishments of Deputy and District Directors and other management team members in achieving "Zero Tolerance" for discrimination and sexual harassment.

Deputy Director, Administration:

- Serves as the EEO Officer for the Department.
- Serves as the Affirmative Action Officer.
- Ensures the Caltrans EEO program and plan are fully implemented and complied with in all programs and business activities.
- Ensures employment, recruitment, hiring, retention, training, transfers, promotions and business activities comply with EEO guidelines and laws.
- Ensures active recruitment efforts for qualified applicants are broad and inclusive of all segments of the relevant workforce.

Program Manager, EEOP:

- Prepares Caltrans annual EEO Plan, which includes Workforce Analysis Report, Upward Mobility Report, 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 comprehensive, neutral and timely investigations of formal discrimination complaints and provides a thorough, impartial, uniform, and confidential complaint intake process.

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.
- Designate EEO contact(s) for their District and/or Division.

Managers and Supervisors:

- Provide a work environment free from discrimination and harassment by ensuring that standards and practices comply with EEO guidelines.
- Forward complaints to the District and/or the Headquarters EEOP officers in a confidential and timely manner.
- 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.
- Take 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.
- Provide a work environment free from retaliation for those who have supported the EEO policies, filed a complaint, testified, or assisted in any proceeding under EEO Policies.

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 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 EEO Policies.

EEOP Staff:

- DCIU Staff process and investigate discrimination complaints, and report directly to the DCIU Office Chief, Tom Hicks.
- EEO Staff share affirmative action responsibilities and report directly to the EEO Office Chief, Shannon Flynn.
- The Equal Employment Opportunity Program Manager is Gina Cardoza who has overall program responsibility for DCIU and EEO. The Program Manager also provides functional guidance to the twelve District Offices and thirty-three Headquarters Programs throughout the state. The Program Manager reports directly to the Administration Deputy Director, Cristiana (Cris) Rojas.

(Organizational Chart - **Attachment 2**)

II. EEOP AFFIRMATIVE ACTION PLAN PUBLICATIONS / DISTRIBUTION / COMMUNICATION

Policy Distribution: All EEO policies, directives, and Director's communications are distributed and made available to all Caltrans employees. These policies detail the employees' responsibility to uphold the Department's policies regarding zero tolerance for EEO related discrimination or harassment.

Presentations: EEOP staff and Equal Opportunity Officers in the District Offices participate in regularly scheduled Supervisory Training Programs given by the Department's Training Office. Additionally, EEOP Staff and District EEO Officers provide training classes including EEO Overview, Diversity Awareness, Disability Awareness, and Sexual Harassment Prevention.

Meetings: EEOP participates in meetings with Department executives, managers, supervisors, and employees to discuss the objectives of the AAP and EEOP.

Publications: The EEOP publishes the following pamphlets and booklets for distribution:

- *Equal Employment Opportunity Brochure*
- *Equal Employment Opportunity Poster*
- *Religious Accommodation Guide*
- *Equal Employment Opportunity Program Quick Start Guide for Managers & Supervisors*
- *Upward Mobility Guide*
- *Assistive Services Manual*
- *CTDAC Brochure*

Email: The Department utilizes its statewide electronic mail systems to disseminate information and policies to its employees including EEOP and AAP.

Internet & Intranet: Information is available to employees on Caltrans' internal intranet page. The Caltrans AAP is published on Caltrans' external internet homepage for customers and interested parties.

III. 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 works closely under the advisement of CalHR to ensure the Department complies with all practices.

A. 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.

B. 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.

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 takes pride in ensuring that all 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) basis of competition.

C. 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, the organizational setting and major functions of the unit. 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 web-based Vacant Positions Database (VPOS) 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)

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 Classification & Hiring 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.

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.

Screen Applications

To screen applications, the supervisor should 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 should be established before any applications are viewed or received.

Select the Interview Panel

State and Federal law mandates 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.

To ensure Caltrans complies with the law, 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 to ensure equity in the interview process. Panel members should be in a classification higher than the position being filled.

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.

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

Information compiled from the Caltrans Hiring Smart Guide provided by DHR

IV. TRAINING

EEOP conducts the following training:

- *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 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 workforce. Courses are prepared in-house by Caltrans LDO.

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 to ensure 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 for ensuring 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

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 (CalHR)

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 from traditional classroom-based training, webinars, free e-books, books state employees can check out, academic journals and periodicals, articles and many helpful resources.

V. EMPLOYEE DEVELOPMENT

Upward Mobility Program

It is Caltrans' policy to provide equal employment opportunities and the appropriate career "tools" to facilitate upward movement for all 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 Upward Mobility Plan provides employees with the information regarding options and possibilities for upward mobility and career development at Caltrans. Beyond this, Caltrans uses upward mobility as a tool to increase the candidate pool of qualified minorities, women and persons with disabilities. The Upward Mobility Program is viewed as tool to help ensure that equal employment opportunities are provided 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

(Complete Upward Mobility Guide – **Attachment 3**)

VI. REASONABLE ACCOMMODATION PROCEDURES

Reasonable Accommodation (RA) is a logical adjustment made to a job or work environment that allows a qualified person with a disability to participate in any and all aspects of the Department's employment process and in applicable work-related functions.

To be entitled to an RA, a qualified worker must be impaired in their ability to perform the essential functions of the desired or held position because of their 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.

Overview

Caltrans provides qualified applicants and employees who have disabilities or medical conditions the opportunity to fully participate in the Department's employment process and in all work-related activities and functions. The Department's RA process provides employees and applicants with the opportunity to have their accessibility needs met. All decisions regarding

employment policies and practices are made on the basis of the applicant or employee's capacity to perform the essential functions of the position Effective January 17, 1996, Caltrans adopted two policies:

1. Americans with Disabilities Act (ADA) and State Disability Laws (DD-42-R3)
2. Reasonable Accommodation (DD-48-R3)

These policies support employment opportunities for employees with disabilities. They provide the context from which the Departmental RA Guide derives its authority.

The RA Guide details an interactive process between the employee and the supervisor. It facilitates reasonable accommodation for qualified employees and applicants with disabilities so they can fully participate in the employment process and in all employment related activities and functions.

Responsibilities

Deputy Director, Administration

- Ensure the development and dissemination of Caltrans' RA Policy and guidelines.
- Ensure implementation of a reasonable accommodation program that enables employees or applicants the opportunity to participate in Caltrans programs, services and applicable job duties.
- Respond as a second level of appeal for denials of employee requests for reasonable accommodation.
- Provide oversight to Caltrans' RA Program to ensure equal employment opportunities in accordance with Caltrans' Equal Employment Opportunity Plan.
- Monitor implementation of the Americans with Disabilities Act Program as established in Caltrans' Equal Employment 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 employee 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 worker compensation benefits.
- Consult with the RA Coordinators, Liaisons and/or the RA 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 RA 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 RA 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 RA process.
- Coordinate and monitor RA requests to ensure they are processed in accordance with the law and the policy.
- Provide technical assistance regarding RA to managers, supervisors, and employees.

Employees

- Notify their supervisor if they have a disability that requires an accommodation to enable them to perform their job's essential functions.
- Submit requests for RA to their immediate supervisor.
- 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 RA as required, or as requested by Caltrans.
- Cooperate in obtaining information from their physician to enable the supervisor to fully evaluate the request for RA.

Applicants

- Identify needs and submit requests for reasonable accommodation as established in the Reasonable Accommodation Guide (**Attachment 4**)

VII. ADVERSE ACTION / EMPLOYEE PERSONNEL ACTION

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 at the bargaining table for Memoranda of Understandings (MOUs). MOUs determine the terms and conditions of employment for approximately 19,000 represented employees. Our professional 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 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.

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

(Employee Handbook & Supervisor and Manager Handbook - **Attachment 10**)

(Staff, Supervisor, and Manager Expectations Memo) – **Attachment 11**)

VIII. AFFIRMATIVE ACTION PLAN MONITORING AND EVALUATION PROCEDURES

Program Evaluation and Monitoring Methods

District programs are reviewed to ensure all EEO policies, processes, and procedures are followed. If any programs or processes indicate results that are not satisfactory to meet goals, policies, and the expectations of Caltrans' directorate, recommendations are given to guide in making necessary changes to comply as mandated.

DCIU's formal complaints are analyzed to determine if there is a high impact of discrimination occurring within the agency. Information gathered from the analysis can lend itself to further exploration of causes and aid in developing an action plan to remedy the condition.

Annual Element Report

The Annual Element Report is completed by all Districts and Programs and reflects the following activities:

- Accomplishments

- Disability Advisory Committee Activity
- Discrimination Complaint Totals
- Training Activities
- EEO related events
- EEO related performance
- Goals

Biennial EEO-4 Report

As required by Section 709 of Title VII of the Civil Rights Act of 1964, the EEO-4 Report is a report submitted every odd year (biennial) to the Equal Employment Opportunity Commission by State and local governments, delineating the organization job categories and salaries by minority status and sex/gender.

Caltrans' Employee Sex and Ethnicity Report

As part of the Annual Element Report, Caltrans includes a list of employees by job classification and Districts cross-referenced with their sex/gender and ethnicity group.

Bilingual Services / Language Survey

Caltrans is responsible for ensuring that all persons, including non-English speaking or limited English proficient persons (both herein described as LEP individuals), have equal access to its services and information. The Department is committed to ensuring its programs and services are accessible to LEP individuals in compliance with federal and state requirements. Resources are available, such as bilingual interpreters and translated materials to assure information and services are readily available in the languages clearly understood by Department customers. Caltrans completes a workforce survey every other year (Biennial) under the Dymally-Alatorre Bilingual Services Act of 1973.

Workforce Analysis Report

Per California Government Code sections 19790 and Executive Order S-6-04 Departments are required to establish an EEO program and to provide EEO to all individuals in all its activities. To comply with these mandates, Caltrans conducts an annual Workforce Analysis and provides the report to CalHR resources for approval.

The methodology utilized analyzes the present workforce regarding the Relevant Labor Force, and determines if there is underutilization using the Z-test, displaying the underutilized Occupational Groups/Classification Groups (similarly situated job duties/responsibilities) with 30 or more individuals/incumbents statewide. The components of the process to justify

Affirmative Action Goals are the Workforce Analysis, Availability Analysis and Utilization Analysis.

The Workforce Analysis reports the overall gender, race/ethnicity and disability percentages of the workforce statewide by District. Caltrans has a workforce of 74.6% male to 25.4% female and 47.6% Caucasian to 52.4% minorities (about 3.8% is other or unknown) as of December 31, 2013.

| Summary of Caltrans Ethnicity / Gender Percentages | | | | | | | | | | | | |
|---|-------------------------|------------------|-----------------|-------|----------|----------|------------------|-----------|-------|-------|-------|------------|
| Data as of December 31, 2013 | | | | | | | | | | | | |
| 2014 Calendar Year Totals and Percentages | | | | | | | | | | | | |
| District | Total Caltrans Workers* | African-American | American Indian | Asian | Filipino | Hispanic | Pacific Islander | Caucasian | Other | Men | Women | Disability |
| District 1 | 579 | 0.9% | 1.9% | 1.2% | 1.4% | 6.2% | 0.3% | 83.2% | 4.8% | 77.5% | 22.5% | 16.6% |
| District 2 | 790 | 0.9% | 1.5% | 1.1% | 0.5% | 4.2% | 0.5% | 89.7% | 1.5% | 82.3% | 17.7% | 12.3% |
| District 3 | 1,555 | 3.1% | 1.0% | 7.7% | 1.3% | 10.4% | 0.7% | 72.9% | 3.0% | 80.2% | 19.8% | 11.5% |
| District 4 | 3,116 | 13.5% | 0.3% | 28.0% | 9.3% | 12.0% | 0.8% | 31.4% | 4.7% | 75.1% | 24.9% | 9.4% |
| District 5 | 673 | 1.9% | 0.3% | 4.3% | 2.7% | 23.6% | 0.1% | 64.3% | 2.7% | 78.6% | 21.4% | 14.6% |
| District 6 | 1,215 | 5.2% | 1.3% | 14.2% | 2.7% | 26.1% | 0.6% | 46.7% | 3.1% | 77.7% | 22.3% | 16.4% |
| District 7 | 2,430 | 16.0% | 0.3% | 23.7% | 5.1% | 26.7% | 0.5% | 23.6% | 4.1% | 79.7% | 20.3% | 11.0% |
| District 8 | 1,339 | 9.2% | 0.3% | 16.1% | 3.6% | 26.7% | 0.4% | 39.1% | 4.6% | 80.1% | 19.9% | 15.7% |
| District 9 | 286 | 0.0% | 6.3% | 1.4% | 0.3% | 8.0% | 0.3% | 82.9% | 0.7% | 86.0% | 14.0% | 9.4% |
| District 10 | 785 | 4.7% | 0.6% | 13.9% | 5.5% | 15.2% | 1.0% | 55.9% | 3.2% | 79.4% | 20.6% | 14.8% |
| District 11 | 1,237 | 6.1% | 0.3% | 10.3% | 6.8% | 26.6% | 0.6% | 45.5% | 3.7% | 73.1% | 26.9% | 11.0% |
| District 12 | 801 | 5.9% | 0.2% | 24.7% | 3.0% | 20.3% | 0.7% | 39.2% | 5.9% | 75.5% | 24.5% | 13.4% |
| HQ | 5,504 | 6.4% | 0.5% | 21.0% | 4.6% | 14.0% | 0.5% | 49.4% | 3.6% | 66.0% | 34.0% | 12.4% |
| Calendar Year Totals and Percentages | | | | | | | | | | | | |
| 2014 | 20,310 | 7.8% | 0.7% | 17.7% | 4.7% | 17.2% | 0.6% | 47.6% | 3.8% | 74.6% | 25.4% | 12.4% |

Availability Analysis

The availability analysis identifies the options available for measuring Relevant Labor Force (RLF) availability for the Occupational/Classification Groups.

- Occupational labor force data
 - Statewide – California RLF

NOTE: State workforce information about the ethnic and gender composition for all full-time employees in each classification group in each relevant geographic recruitment area (based off the 2010 Census Data).

(US Census Bureau State County QuickFacts - **Attachment 5**)

(US Census Bureau Cal-Labor – **Attachment 6**)

Utilization Analysis

The utilization analysis is the methodology for setting specific, measurable, attainable hiring and promotion goals in each classification of underutilization. The Occupation/Classification Groups with underutilization are captured and analyzed for further review; including analyzing new hires (intakes, promotions) and separations (including promotions, terminations, and retirements) for the past 12 months. The results are the basis for Caltrans' affirmative action goals and timetables.

- Compares state workforce composition to RLF composition and determines whether there is an underutilization of any ethnic group and/or women.
- Determines whether any underutilization is statistically significant at the .05 level of significance (2 Standard Deviations/Z-test at 1.65 or greater).
- Goals are created for any ethnic group or gender which has a statistically significant underutilization to reach the RLF.

IX. AFFIRMATIVE ACTION PROGRAM GOALS & PLANNED ACTION

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.

Note: 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.
- 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 APFI professionals in above listed occupational groups by year 2018.
- Hire 18 APFI 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.
- 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 |

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.

See **Attachment 7** for the complete Utilization Report Statewide & **Attachment #8** for the Utilization Report listed by Districts. Both reports include the calendar year transactions of the identified Occupational Groups (new hires, transfer/promotions & separation including retirees).

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

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.

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.

See **Attachment 9** for the complete Classification Groups spread sheet listed by District for Classification Group - 210 - Highway/Land Maintenance Workers and 125- Highway/Landscape Maintenance Workers.

X. ACCOMPLISHMENTS 2013/2014

Communications

- Monthly Headquarters (HQ) EEO video teleconferences (VTC) meetings were conducted for EEO managers, and officers to discuss statewide activities and updates on training, event planning, federal/state laws and regulation, and accomplishments.
- EEOP implemented quarterly EEO VTC meetings for EEO supervisors, managers, District Deputies and District Directors to discuss additional concerns and EEO related protocols.
- EEOP has created a designated telephone number (1-844-DOT-EEOP/1-844-368-3367).
- EEOP has created an email account for statewide inquiry, ask.eeo@dot.ca.gov.
- EEOP made presentations to District Directors and their executive staff on:
 - Director’s Policies and Deputy Directives
 - Equal Employment Opportunity Training
 - Sexual Harassment Prevention Training (SHPT)
 - Caltrans EEOP mission

- o Available publications, services, and training
- o 2014 Workforce Analysis
- o Disability Awareness Training (DisAT)

Disability Advisory Committee

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. In Caltrans, that committee is the Disability Advisory Committee (DAC). Caltrans actively supports its statewide and District DACs.

Committees

- Made recommendations regarding Caltrans’ policy, programs, and practices, affecting persons with disabilities.
- Promoted education and training to increase sensitivity and awareness about disability issues.
- Fostered open and effective communication on disability issues throughout Caltrans.
- Awarded a total of \$2,000.00 in 2013 to 3 recipients and will continue to award scholarships as the DAC has done for many years.

Training

- New Employee Orientation
 - o Caltrans provided the EEO component of the New Employee Orientation, which trains new employees about the requirements of the Caltrans’ EEO Policy and related Deputy Directives, Director’s Policies and the behavioral expectations of employees within the Caltrans work environment.
- New Supervisor Training
 - o EEO staff provides a two-hour EEOP overview as part of the required 80 hours of supervisor training.
- Disability Awareness Training (DisAT)
 - o DisAT is available to all Caltrans staff. Caltrans is working on making this available in the future for all employees by developing a web based training course in addition to the classroom training course.
- Diversity Awareness Training (DivAT)
 - o DivAT modules continued to be offered to all employees.

- o As part of Caltrans DivAT and DisAT efforts, a statewide Diversity and Disability Awareness Celebration Month was planned, coordinated, and implemented during September 2014. The celebration was expanded, with some geographic Districts hosting individual events on different days to enable the Caltrans' Director to attend the celebrations. These events provided Caltrans' employees with information about various cultures using food, dance, and art to foster increased cultural understanding.
- Online SHPT
 - o Caltrans two-hour interactive online course for supervisors and managers continued to be utilized as an alternative to classroom training.
- Supervisor and Manager Training
 - o Training for new EEO managers and officers addressed the following topics:
 - Caltrans EEO Director's Policy and related Deputy Directives
 - EEO Staff Guide/Plan
 - SHPT to review the standard in the work environment, process to establish required work environment standards, and recognizing inappropriate behavior.
 - DivAT
 - DisAT
 - Quick Reference Guide to help supervisors and managers understand their responsibilities for implementing EEO Policy and related Deputy Directives, and how to respond promptly and appropriately to alleged incidents of sexual harassment or discrimination.
- Rank and File Training
 - o During the year, Caltrans employees obtained training on the importance of EEO, diversity, non-discrimination, and sexual harassment prevention through two ongoing courses, SHPT and DivAT. Caltrans employees also obtain the Caltrans EEO Director's Policy and related Deputy Directives.

Events

- Coordinated the annual Diversity/ Disability Awareness Day (DDAD) for HQ and District employees; each District coordinates their own DDAD on different dates.
- Attended California Civil Rights Officer Council (CCROC) and Statewide Disability Advisory Council (SDAC) on bimonthly basis.
- Coordinated and hosted Caltrans Statewide EEO Technical Assistance Workshop on April 2 through 4, 2014 for all District EEO professionals.

XI. EQUAL OPPORTUNITY PROGRAM ACTIONS

Caltrans EEOP staff ensures protections to all protected classes and ensures action is taken correct potential discrimination. This is accomplished by tailored goals and timetables, using the most relevant labor force comparison, respecting the rights of others, and adherence to federal civil rights requirements. The 2015 Affirmative Action Plan will be accessible on-line.

ATTACHMENTS

- 1:** Equal Employment Opportunity Director's Policy
- 2:** Organizational Chart
- 3:** Upward Mobility Guide
- 4:** Reasonable Accommodation Guide
- 5:** US Census Bureau State County QuickFacts
- 6:** US Census Bureau Cal-Labor
- 7:** Utilization Report Statewide
- 8:** Utilization Report District
- 9:** Classification Groups 125 & 210
- 10:** Employee Handbook and Supervisor & Manager Handbook
- 11:** Employee, Supervisor, and Manager Expectations Memo

ATTACHMENT 1

**EQUAL EMPLOYMENT OPPORTUNITY
DIRECTOR'S POLICY**

Director's Policy

Number: DP-01-R10
Effective Date: 12/1/2014
Supersedes: DP-01-R9 (05/20/2013)
Responsible Program: Administration

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 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.

RESPONSIBILITIES

Deputy Director, Administration:

- Serves as the EEO Officer for the Department.
- 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.

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

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.

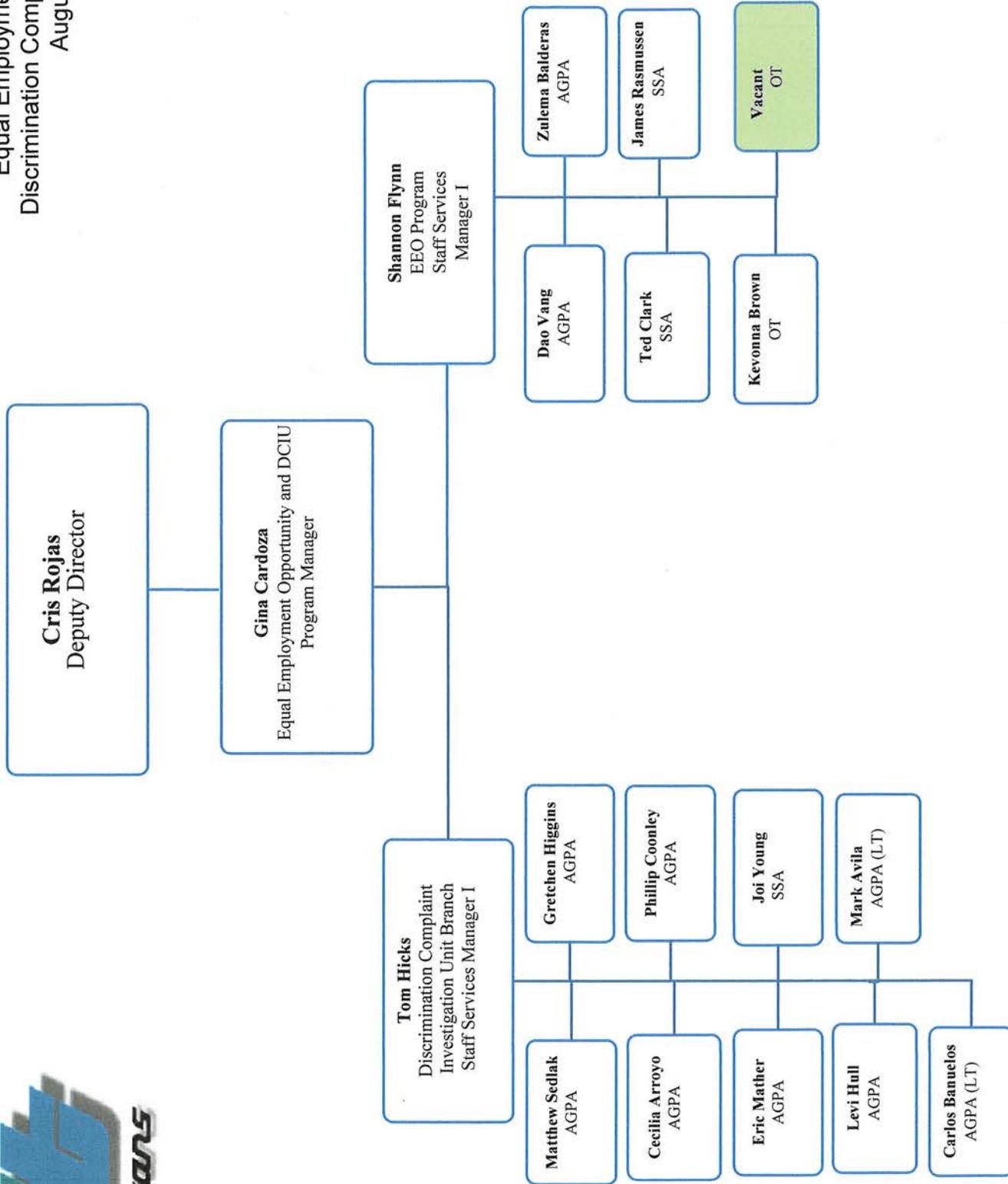

MALCOLM DOUGHERTY
Director

12/1/2014
Date Signed

ATTACHMENT 2

**EQUAL EMPLOYMENT OPPORTUNITY
PROGRAM**

ORGANIZATIONAL CHART



ATTACHMENT 3

UPWARD MOBILITY GUIDE



UPWARD MOBILITY PLAN

Employee Information Guide

Department of Transportation
Division of Human Resources
May 2013

Preface

This guide was developed to provide information, guidelines, and suggestions to help employees prepare for career advancement within the Department of Transportation (Caltrans) and in State service at large.

It describes the Caltrans Upward Mobility Plan and the competitive state civil service merit system. It provides answers to questions regarding the examination process, guidance in career development goals while preparing for advancement in state civil service, and interview preparation tips.

For further information about this guide, contact the Caltrans Division of Human Resources:

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For individuals with sensory disabilities, this document is available in alternate formats. To obtain a copy in an alternate format, please call or write to the Department of Transportation, Office of Equal Opportunity, P.O. Box 168037, Sacramento, CA 95816-8037 or Telephone: (916) 227-7800 (voice) or TTY 711.

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EXECUTIVE SUMMARY

The Equal Employment Opportunity (EEO) Program is founded in the spirit of Caltrans' "Zero Tolerance" policy for harassment and discrimination in the workplace. Relying on merit and excellence of qualifications as the basic principles, Caltrans established a policy in June 2000 that "provides all employees and applicants equal employment opportunities without regard to race, gender, color, religion, national, or ethnic origin." The EEO Program makes every effort to ensure that the equal employment opportunities of all employees are protected in employment decisions and to eliminate any trace of discrimination.

The vision of the EEO Program embraces a quality of service that will meet or exceed Caltrans' expectations. Its vision is set forth in the following goals:

- Recruit, train, and retain a workforce that is representative of California's diverse relevant labor force.
- Ensure that all Caltrans' programs, services, policies, and clients are administered equally to all applicants and employees, clients, vendors, contractors and the general public and in accordance with all federal and state employment laws and regulations.
- Update and disseminate Caltrans' Affirmative Action Plan.
- Promote the EEO Program activities in the District and Headquarters offices.
- Analyze Caltrans' workforce and take appropriate measures to eliminate under-utilization of minorities, women, and persons with disabilities, by making Caltrans' EEO Program goals and timetables available to management.
- Develop an Upward Mobility Plan that will assist employees in low-paying positions to transition into entry-level technical, professional, and administrative positions.
- Assist employees in obtaining EEO Program information and/or resolving discrimination complaints informally.

The Upward Mobility Plan provides employees with information regarding options and possibilities for upward mobility and career development at Caltrans. Beyond this, Caltrans uses upward mobility as a tool to increase the candidate pool of qualified minorities, women and persons with disabilities. The Upward Mobility Program is viewed as a tool to help ensure that equal employment opportunities are provided to all qualified Caltrans employees.

I. PURPOSE AND APPLICATION

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A. Commitment

It is the policy of Caltrans to provide equal employment opportunities and the appropriate career “tools” to facilitate upward movement for all employees interested in advancement. This includes developing and setting goals and timetables that reflect the number of employees who are expected to transition from low-paying positions to entry-level technical/professional/administrative positions. It is also Caltrans’ policy to provide information that will assist employees with achieving their individual career goals. However, no employee shall be guaranteed advancement; but rather all interested employees in low-paying occupations shall be given equal consideration to participate in upward mobility efforts.

B. Roles and Responsibilities

Caltrans’ Upward Mobility Plan requires that responsibilities be shared among Caltrans, the supervisor and the individual employee.

1. Caltrans is responsible for providing all employees with the opportunity for growth and development in their chosen careers.
2. The supervisor has the responsibility for providing guidance and support.
3. Employees have the greatest responsibility. The employee is the person most interested in their career. Employees cannot be passive and wait for someone to come along and do things for them. Employees need to help to make upward movement happen.

UPWARD MOBILITY MATRIX OF ROLES AND RESPONSIBILITIES

| | Participants | Roles and Responsibilities |
|---|---------------------------------|--|
| 1 | Employee | <ul style="list-style-type: none"> • Determine career interests, skills, and abilities. • Establish specific goals that develop career interests. • Develop a Career Development Plan with supervisor's approval and assistance. • Follow through with planned training activities to reach goals and complete a career plan. |
| 2 | Supervisor | <ul style="list-style-type: none"> • Provide approval, guidance and support. • Help employees identify skills and interests to determine career goals and activities; assist with finding training that will provide desired abilities and skills. • When feasible, assign work to facilitate the employee achieving his or her Career Development Plan. • Provide information about career opportunities within Caltrans and inform employees about these resources. |
| 3 | Upward Mobility Coordinator | <ul style="list-style-type: none"> • Coordinate, monitor, and report on Caltrans' upward mobility efforts. |
| 4 | Division of Human Resources | <ul style="list-style-type: none"> • Identify upward mobility and bridging classifications. • Develop career ladders. • Facilitate the development of upward mobility and bridging classifications. • Administer examinations for upward mobility and bridging classifications. • Consult with supervisors and employees about appointment eligibility and employment mobility options within state service (i.e., rotations, training and development assignments, and job sharing). • Provide information and resources on career development. |
| 5 | Learning and Development Office | <ul style="list-style-type: none"> • Provide information on its Intranet site about educational institutions that may serve the educational needs of upward mobility participants. • Offer consulting services to managers and supervisors to assist them with identifying appropriate training solutions for their employees. |
| 6 | Equal Employment Opportunity | <ul style="list-style-type: none"> • Oversight and coordination of Caltrans' Upward Mobility Program. • Ensures equitable administration of UMP. • Provide guidance and assistance to employees on EEO issues. • Mediate upward mobility issues. |

II. STEPS IN CAREER DEVELOPMENT

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A. Self Analysis

The first step in developing career goals is to assess your personal characteristics- skills, interests and strengths--things you do well and enjoy. Then match your “profile” to a specific job or career goal.

The following are examples of skills and interests you should examine:

1. Look at present and past jobs: What traits or skills did they require? What aspects did you like or dislike about each job you had?
2. In what areas have you been rated high on performance appraisals?
3. Identify skills you may have developed through jobs, hobbies, community work, clubs, and employee organizations. Examples of skills you might consider are writing, public speaking, negotiating or interpersonal, leadership, mathematical and computer skills.
4. Have you had any special training that might be applied to future jobs--formal education, prior job training, military, etc.?
5. Do you have specific requirements for a job, such as not relocating or not working night shifts?
6. How much of your personal time and effort are you willing to commit to advancing your career?

B. Career Exploration

Once you have clarified your skills, interests and strengths, the next step is to identify and explore the career areas that “fit” your profile.

Possible resources available in your career exploration are career ladders that show the opportunities for promotion from one job to another. A valuable feature of career ladders is that they show alternate pathways for a person to enter a specific classification series.

Please contact the Division of Human Resources or visit their website at http://admin.dot.ca.gov/hr/INFO_CENTER/CareerDev/CareerDev_CareerLadder.shtml for a copy of the career ladders for the upward mobility classifications used by Caltrans.

1. **Classification Specifications**—Specifications may be for one particular classification or for a series of related classifications. They will provide you with

information on the duties, minimum qualifications, knowledge, skills and abilities required to successfully prepare for a classification.

California Department of Human Resource (CalHR) office has an information counter with computers that you can use to look up all State classifications that are available. You can obtain job specifications by going to the office, by telephone, or via the Internet at <http://www.calhr.ca.gov/state-hr-professionals/pages/job-descriptions.aspx>.

Caltrans' Division of Human Resources can also furnish you with copies of classification specifications used by Caltrans. Addresses and telephone numbers of CalHR offices and the Caltrans' Division of Human Resources are provided in Section VIII of this guide.

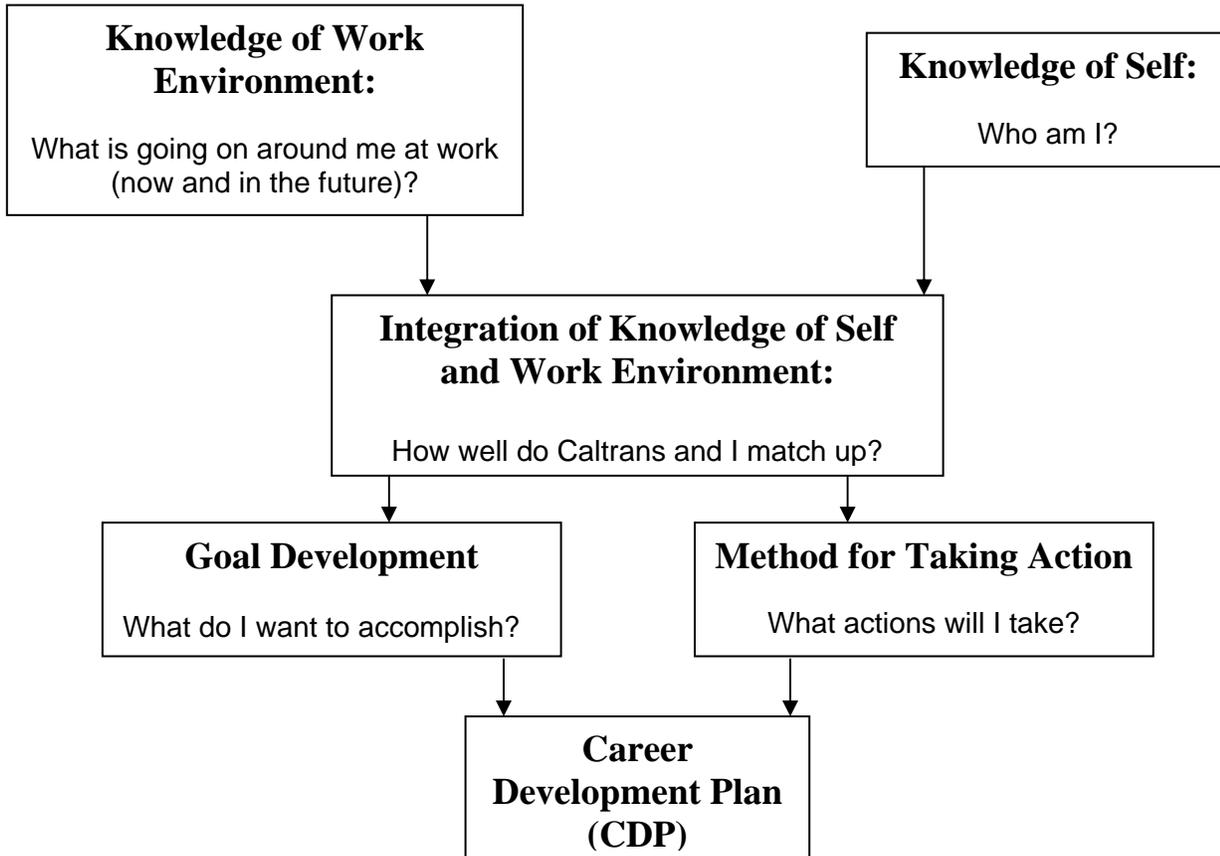
2. **People in the Career Field**—The best way to learn about a job or career field that interests you is to speak with someone who is currently working in that field. These people can provide a more realistic picture of the job than a job description.
3. **Career Counseling**— Caltrans has a responsibility to provide career counseling opportunities to employees. Career counseling enables employees to view their skills and abilities in a realistic manner, understand the career opportunities available to them, and to develop plans for achieving career goals within Caltrans and State service.



C. Career Development Plan

General Steps in Career Planning

The following diagram illustrates the general steps in any career planning process.



To advance, it is essential to develop your personal Career Development Plan (CDP). The plan is your responsibility, but you are encouraged to enlist the guidance of your supervisor. It is his or her responsibility to provide you with counseling and assistance with developing a plan. The most effective plan will result from the collaborative efforts of you and your supervisor. For information about the CDP, contact your supervisor or the Upward Mobility Program Coordinator in the EEOP.

Your CDP should describe your development goals, objectives, and a specific plan of career development activities.

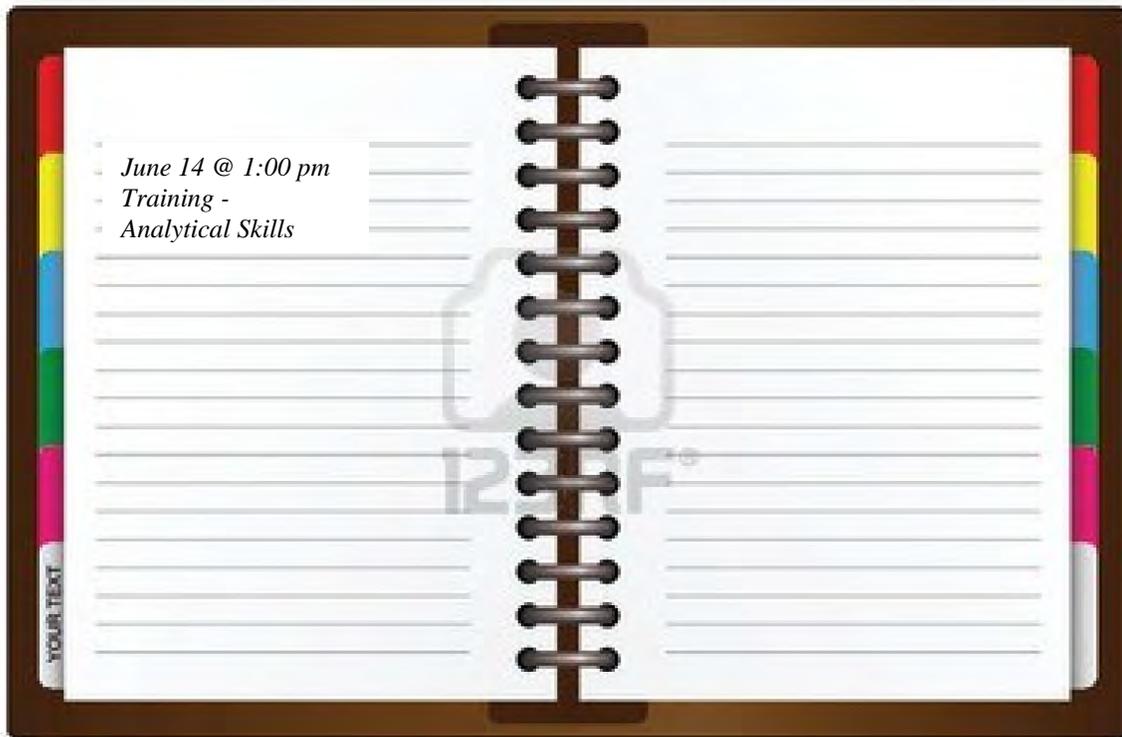
1. **Development Goal**—Define your development goal. The end result of the development effort is essential. This is usually a specific job or career field. It can be a job for which you are qualified for or a job that you may be able to promote into within a few years.
2. **Development Objectives**—Develop a strategy that allows you to accomplish your development goals. Objectives may be specific or broad, but must be obtainable. You should be able to know when you are working toward an objective and when the objective is accomplished. Additionally, development objectives should show a relationship to the development goal. For example, an Office Technician with a goal of becoming a Staff Services Analyst may have objectives such as completing college units and receiving on-the-job training.
3. **Development Plan of Activities**—Plans to obtain your objectives must be specific. Section III of this guide contains a number of methods available for achieving these objectives.

Both you and your supervisor should agree on the CDP. In some cases, the plan may require coordination with other units and supervisors.

D. Pursuing Your Plan

In a CDP, the personal development aspects are important and success can be achieved if you are committed to the plan and are prepared to commit a portion of your time and effort towards accomplishing it. Completing the outlined and planned work experience or training is your responsibility.

This guide will provide you direction and information about resources available to you. When necessary, your supervisor will provide coordination and assistance. The rest is up to you—you are the person most interested in and in control of your career path.



III. MOBILITY OPTIONS

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Substantial progress has been and is continuing to be made by CalHR and Caltrans to provide employees with opportunities for upward mobility within State service. This section identifies several processes available within the State civil service classification system that can assist you in achieving your upward mobility and career development goals.

A Word of Caution

Although the Department has a strong commitment to upward mobility and uses all of the upward mobility processes described in this section, there is no guarantee that your request for participation in the Upward Mobility Program will be approved. You must meet the selection criteria that takes into consideration staffing needs, available funding and other resources, as well as employee's status, current job performance, motivation, potential and upward mobility objectives.

A. Planned Experience Program

A planned experience program consists of a series of activities selected to give an employee specific experience to meet developmental goals. Assignments may be developed at the State level, Caltrans level or by managers and employees within a work unit. This may be a long-range assignment or a single opportunity. In any case, the plan should be in written form, so that everyone concerned has a full understanding of what is involved and what is expected. The following examples are activities that might be included in a planned experience program:

1. Special or unusual assignments (e.g., end of month reports).
2. Task force or committee membership.
3. Understudy role--working with someone in order to learn the job or specific tasks.
4. A supervisory experience, such as acting as the supervisor, when a supervisor is on vacation, or ill for a short time.
5. A supervisor regularly sits down with an employee to describe and explain the basis for decisions made that affect the employee. If you are interested in participating in a planned experience program speak with your supervisor.

B. Rotational Assignment

A rotational assignment involves the voluntary movement of an employee from a current job assignment to another job assignment within his or her present classification. Rotations may occur within a small unit or between sections, divisions, or field offices and across Departmental lines. A rotation agreement may or may not require an employee to return to his or her original position.

A rotational assignment can provide an employee with the opportunity to experience a variety of duties without changing classification. An employee will broaden his or her experience, gain additional technical or program knowledge, add depth and breadth to his or her skills and abilities and, in turn, increase his/her promotional opportunities.

C. Lateral Transfer

A lateral transfer is an option you may want to consider if you are interested in a change from your current job. Moving an employee from one classification to a different classification “with substantially the same level of duties, responsibility and salary” is a lateral transfer

According to State Personnel Board (SBP) Rule 250 and 433, lateral transfers are discretionary and can be made within a department or between two departments. The employee is required to meet the minimum qualifications for a classification in order to laterally transfer. Specific information about an individual’s unique transfer situation must be obtained through the Division of Human Resources. If your current job has no progressive opportunities, you may want to consider a lateral transfer into a job classification that provides movement up the career ladder within the classification series.

The following provisions must be considered if you are contemplating a lateral transfer:

1. You must have a permanent appointment to the classification you are currently in (though you may still be on probation).
2. You must find and apply for the vacant position that interests you.
3. For transfers between State agencies, only the receiving supervisor must agree to the transfer. In either intra or interagency transfers, your current supervisor may hold you for 30 days.
4. You can transfer to a classification with a maximum salary that is less than two steps higher than the maximum salary of the classification from which you are transferring (approximately 10%) as long as the additional criteria identified in SPB Rule 430 is satisfied. The calculations required to determine if the classifications are within transfer range is complex so you should check with your Human Resources Analyst if you have specific questions about whether you can laterally transfer to a certain classification.

An example of a calculation is as follows:

EXAMPLE:

1. $\$1,569 \times 1.05 = \$1,647.45$ (rounded to \$1,647)
2. $\$1,647 \times 1.05 = \$1,729.35$ (rounded to \$1,729)
3. \$1,729 is exactly two steps higher than \$1,569. The employee meets the salary transfer criteria if the “to” classification has a maximum salary of \$1,728 or lower.
4. You are not required to meet the minimum qualifications for the position but you may be required to meet licensing, credentialing, registration, or certificate of proficiency requirements, e.g. " State Bar membership, medical certificate requirements, or educational coursework requirement."
5. With limited exceptions, consecutive lateral transfers are not permitted if the combined transfer results in a promotion.
6. The Division of Human Resources has final approval on all lateral transfers within Caltrans.

For additional information about lateral transfers you may contact the Caltrans' Division of Human Resources.

NOTE: The two steps are a compounded figure. You must always multiply each step by 5% (1.05). You cannot multiply the “from” salary by 10%.

D. Training and Educational Opportunities

All training is subject to constraints on available resources and depends upon available training funds, the number of employees taking classes and other training included in the Caltrans' training plan. Resources for meeting Caltrans training needs shall be allocated according to the following priorities: (1) Mandated, (2) Job Required, (3) Job Related, (4) Upward Mobility, (5) Special Programs, and (6) Career Related. Category 4 is the applicable training category for this program and is described below:

Category 4: Upward Mobility Training

Attendance enables employees in designated upward mobility classifications (Appendix A) to complete minimum education requirements for bridging classification exams. Individuals participating in this voluntary, minimum education program receive 100% reimbursement

for required books and tuition. Other expenses such as travel, parking or per diem are not authorized. Tuition advances are not permitted. Reimbursement will not be made for grades lower than “C”, less than “Pass” for pass/fail courses, or for “incomplete.”

1. A participant may receive up to three hours of State time off per week to attend an approved upward mobility class. Time off is at the supervisor’s discretion, depending on workload and other justifiable considerations that are determined by the supervisor.
2. An approved Annual Employee Training Plan and approved Career Development Plan must be on file with the first line supervisor prior to the first class meeting.
3. For information on training reimbursement expenses that are considered reportable and taxable income, visit the Learning and Development Office intranet page at http://admin.dot.ca.gov/tr/lido/categories_description.shtml.

To determine the minimum education requirements for bridging classifications, employees may review the classification specifications contained within the CalHR Website: <http://www.calhr.ca.gov/state-hr-professionals/Pages/job-descriptions.aspx>.

The Division of Safety and Management’s Learning and Development Office’s Intranet site provides information on educational institutions that may meet the employees’ educational objectives. For further information, visit: <http://admin.dot.ca.gov/tr/lido/>.

Please refer to your specific bargaining unit contract for more information, to assist with identifying appropriate training solutions for employees. The Learning and Development Office also offers consulting services to managers and supervisors.

E. Leave of Absence

A leave of absence is another option available to an employee interested in advancing and/or changing his/her career. A leave of absence may be granted to an employee seeking formal training or an intergovernmental assignment. Employees may request an unpaid leave of absence for up to one year to attend college or to take formal training (i.e. to upgrade skills; to accept a fellowship; or to complete a degree).

During this time, an employee does not receive any pay, benefits, reimbursement, or service credits. Upon returning from an approved leave of absence, an employee has the right to be reinstated into the same classification held prior to the approved leave, or into a comparable classification (i.e. one into which the employee could have laterally transferred).

However, as defined by Government Code Section 18522, an employee may not be able to return to the same job assignment that he or she held prior to the approved leave. An employee may also be loaned to another governmental agency (i.e., federal, county, or local) to perform a specific assignment. This may be paid or unpaid but in either case the employee has the same reinstatement rights as stated above.

A request for leave of absence or loan to another governmental agency must be approved by the supervisor and the Deputy Director or District Director and sent to the Division of Human Resources. The request should specify the amount of time requested the purpose of the leave, the benefit to Caltrans if the leave is approved, and if the individual intends to return to work at the end of the absence.

If you are a permanent employee, you may request a leave of absence to return to school. With the approval of your supervisor, up to one year of leave may be granted for this purpose. If the leave is granted, you have a right to be reinstated into the same classification as the one you held before your leave. It may not be the same job but should be one that is comparable to the one you left. You do not receive any pay, reimbursement, or service credits during the leave. For additional information on leaves of absence refer to your collective bargaining unit contract.

Please note that allowing an employee to take a leave of absence may cause management and administrative problems because while the employee is on leave that position is typically held open or filled on a limited term basis. If the employee does not return to State civil service on or before the expiration date, they must contact their supervisor.

F. Training and Development Assignment

A Training and Development (T & D) assignment is a form of rotation similar to a lateral transfer except that the employee is provided additional options. A T&D assignment can be more flexible and may permit training in classifications where the salaries vary by less than 10% of the top range of each classification. A T&D assignment is a formal agreement between the employee, the current supervisor, and the new supervisor. The duration of agreements can vary from a few months to a maximum of up to two years.

By providing an opportunity to broaden your skills and experience, a T&D assignment can improve your ability to perform the duties of your current classification, help you prepare for future promotions, or facilitate your entry into a new occupational field. It also provides a process for the movement of low-paying employees into technical, professional, and administrative level positions by providing an opportunity to meet the minimum experience and education qualifications.

The following guidelines should be considered if you are interested in a T&D assignment:

-
1. The T&D classification cannot be in the same classification series as your present classification.
 2. The T&D assignments should be consistent with your career development plan and provide desirable developmental experience in a different occupational field.
 3. The T&D classification generally should be one to which you could permissively transfer.

If there is a two step or more salary differential between your current classification and the T&D classification, the following criteria apply:

1. The T&D assignment must be to the nearest classification in the desired occupational series that will provide the appropriate training.
2. You will meet the minimum qualification for the T&D classification by the conclusion of the agreement.
3. The T&D classification is not in the same classification series as your current classification.

A T&D assignment may be terminated at any time by the appointing power, the employee, or CalHR. Upon completion or termination of a T&D, an employee may return to a position comparable to his/her previous position or may transfer to a comparable level classification in Caltrans. Because the employee has learned new skills and has gained experience while on the T&D, oftentimes he or she can successfully compete in the promotional examination for the T&D classification and may subsequently be appointed on a permanent basis to the T&D classification, or has the option to seek new opportunities rather than return to his/her former position.

In order to hire an individual on a T&D, the hiring manager must have a vacant position and be willing to allocate the extra time necessary for training purposes. At certain times, it may not be practical for a supervisor to have an active T&D because the extra training time is not available. From the employee's perspective, the primary consideration in accepting a T&D assignment is that the assignment is consistent with his/her CDP and that it provides real developmental experience.

It is standard practice for managers and supervisors to consider T&D assignments for Caltrans vacancies. However, not all managers and supervisors or employees interested in a T&D assignment understand the purpose or understand how to initiate the process. Therefore, it is important to contact the Division of Human Resources analysts to discuss T&D options for specific positions and for advice on how to proceed.

G. Bridging Classifications

Bridging classifications are developmental classifications designed to facilitate movement from sub-professional to professional and technical classifications. These classifications are an integral part of the Upward Mobility Plan because they provide the opportunity to move, through lateral transfers and testing, to higher paying classifications with expanded career growth possibilities.

One example of a bridging classification is the Management Services Technician (MST). The MST is a bridge classification from Office Technician to Staff Services Analyst. The result is a bridge from the clerical field to the analytical field.

For information on bridging classifications, speak with managers who hire and employees who are working in these classifications. Also, the Division of Human Resources has information on the bridging classifications.

H. Job Sharing

Another alternative for an individual to consider is to locate a part-time or intermittent position that will allow time for school, as well as for a job. Subject to management discretion, if the job duties of a position can be divided in such a way that more than one person can do them on a less than full-time basis, job sharing can be an alternative. Job sharing is another innovative personnel management tool that can be used to pursue educational opportunities, while maintaining a partial income.

I. Transfer to Employment List Eligibility

Under certain circumstances, an employee can be allowed to transfer his/her list eligibility from one departmental list to another. Employees considering a lateral transfer to another department at their current level may pursue this option. Transfer of list eligibility would enable an employee to pursue upward mobility opportunities in the new department without re-testing. For information regarding specific guidelines and criteria for transferring list eligibility contact the Department's Division of Human Resources.

IV. EXAMINATION INFORMATION

IV. EXAMINATION INFORMATION

The following is a brief outline of the examination process and information, which should be helpful to Caltrans employees participating in civil service examinations.

A. Responsibility for Examination Administration

Effective July 1, 1984, the Office of Examinations and Recruitment Services was delegated authority by the SPB to conduct civil service selection examinations. This is the result of the SPB's "decentralization" program, which transferred testing responsibilities to state agencies.

B. Caltrans Responsibilities

Caltrans has full responsibility for the administration of Caltrans promotional examinations, as well as for many open examinations for civil service classifications used by Caltrans.

C. California Department of Human Resources Responsibilities

CalHR conducts examinations for some entry-level clerical (Office Assistant) and service wide professional classifications (Staff Services Analyst). A primary responsibility of CalHR is to ensure that departments carry out the principles of the merit system by ensuring that examinations are competitive and designed to fairly determine the qualifications and promotional readiness of the candidate group.

D. State Personnel Board Responsibilities

SPB's primary responsibility includes hearing and acting on candidate appeals of examinations conducted by all departments. Appeals typically cover application rejection, examination itself, and interview scores.

E. Examination Process

Basic steps to compete in a State Department Civil Service examination:

1. Review the examination bulletin (see Item F).
2. Complete and submit an application (Standard Form 678) for the examination you are interested in to the contact and address indicated on the examination bulletin. Applications may be obtained at CalHR in Sacramento or the CalHR website at, <http://www.calhr.ca.gov/pages/calhr-jobs.aspx>, any Employment Development Department Office, Caltrans District Office, or on the internet at www.dot.ca.gov/hq/jobs. Ensure that your application clearly shows that you meet

and/or exceed the minimum requirements for admittance to the examination, as well as your education and experience. Your signature on your application indicates that you possess the minimum qualifications required.

3. To verify that you meet the minimum requirements of the classification you have applied for, the Office of Examinations and Recruitment Services will review your application.
4. The examination bulletin indicates the type of examination that is being administered. There are different types of examination components. You can either take a written examination, qualifications appraisal panel (oral interview examination), supplemental examination, modified qualification appraisal panel (using a computer terminal), education and experience examination or a combination examination having more than one examination component. Your performance in the examination will be scored and all candidates who pass are ranked according to their scores. To obtain list eligibility, you must obtain a passing score (indicated in the examination bulletin).
5. Usually six to eight weeks after the examination is administered, a list of successful candidates is released and candidates are notified of their examination results. A supervisor with an advertised vacancy may request a certification list that includes all those who are eligible to be hired for class by score and rank.
6. As individuals are hired or promoted from eligible ranks, or waive their right to be interviewed, other eligible individuals who are further down the list may become eligible.
7. To obtain permanent status in a new position, individuals must satisfactorily complete a probationary period of six to twelve months. If the probationary period is not successfully completed and the individual has permanent status in another class, he or she has the right to return to the former classification. If there is no prior permanent status, the individual will be terminated from State Civil Service employment. Successful completion of the probationary period completes the examination process.

All examinations in State Civil Service are competitive.

F. Examination Bulletins

Examination Bulletins can be obtained from Caltrans Office of Examinations and Recruitment Services, CalHR at <http://www.jobs.ca.gov/> District offices, or on the Internet at www.dot.ca.gov/hq/jobs. You may also obtain a copy of the class specification or you can access the bulletin and retrieve the class specifications at <http://www.jobs.ca.gov/>. The specifications provide additional information about the class and its duties.

Examination bulletins contain the following types of information:

1. **Examination Details**—Description of classification, final filing date for applications, date of examination, information about the list to be established, and what knowledge, skills, and abilities will be tested in the examination.
2. **Examination Requirements**—Description of the minimum qualifications a candidate must possess to be admitted to the examination.
3. **Examination Features and Weight**—This portion of the bulletin describes the method (s) by which one's knowledge and skills will be examined and the minimum score that must be obtained to successfully pass the examination.
4. **Examination Filing Instructions**—The applicant will receive instruction on where to send the application or where to file in person. Instructions regarding special testing arrangements will also be provided should the applicant need reasonable accommodations.

G. Types of Examinations

1. Written Test

Some examinations will require passing a written test with a minimum of 70% or, if there is more than one component, the examination may be pass/fail, or weighted 50%-50% with another component. Where a written test is weighted pass/fail, an individual's placement in the examination is based solely on subsequent examination parts – typically an interview.

2. Qualification Appraisal Panel Interviews (QAP)

A QAP interview is where a candidate responds to examination questions in front of a panel. There are a set number of pre-determined responses to each question. Candidates are scored based solely on performance during the interview. Interview panel members may not consider outside knowledge about the candidate.

3. Modified Qualification Appraisal Panel

A modified QAP examination is where a candidate uses a computer terminal to respond to examination questions. All questions are provided at the time of the examination and the candidate's responses will be scored against a set number of pre-determined responses by a panel.

4. Education and Experience Rating

An Education and Experience (E/E) rating may be used for examinations where a very small candidate group is participating (typically less than 20). An E/E examination consists of an evaluation of each candidate's application and the experience and education indicated therein compared to a standard developed from the class specifications.

5. Internet Examinations

Internet examinations are typically continuous and candidates (who meet the minimum qualifications) may test for these classifications at anytime. They are typically Training and Experience (T&E) examinations where the candidate score is based on time and experience gained performing specific job related duties.

6. Supplemental Questionnaire

It requires the completion of supplemental application in addition to the regular standard state application. Candidates provide their experiences and accomplishments in critical skills areas for the classification being tested.

7. Performance Tests

Where a particular activity (or group of activities) is critical to job performance, an examination may include a test to assess an individual's ability to physically perform the activity. Examples include typing tests, operating heavy equipment, tree climbing, knot tying, etc.

V. CLASSIFICATIONS

V. CLASSIFICATION SPECIFICATIONS

Classification specifications provide the legal definition of the classifications, along with the typical duties, minimum experience, educational qualifications, knowledge, skills and abilities.

A. Classification Title

This is the official Civil Service classification title that should be used when referring to a particular classification. Classifications that are a part of a series (I, II, III) are documented separately in one specification under a general title.

B. Duties and Responsibilities

A general statement of duties and responsibilities as well as examples of work performed is included. Comparing this information to your own skills, interests and strengths will help you determine if the classification is right for you.

C. Minimum Qualifications (MQs)

This section specifies the minimum education and experience requirements of the classification and any required license or certification. Some classifications will allow persons with a stated minimum of experience to compete for examinations, but specify a requisite amount of experience that must be completed prior to appointment to the classification. MQs for some classifications list acceptable substitutions for years of experience or education. This can have a positive impact on your upward mobility activities.

The Staff Services Analyst specification provides a good example (e.g., State experience can be substituted for college education on a year-for-year basis). If the specification does not prohibit combining experience, qualifying experience may be combined on a proportionate basis if the MQs for the class include more than one pattern and are distinguished as “either” I, “or” II, “or” III, etc. For example, a person possessing qualifying experience amounting to 50 percent of the required time of Pattern I, and additional (you cannot count the same experience twice) experience amounting to 50 percent of the required time of Pattern II, will be considered as meeting 100 percent of the overall experience requirement.

If you have questions or problems interpreting the MQs for a classification, you can contact the Division of Human Resources at (916) 227-7800.

D. Knowledge, Skills and Abilities

This information lists the skills abilities and subject matter knowledge necessary for a classification. Since all examination questions are derived from the "Knowledge, Skills and Abilities" of a classification, this is an excellent resource for preparing for an examination.

E. Salary Range

Salary ranges are not listed in the specifications, but are found on the CalHR website at <http://www.calhr.ca.gov/state-hr-professionals/pages/pay-scales.aspx>.

Most specifications will contain the information listed above. Many will contain additional information such as personal traits or attributes that may be required, desirable qualifications, etc. In all cases, classification specifications are a good information source readily available to persons wishing to pursue career development.

Refer to Section II of this guide for information on where to obtain classification specifications.

VI. TRANSFERS/CAREER LADDERS

VI. TRANSFERS/CAREER LADDERS

This section provides additional information regarding transfers. In order to explain the typical promotional paths and possible transfers that may occur among a sample of classifications used by Caltrans, this guide provides career ladder information. Career ladders are charts showing promotional paths and transfers that an employee may progress through various classifications. It does not include all of Caltrans' classifications.

A. Transfers

A transfer is the movement of an employee from one position to another position at substantially the same salary and level of responsibility. Positions are considered at substantially the same salary if the maximum salaries of the two classes are within 10 percent. Transfers are discretionary on the part of management.

A number of limitations exist for transfers in addition to the salary relationship. For example, an employee may not transfer to a higher classification in the same series. A classification series is any vertically related group of classifications, covering the same occupational specialty and same program area, which constitutes a primary promotional pattern. The Career Ladder Chart shows samples of classification series.

Caltrans is responsible for determining whether a transfer is within Caltrans' policy, whether it meets other regulatory requirements, and whether a transfer examination is required. For this reason, specific transfer situations should be discussed with the Division of Human Resources.

See Section III of this Guide, and refer to the Administrative Manual for more information on transfers.

B. Career Ladder Chart

Upward mobility legislation and CalHR policy require that all State agencies ensure that career ladders are available and that bridging classifications are established. Ladders indicate how promotions and transfers may occur as a person progresses upward through various classifications. Career ladders give an employee a picture of the progression, without giving specifics on the number of job opportunities. Employees should keep in mind that departments are limited, due to the specialized abilities of some classifications in the kinds of upward mobility opportunities they can provide.

A copy of Caltrans' career ladder chart is available at the Division of Human Resources website at http://admin.dot.ca.gov/hr/INFO_CENTER/CareerDev/CareerDev_CareerLadder.shtml. The career ladder chart lays out the classifications used by Caltrans. It shows each classification's proximity to other classifications in related and same salary ranges. It also shows the progression through various classification series. For specific information regarding how to read the charts, to learn about minimum qualifications and to learn of upward mobility opportunities, an employee should contact the Division of Human Resources.



VII. RESOURCES

VII. RESOURCES

A. Preparing Your Resume

An important part of your career development is preparing an effective resume. Your resume should reflect you and your experience and interests. The resume can make the difference between getting an interview or a rejection letter.

While there are no set rules regarding format or style, the following guidelines will assist you in preparing an effective resume.

1. Types of Resumes

- ❖ **Chronological Resume**—Presentation of experience usually starts with your present or most recent work experience, education, and works backward, by dates, to the first employment and/or school. Under each date, list the name and address of your employer, the title of your job, and the duties performed.

If you have worked for more than one State agency or department, list each one separately. This allows you to explain what duties you performed at each department. Although your classification may be Office Assistant, your duties at each place you worked may have been different. An opportunity to explain the varied duties of your job gives the reader of your resume (your potential employer), a broader and deeper insight into your abilities and skills. Chronological resumes of work experience are particularly useful for long, uninterrupted periods of employment.

- ❖ **Functional Resume**—Groups together all your training, experience, skills, and abilities into areas of competence. This focuses on the functions or jobs you can perform, as well as the areas where you have special competencies or have gained special training or experience, on or off the job.
- ❖ **Comprehensive Resume**—Combines both the simple functional and chronological formats. It outlines your qualifications briefly, and then provides more specifics relating to your experience and education.

2. The ABC's of Writing a Resume

The following are basic guidelines for an effective resume:

- ❖ List unpaid as well as paid experience, as long as it is related to the job for which you are applying and is at a comparable work level.
- ❖ Salaries should be included to establish qualifications or transfer eligibility.
- ❖ Data such as height, weight, age, sex, race, and color should not be included. You wish to be considered for a job because of your qualifications, not because of your personal characteristics.
- ❖ Names and addresses of references do not need to be included; it is a matter of your preference. "References available on request" is sufficient to indicate to the employer that references can be supplied at the interview.
- ❖ To achieve maximum effectiveness, resumes should generally be kept to two pages or less.

B. Tips for Interviews

1. Read the examination announcement carefully before the interview. Pay attention to the sections entitled: Position, Scope, and Personal Characteristics.
2. Know the job for which you are interviewing. Read the examination bulletin, classification specifications and any other applicable material.
3. To find out what the position entails talk to people already in the position.
4. Review a copy of your application and your resume.
5. Be prepared to discuss your past experience and how it relates to and qualifies you for the job for which you are interviewing.
6. Think about possible questions you may be asked and practice your answers.
7. Be prepared with a summary of your accomplishments, special assignments/projects or examples of your work, if you feel it will help make your point.

C. Examination and Human Resources Information

1. Department of California Human Resources
CalHR State Job Center:
 - ❖ 1515 "S" Street, North Building, Suite 110
Sacramento, CA 95811
 - ❖ <http://www.calhr.ca.gov/state-hr-professionals/Pages/state-jobs-center.aspx>

-
2. Division of Human Resources
 - ❖ Headquarters—(916)-227-7800
 - ❖ <http://www.dot.ca.gov/hq/jobs/>

D. Learning and Development Office Information

1. Your District or Division Training Officer/Coordinator. If you do not know who that person is, you may contact Caltrans's Division of Safety and Management Learning and Development Office— (916) 227-9775
2. Learning and Development Office webpage – <http://admin.dot.ca.gov/tr/ldo/>
3. Mentoring Program - http://admin.dot.ca.gov/tr/ldo/knowledge_transfer.shtml
4. Training Library - <http://admin.dot.ca.gov/tr/ldo/programs.shtml>

E. Internet Information Sources

1. California State Homepage – <http://www.ca.gov>
Go here to find a listing of state departments, then click on the department you want.
2. Caltrans Intranet Homepage – <http://onramp/>.
3. Department of Human Resources – <http://www.calhr.ca.gov/Pages/home.aspx>
CalHR contains examination announcements and job bulletins for state jobs.
4. Career Path – <http://www.careerpath.com>
Contains listings of jobs in the private sector.
5. Wall Street Journal – <http://online.wsj.com/home-page>
6. Job Trak – <http://www.jobtrak.com>
Job Trak the nation's leading job-listing services in partnership with hundreds of college and university career centers.

F. Books and Publications

1. "Everything a Woman Needs to Know to Get Paid What She's Worth"-- Carolyn Bird--David McKay Company, Inc.
2. "Go Hire Yourself An Employer"--Richard Irish--Anchor Books
3. "Making Vocational Choices: Prentice, Inc. A Theory of Careers"--John Holland-Prentice, Inc.
4. "What Color is Your Parachute?" --Richard Bolles--Ten Speed Press
5. "Where Do I Go From Here With My Life"--John Crystal, Richard Bolles--Crystal Management Services, Inc.
6. "How to get a Better Job Quicker" – Richard A. Payne, --Signet

-
7. “How to Write a Resume That Gets You An Interview”, Linda A. Hamilton –
Resume Specialist.

G. Vocational Counseling

If you are a student at a community college or a State University, you can generally avail yourself of the counseling services and interest/aptitude testing provided by such institutions to their students.

APPENDIX A

APPENDIX A: LOW-PAYING CLASSIFICATIONS

Accounting Technician
Associate Printing Plant Superintendent
Audio-Visual Equipment Technician
Automobile Mechanic
Automotive Pool Attendant II
Automotive Pool Attendant III
Bookbinder III
Building Maintenance Worker
Caltrans Bridge Maintenance Supervisor
Caltrans Electrical Area Superintendent
Caltrans Electrical Supervisor
Caltrans Electrical Technician
Caltrans Electrician I
Caltrans Electrician II
Caltrans Electronics Spec Sup (Repair Lab)
Caltrans Electronics Specialist (Repair Lab)
Caltrans Equipment Operator I
Caltrans Equipment Operator II
Caltrans Heavy Equipment Mechanic
Caltrans Heavy Equipment Mechanic Leadworker
Caltrans Highway Maintenance Worker
Caltrans Highway Maintenance Leadworker
Caltrans Highway Mechanic Supervisor
Caltrans Landscape Maintenance Leadworker
Caltrans Landscape Maintenance Worker
Caltrans Landscape Specialist

Caltrans Maintenance Area Superintendent

Caltrans Maintenance Manager I

Caltrans Maintenance Manager II

Caltrans Maintenance Supervisor

Chief Engineer I

Chief of Plant Operation I

Cook Specialist I

Cook Specialist II

Custodian

Custodian Supervisor II

Deckhand –Ferryboat-

Digital Composition Specialist I

Digital Composition Specialist II

Digital Print Operator I

Digital Print Operator II

Dispatcher Clerk

Dispatcher Clerk Supervisor, Caltrans

Drawbridge Operator

Equipment Materiel Coordinator

Equipment Materiel Manager I

Equipment Materiel Manager II

Equipment Materiel Manager III

Equipment Materiel Operations Manager

Equipment Materiel Specialist

Executive Assistant

Executive Secretary I

Ferryboat Master

Ferryboat Mate
Foundation Driller
Foundation Driller Lead worker
Heavy Equipment Bodyworker/Painter
Heavy Equipment Mechanic Apprentice
Highway Equipment Superintendent I
Highway Equipment Superintendent II
Highway Equipment Superintendent III
Laborer
Lead Heavy Equipment Bodyworker/Painter
Lead Structural Steel Painter
Legal Secretary
Legal Support Supervisor I
Library Technician Assistant I
Machinist And Equipment Fabricator
Maintenance Mechanic
Maintenance Worker, Tunnels And Tubes
Material and Stores Specialist
Materials and Store Supervisor
Office Assistant (General)
Office Assistant (Typing)
Office Services Supervisor II (General)
Office Technician (General)
Office Technician (Typing)
Operator Tunnels and Tubes
Personnel Selection Technician
Plumber I

Printing Trades Production Coordinator
Printing Trades Supervisor I (General)
Printing Trades Supervisor II (General)
Program Technician II
Program Technician III
Property Controller I
Property Controller II
Secretary
Senior Equipment Materiel Specialist
Senior Foundation Driller
Senior Inspector of Automotive Equipment
Service Assistant (Maintenance)
Sheetfed Offset Press Operator III
Stationary Engineer
Structural Steel Painter
Structural Steel Painter Apprentice
Structural Steel Painter Superintendent
Structural Steel Painter Supervisor
Structural Steel Welder
Supervising Cook I
Supervising Highway Equipment Superintendent
Supervising Program Technician II
Supervising Program Technician III
Supervisor of Machine Shop
Supervisor, Tunnel and Tubes
Toll Captain
Toll Collector

Toll Lieutenant

Toll Sergeant

Toll Services Manager

Warehouse Manager I

Warehouse Manager II

Warehouse Worker

Word Processing Technician

APPENDIX B

APPENDIX B: 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)

APPENDIX C

APPENDIX C: UPWARD MOBILITY CLASSIFICATIONS

Accountant I (Specialist)

Administrative Assistant I

Administrative Assistant II

Caltrans Regional Administrative Officer

Drafting Services Aid

Environmental Planner

Information Systems Technician

Personnel Specialist

Personnel Technician I

Research Analyst (Geographic Information Systems)

Research Analyst –General-

Staff Services Analyst (General)

Telecommunications System Analyst I

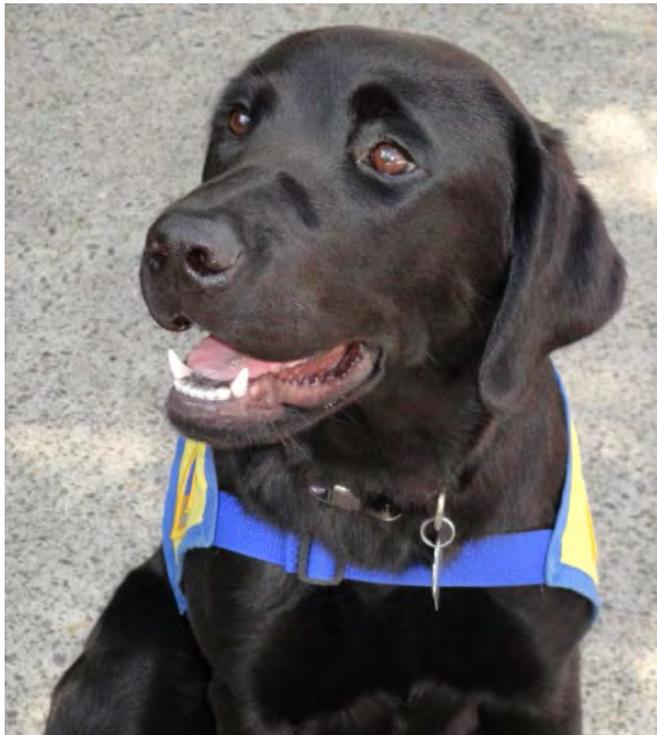
Tree Maintenance Worker

ATTACHMENT 4

REASONABLE ACCOMMODATION GUIDE



Reasonable Accommodation (RA) Guide



"Katie" the Service Dog

Revised November 2014

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Purpose

This Reasonable Accommodation (RA) Guide is intended to provide information and resources for all employees and to assist supervisors and managers in recognizing the need to engage in the interactive process to provide reasonable accommodations for an employee's disabilities resulting from either work related injuries or non-work related conditions.

Objectives

The purpose of this guide is to assist employees and supervisors in understanding:

- ◆ The laws, regulations and policies governing RA existing at the time this guide is issued;
- ◆ The terminology and concepts used when discussing RA;
- ◆ The methods and procedures for implementing RA in the Department; and,
- ◆ The appeal process established to review complaints based on the denial of RA.

Federal

The *Rehabilitation Act of 1973* implements a national policy against discrimination on the basis of disability and was enacted to promote the rehabilitation and employment of individuals with disabilities. Section 504 of this act provides that qualified individuals with disabilities shall not be excluded from participation in, denied the benefit of, or be subjected to discrimination under any program or activity receiving federal funding. The regulations adopted to implement Section 504 require that the Department of Transportation (Department) provide RA to job applicants and employees with disabilities.

The *Americans with Disabilities Act (ADA)* of 1990 provides equal employment opportunity and anti-discrimination provisions identical to those provided in the Rehabilitation Act of 1973. However, the ADA went further in covering private and public employers without consideration of whether they receive federal funding.

The *ADA Amendments Act (Act)* of 2008 emphasizes that the definition of disability should be construed in favor of broad coverage of individuals to the maximum extent permitted by the terms of the ADA. The Act also expanded the definition of “major life activities” and states that mitigating measures other than “ordinary eyeglasses or contact lenses” shall not be considered in assessing whether an individual has a disability. Extends meaning of disability to encompass impairments that are “episodic/in remission” including temporary impairments, if the impairment, while in its active phase, substantially limits a major life activity.

State

California Government Code, Section 19230 (a), (b) and (c) predates the ADA and includes similar requirements, although the definition of a disabling condition is broader than that included in the ADA definition.

California Government Code, Section 12926.1 (e) The Legislature affirms the importance of the interactive process between the applicant or employee and the employer in determining a RA.

The Department’s employees and job applicants are also protected from employment discrimination under the *California Fair Employment and Housing Act (FEHA)*, which generally provides greater protection than that afforded under the ADA and Rehabilitation Act.

Under the *Governor's Executive Order D-48-85*, the Department of Personnel Administration adopted a Return-To-Work Policy which applies to all employees who become injured or ill on or off the job. Under the provisions of this policy, supervisors and managers are required to make every effort to enable employees with disabilities to return to work. This effort may include job reinstatement, a training and development assignment, and/or transfer or demotion to a position wherein the employee can successfully perform.

The Department has established policies to provide qualified applicants and employees who have disabilities the opportunity to fully participate in the employment process and in work-related activities and functions. All decisions regarding employment will be made on the basis of the Applicant's or employee's ability to perform the essential functions of the position with or without RA, and without regard to the individual’s disability.

Department Policies and Forms

The Department developed the following policies to provide equal opportunity for employees with disabilities:

- ◆ The Americans with Disabilities Act (ADA) (DD-42 R3);
- ◆ Reasonable Accommodation (DD-48 R3);
- ◆ Equal Employment Opportunity (DP-01 R7);
- ◆ Return to Work (DD-61 R2).

All Department policies and deputy directives referenced above are accessible from the Department's intranet website homepage 'onramp'. The RA forms are available at either the RA intranet page at http://admin.dot.ca.gov/hr/WC_RA/ra/ra.html or the Workers' Compensation intranet page at http://admin.dot.ca.gov/hr/WC_RA/wc/wcomp.html.

Basic Terminology and Definitions

Reasonable Accommodation (RA)

RA is a logical adjustment made to a job or work environment that allows a qualified person with a disability to participate in the Department's employment process and in work-related functions. RA's apply to disabilities resulting from non-work related medical conditions as well as work related injuries and or illnesses. To be entitled to a 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.

Disability

An individual with a disability is one who:

1. Has a physical or mental impairment or medical condition that limits one or more major life activities; or,
2. Has a record of such an impairment; or,
3. Is regarded as having an impairment.

Major Life Activities

Major life activities are such functions as learning, breathing, thinking, walking, talking, seeing, hearing, caring for one's self, working, etc. This list is not exhaustive, and other activities may be considered.

Mitigating Measures

Under FEHA, recent case law has held that mitigating measures must not be considered when determining whether a condition "limits" a major life activity, unless the mitigating measure itself limits a major life activity. Examples of mitigating measures are assistive devices, medication, hearing aids, glasses, or therapeutic interventions that would diminish the impact of the disabling condition's limitations below the threshold of being *limited in a major life activity*.

Limitations

Under FEHA and ADA, an impairment is considered a disability if it *limits* one or more major life activities. An impairment "limits" a major life activity when it makes performance of that activity more difficult.

Three factors are considered in determining whether a person's impairment *limits* a major life activity:

1. Its nature and severity;
2. How long it will last or is expected to last; and,
3. The permanent or long term impact, or expected impact.

Essential Job Functions

A job function may be considered *essential* for any of the following reasons:

- ◆ The appointing power determines that the task to be performed is essential;
- ◆ The position exists to perform a specific function;
- ◆ The function requires highly specialized knowledge, skill, or expertise;
- ◆ The amount of time an employee spends performing the function is significant;
- ◆ The current work experience of other incumbents in similar positions requires the same knowledge, skills and abilities;
- ◆ The consequences of not requiring the incumbent to perform the function fundamentally changes his/her job or has an impact on other employees;
- ◆ A collective bargaining agreement identifies a specific function to be performed by this classification; and/or,
- ◆ There are a limited number of employees available to whom you can assign a specific function.

Note: The duty statement for the employee will designate whether a function is essential or marginal.

Undue Hardship

An *undue hardship* is an accommodation that would result in "significant difficulty or excessive expense" in relation to the size of the employer, the resources available, and the nature of the business. Factors to consider when determining *undue hardship* include, but are not limited to, the following:

- ◆ Impact of the accommodation on the operation of the facility, including the ability of other employees to perform their duties, and the unit's ability to conduct business.
- ◆ Type of operation and number of employees within that same job class among whom the tasks could be distributed in that division, district program or office; and/or,
- ◆ Composition structure and functions of the unit's workforce.

Cost is only one factor in reviewing an RA request. The Department's entire budget must be considered when determining whether or not the cost of the accommodation is reasonable or an undue hardship.

Direct Threat

Direct threat under the FEHA refers to a significant risk of substantial harm, which cannot be eliminated or reduced to an acceptable level by reasonable accommodation. In assessing whether an individual poses a *direct threat*, factors to consider are:

1. Likelihood that potential harm will occur;
2. Imminence of the potential harm;
3. Nature and severity of the potential harm; and,
4. Duration of the risk.

Types of Reasonable Accommodations

Each RA request is judged on its own merit and takes the following factors into consideration:

- ◆ The specific abilities and strengths of a particular applicant or employee;
- ◆ The essential functions of a particular job as delineated in a current duty statement for that position; and,
- ◆ The impact, if any, on the employer as a result of having provided the requested accommodation.

Individuals with disabilities differ, and there can be significant variances in abilities among persons who are classified by a disabling condition such as blindness, deafness, paralysis, etc. Additionally, there may be a wide range of options to consider in accommodating a particular limitation. Each request must be considered separately, taking into account how an individual with an impairment is limited in performing the essential functions of a specific position rather than a broad class of jobs. There is no one particular accommodation for a specific limitation. Some individuals with disabling conditions may require more than one accommodation, while others may require none. Therefore, many factors are considered when the employer evaluates what is 'reasonable' and one person's accommodation does not set precedence for other persons.

The types of RAs available may include, but are not limited to:

- ◆ Making facilities readily accessible to and useable by individuals with disabilities;
- ◆ Providing adjustments or modifications to exams, training sessions and materials;
- ◆ Obtaining assistive devices or services (e.g., a TTY device for an individual with deafness);
- ◆ Providing special assistance to individual employees or applicants to assist with communication (including sign language interpreters, readers, drivers, etc.);
- ◆ Providing alternative formats (e.g., larger print, Braille, audio cassette recordings of manuals, brochures, or training materials, or real time captioning for class or meeting attendance);
- ◆ Altering when or how an essential function is performed;
- ◆ Adjusting supervisory methods of communicating assignments, instructions, or training using the method that is most effective for a particular individual with a disability;
- ◆ Redistributing marginal job functions to other staff;
- ◆ Allowing flexible places of work, work schedules, and extended leave;
- ◆ Reassigning to a vacant position.

Requests that are not appropriate:

- ◆ Eliminating an essential function;
- ◆ Providing personal use items needed in accomplishing daily activities both on or off the job;
- ◆ Transfer to another supervisor;
- ◆ Transfer to another District to accommodate a commute;
- ◆ Hiring another employee to assist in performing the essential functions;
- ◆ Creating a new permanent position;
- ◆ Hiring and continuing to employ an unqualified applicant.

Please note: a request for a change in supervision is not a RA, and commuting to or from work is not an essential function and will not be accommodated by the department.

Any RA that exceeds \$500.00, or results in a telecommute agreement, must be approved and the PMS-0018 must be signed by the applicable Division Chief prior to approval or implementation of the RA.

When an employee transfers in state service, the immediate supervisor provides a copy of the PMS-0018 and PMS-0019 to the transferring employee to enable the employee to supply those forms to the new supervisor.

Consult with the Department's Statewide RA Coordinators, Return-To-Work Coordinators, Safety Officers, Work Comp Branch Chief, or your district's RA Liaison to help you assess RA requests as well as to determine the range of appropriate solutions.

Critical Concepts

The following must be considered during the RA process.

Confidentiality

Information pertaining to RA requests contains personal and medical information and is confidential pursuant to state and federal laws. Such information shall be kept confidential and protected against unauthorized disclosure.

Managers and Supervisors are responsible and can be held personally liable for inappropriate disclosure of confidential information. Managers and supervisors must keep an employee's request confidential; to not do so would potentially disclose the fact that the employee has a disability, which is confidential information under federal and state statute. However, any information necessary to implement the accommodation may be disclosed to the Department's RA Coordinator/RA Liaisons, RTWC or any other appropriate personnel.

Employees are expected to advise any new or acting supervisor of an approved RA.

Interactive Process

The FEHA requires employers to engage in a *meaningful, good faith, interactive process* with an employee to determine an effective reasonable accommodation for a known disability. An employee is required to participate in this process in good faith.

An employer's obligation to initiate the interactive process begins when:

- ◆ An employee with a known disability requests accommodation;
- ◆ The employer otherwise becomes aware of the need for accommodation;
- ◆ The employer becomes aware of the need because the employee has exhausted protected leave and indicates the need for continued accommodation.

The employee's obligation in the interactive process is to:

- ◆ Cooperate in good faith with the employer;
- ◆ Provide adequate medical documentation that supports the need for accommodation;
- ◆ Provide the **return to work coordinator** with information about his/her educational and work experience when placement to an alternate position is considered.
- ◆ The interactive process is meant to be a collaborative approach or a shared consensus between manager and employee.
- ◆ **Neither** the employee nor the employer can interfere in the interactive process.
- ◆ If the employer is unsure of the type of accommodation the employee is requesting communicating with the employee is crucial to the Reasonable Accommodation process.

Disability

Employees are responsible for informing their supervisor that they have a disability. However, the employee need only let the supervisor know that some physical, mental, or emotional limitations exist that interfere with the employee's ability to do the job. Obvious disability can/should be accommodated without medical substantiation.

Timeliness

Supervisors should respond to RA requests within thirty (30) workdays of being notified. If the disability is obvious, and the solution is also obvious, there should be no delay in providing the requested accommodation. An example of an obvious disability requiring accommodation is illustrated by the following: an employee who uses a wheelchair every day at work needs a modification of his/her workstation to accommodate the use of the wheelchair. The paperwork could be filled out by the supervisor stating that he/she has observed the disabling condition personally and that the reconfiguration of the work station is necessary and has been provided. **A copy of all paperwork must be sent to the RA Liaison in the District or the Statewide RA Coordinator in the Division of Human Resources.**

Effectiveness

The accommodation requested must enable the employee to perform the essential functions of the job. The supervisor/manager may ask the employee to explain how the requested accommodation will enable him/her to perform the essential functions. Recently enacted law requires that the supervisor give "due consideration" to the employee's preference of the accommodation being requested. However, the employee is not necessarily entitled to the reasonable accommodation preferences. This is based on the idea that the individual with the disabling condition best knows his/her own disability, strengths, limitations and what method of accommodation has worked in the past. However, through the **interactive process**, the employer may suggest an alternative option that will enable the employee to perform the essential functions and will better suit the needs of the Department. Both state and federal laws require the RA process to be an interactive process between the supervisor, the requesting employee, and with the employee's treating physician's input to determine the best accommodation.

The following criteria may be used in determining whether an accommodation is effective:

- ◆ Is the accommodation necessary for the employee to perform his/her essential job functions or to participate in the activities, services, and opportunities provided to other employees?
- ◆ How will the accommodation enable the employee to perform the essential job functions?
- ◆ Are there alternative accommodations that would better enable the employee to perform the essential functions?

Documentation of Disabling Conditions

The Equal Employment Opportunity Commission (EEOC) provides guidance which permits employers to request documentation of *non-obvious* disabling conditions to establish the need for the accommodation. If the need for the accommodation is not clear, additional information concerning why the requested accommodation is needed or appropriate may be requested from the treating physician or other medical treatment provider.

Personal Use Items

Generally, an employer is not required to provide an accommodation that is primarily for personal use. Equipment or devices that assist a person in daily activities on and off the job, such as eyeglasses, a wheelchair, hearing aids, or an artificial limb, are *usually* considered personal items. However, in some cases, equipment that would otherwise be considered "personal" may be required as an accommodation if it is specifically required to meet job-related, rather than personal needs. The employer may also be required to modify the workplace to accommodate the use of a personal item. For example, if deep pile carpeting in a work area makes it impossible for an individual to use a manual wheelchair, the employer may need to replace the carpet or place a usable surface over the carpet in areas used by the employee.

Qualified Applicants/Candidates

The ADA or FEHA does not require the Department to hire an unqualified applicant. In order to be qualified for a position, the individual must be able to perform all the essential functions of the position with or without an RA. Marginal functions of a job may be reassigned as an RA, and, in the interview process, applicants should not be asked if they are capable of performing the marginal as well as essential functions of the job. Doing so may give unfair advantage to an applicant who is able to perform the marginal as well as the essential functions, which in time, disadvantages the disabled applicant.

Creating Positions

State and federal laws do not require that the Department create a new position for a person with a disability.

Medical Information

The Department can request medical substantiation that an employee has a disability or medical condition that limits his/her ability to perform essential functions of the job. This medical information is necessary to substantiate the need for RA, unless the disability is obvious and the solution is readily apparent. If the disability is obvious, the supervisor can certify that a disabling condition exists and should begin the interactive process to determine if an accommodation is needed. Form PMS-0019, Physician's Report Regarding Request for Reasonable Accommodation, should be utilized to obtain medical verification of a disabling condition. A physician's report will also provide information regarding the employee's limitations and possibly suggest RA(s) for the limitation(s).

Note:

If the candidate is **LEAP** certified by the Department of Rehabilitation and the supervisor has knowledge of this status, no further medical documentation is necessary for the certified disability. LEAP is the acronym for Limited Examination Appointment Program, administered by the State Personnel Board (Cal-HR).

Reasonable Accommodation Process for Employees

When the potential need for accommodation arises, the following forms are used to describe and document the Reasonable Accommodation process:

- ◆ PMS-0018 - Reasonable Accommodation Request to be completed by the employee;
- ◆ PMS-0019 - Physician's Report Regarding Request for Reasonable Accommodation;
- ◆ PMS-0021 - Acknowledgement of Receipt to be signed by the employee upon receipt of PMS-0018 and PMS-0019;
- ◆ PMS-0004 - Temporary Modified or Alternative Work Assignment Agreement to be signed by both the employee and the supervisor.

The supervisor should provide forms PMS-0018, PMS-0019, PMS-0021 and a Duty Statement to employee when:

- ◆ The employee requests accommodation;
- ◆ The employer otherwise becomes aware of the need for accommodation;
- ◆ Employee submits a work status note to supervisor that indicates he/she has work restrictions;
- ◆ The employer becomes aware of the need because the employee has exhausted protected leave and indicates the need for continued accommodation.

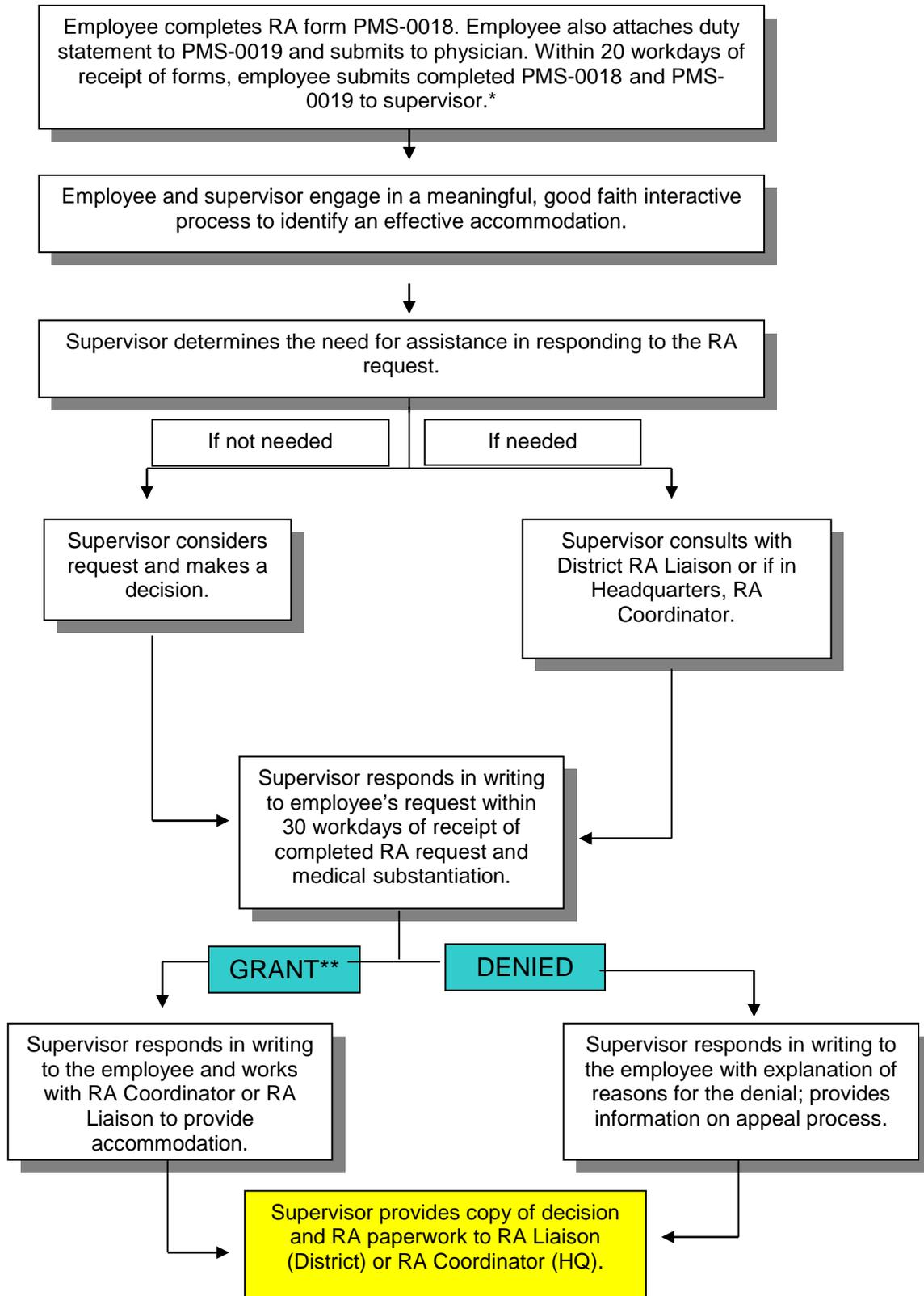
The employee should take the PMS-0019 and the Duty Statement to his/her physician and request medical substantiation for the requested accommodation.

The employee should return all completed forms to the supervisor within 20 workdays of receipt. If additional time is needed, the employee must contact his/her supervisor.

Under special circumstances, a physician or representative who is acting on the employee's behalf and with the employee's consent may submit a request for accommodation.

Employees requesting RA should refer to one of the Reasonable Accommodation flow charts. If an employee is not satisfied with his/her supervisor's response to his/her RA request, the employee may pursue the internal appeal process described in the following section.

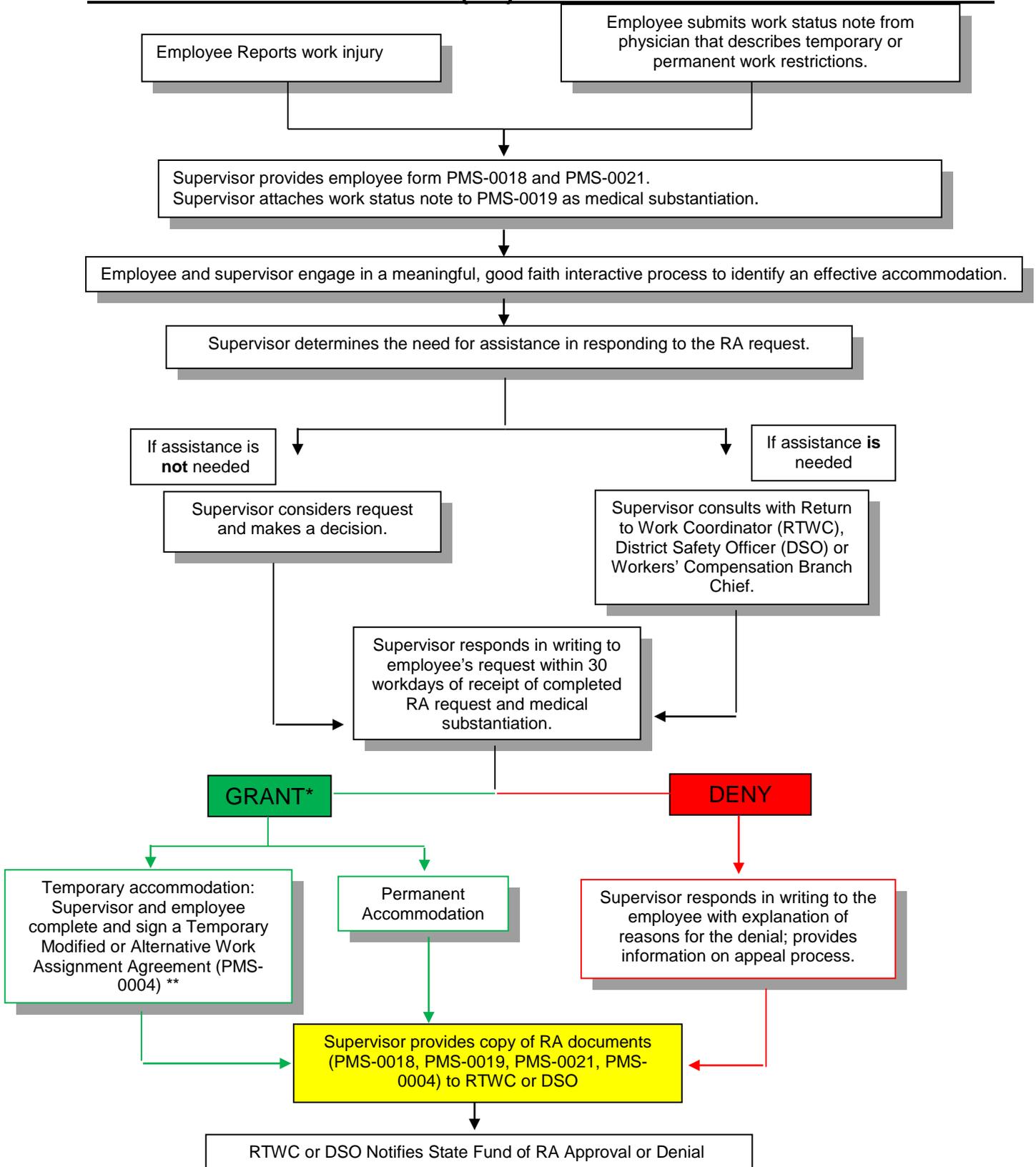
Reasonable Accommodation (RA) Process for Non-Industrial Disabilities



* Employees may contact the District RA Liaison for information regarding the Department's RA process and Reasonable Accommodation Request (PMS-0018) and Physician's Report Regarding Request for Reasonable Accommodation (PMS-0019) forms.

Division Chief **must sign PMS-0018 if RA implementation exceeds \$500 or results in a telecommute agreement.

Reasonable Accommodation (RA) Process for *Work Related Disabilities*



*Division Chief must sign PMS-0018 if RA implementation exceeds \$500 or results in a telecommute agreement.

**Each time an employee submits a new work status note:

-Engage in interactive process.

-Complete a new Temporary Modified/Alternative Work Assignment Agreement (PMS-0004).

■ The Appeal Process for Employees

The Department's internal appeal process has two levels of review.

First Level of Appeal

Within twenty (20) workdays of a RA denial, an employee may file an internal appeal. The employee should provide a copy of the PMS-0018, the PMS-0019, and any other supporting documentation to the District Director (or designee), or, if a headquarters employee, to the Deputy Director (or designee).

The District Director or Deputy Director will:

- ◆ Make a decision; respond to the employee in writing within thirty (30) workdays of receipt of the appeal; and, send a copy of the decision to the supervisor and the RA Coordinator, RA Liaison or Return to Work Coordinator.
- ◆ Inform the employee in writing of his/her external appeal rights if the accommodation is denied.

Second Level of Appeal

The Deputy Director of Administration is the final reviewer for the Department's internal appeal process. ¹The Administration Deputy reviews the entire RA request file along with any written documentation indicating the reason(s) for denial of the request or the reasons that agreement has not been reached.

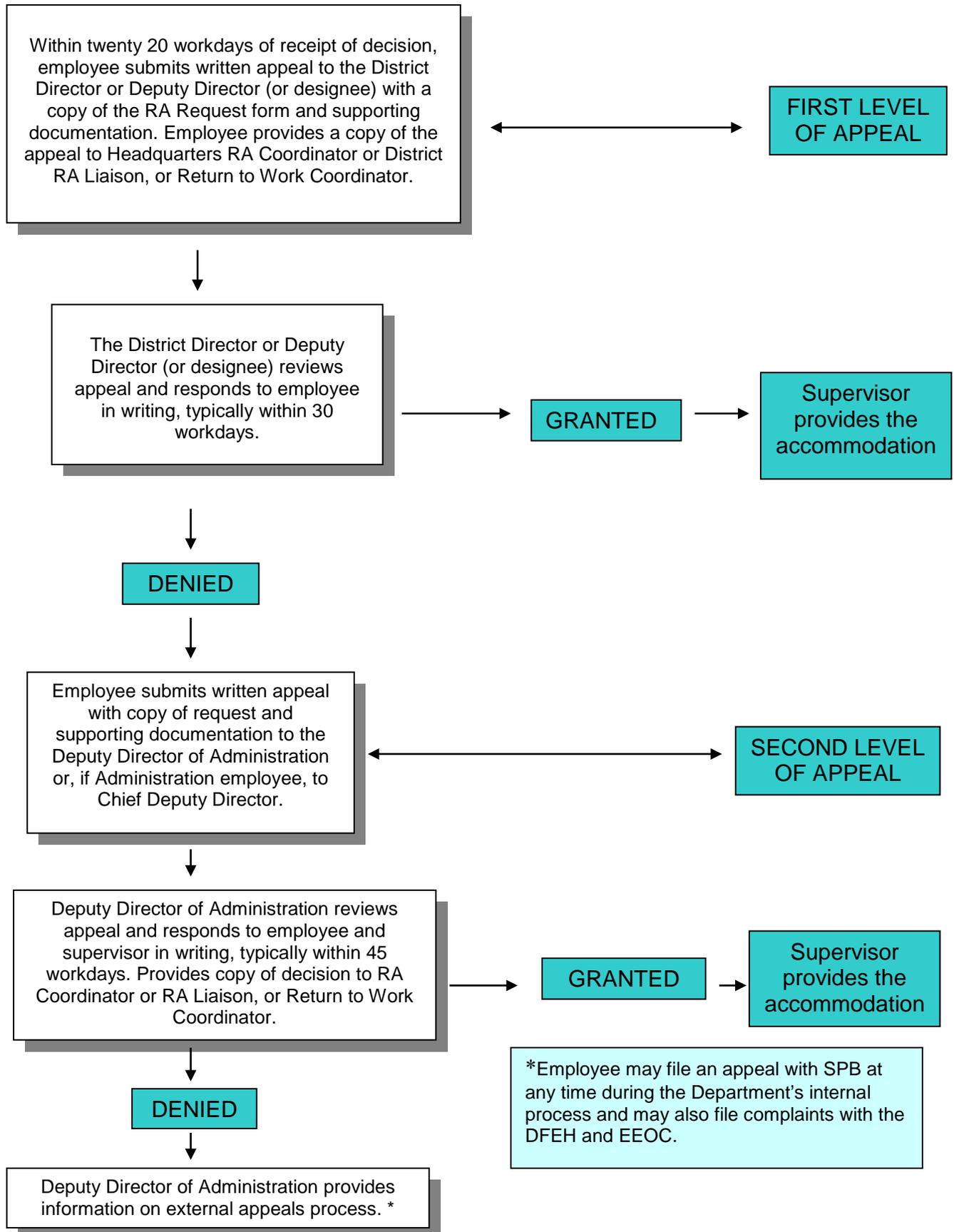
The Administration Deputy will:

- ◆ Make a decision, respond to the employee in writing within forty-five (45) workdays of receipt of the appeal, and send a copy of the decision to the supervisor and the RA Coordinator, RA Liaison, or Return to Work Coordinator.
- ◆ Inform the employee in writing of his/her external appeal rights if the accommodation is denied.

Any additional appeals may be filed directly to the SPB with the DFEH, or with the Equal Employment Opportunity Commission (EEOC).

¹ If an Administration employee files an appeal or a conflict of interest arises, the Chief Deputy of the Department of Transportation will review the appeal.

Reasonable Accommodation (RA) Internal Appeal Process



■ Reasonable Accommodations for Applicants

The Department is required to provide RA to applicants with disabilities during the examination and/or hiring (interview) process. Any qualified person with a disability or medical condition that limits his/her ability to participate in an examination and/or hiring may request RA to effectively compete in the process.

Examination Process

The State Personnel Board (SPB) process for those who require an RA to compete in civil service examinations is as follows:

Applicant Responsibilities

- ◆ Advise the examination staff of RA need by checking the appropriate box on the Examination Application, Std. 678;
 - ◆ Complete the "Special Testing Arrangements Questionnaire for Applicants with Disabilities" form (SPB-351);
 - ◆ Provide medical substantiation of a disabling condition from a qualified evaluator;
 - ◆ Describe how the disability impairs the ability to compete in the examination process;
 - ◆ Follow instructions contained in the examination bulletin or the job announcement.
1. If an applicant for an exam or interview has not been contacted concerning the requested accommodation by the time s/he receives the notice for acceptance of the exam, the candidate should immediately call the contact number listed on the notice.
 2. Hearing impaired candidates can use the California Relay Service (TTY: 1-800-735-2929 or voice at 1-800-735-2992) to call the exam contact listed on the notice. The Division of Human Resources' TTY phone number is (916) 227-7857.

If the request for accommodation is denied, the candidate may file an appeal if he/she disagrees with the decision. Employees may appeal through the Department's internal appeal process described in this *Guide*. Candidates may also file an appeal through external agencies, such as SPB, DFEH and/or the federal EEOC.

Exam Unit Responsibilities

The Exam Unit, located in the Office of Examinations & Recruitment Services, Division of Human Resources, responds to RA requests submitted by applicants during the *examination* process. All exam bulletins are required to include the following statement:

"If you have a disability and wish to participate in one of our testing services, programs or activities and require a specific accommodation, please mark the appropriate box for Question #2 on the Examination and/or Employment Application form. You will be contacted to make specific arrangements. TDD users may contact the California Relay Service TDD line at 1-800-735-2929, Voice line at 1-800-735-2922.

The Exam Unit will:

- ◆ Review each application to identify applicants needing an accommodation to participate in the exam process;
- ◆ Mail the "Special Testing Arrangements Questionnaire for Applicants with Disabilities" (SPB-351) with instructions to those applicants requesting RA;
- ◆ Engage in an interactive process with the applicant to explore the best accommodation to allow him/her to compete equitably in the exam process;
- ◆ Acquire additional information concerning the candidate's limitations and the accommodation, if needed;
- ◆ Approve or deny the request.

When RA requests are approved, the Exam Unit will:

- ◆ Notify the applicant in writing of the RA that has been arranged;
- ◆ Verify that the planned accommodation will be satisfactory and assure that all RA actions are taken;
- ◆ Arrange accommodations such as the need for special testing services, sign language interpreters, real time captioning services, etc.

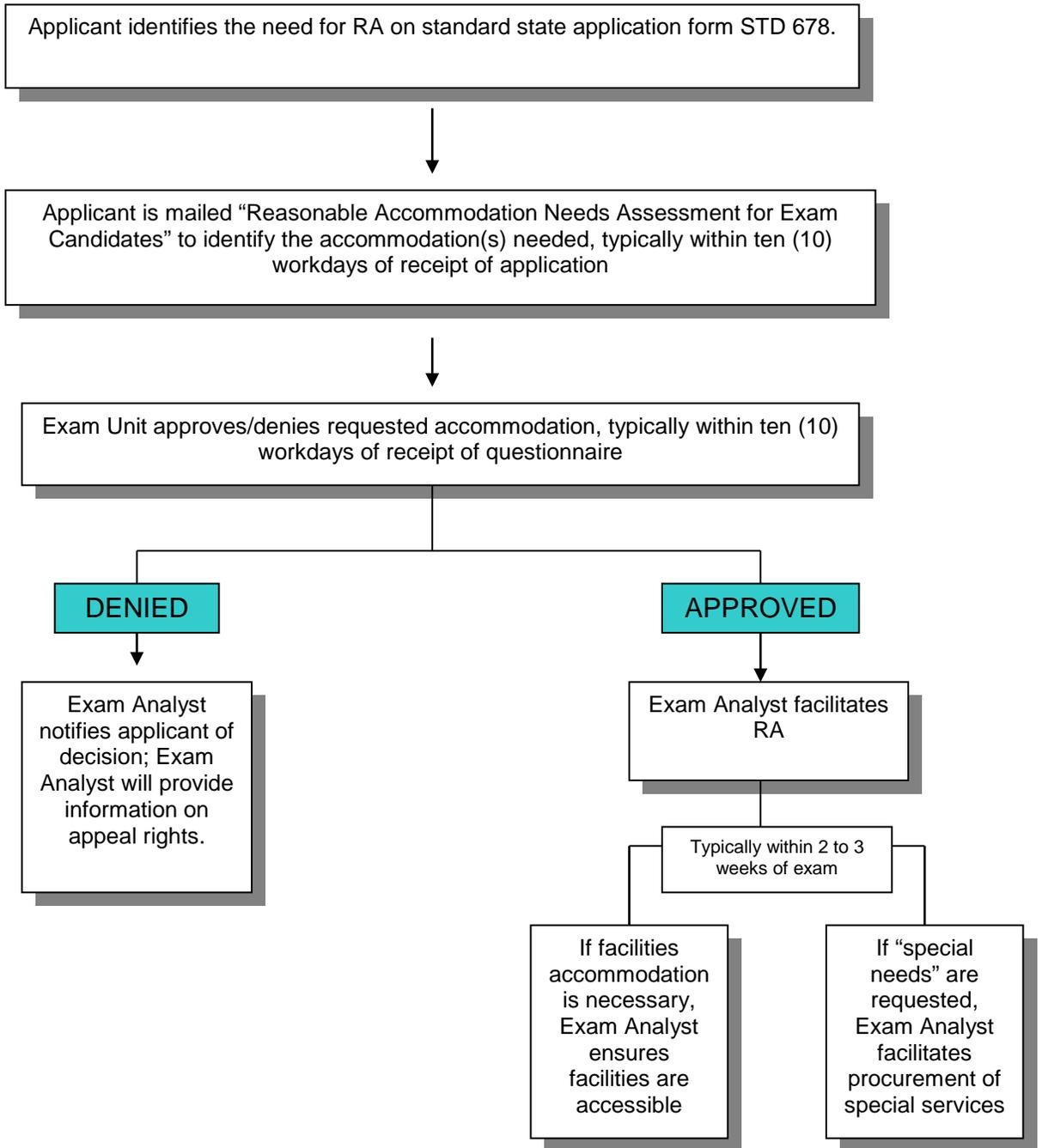
When the RA request is denied, the Exam Unit will:

- ◆ Notify the applicant in writing of the decision to deny the request and provide the applicant with the reasons for the denial and an explanation of the various appeal processes.

Hiring/Selection Process

Participating applicants in the selection process should contact the hiring supervisor to arrange for a RA.

REASONABLE ACCOMMODATION (RA) PROCESS FOR EXAMS



DISCLAIMER

This handbook contains information that is accurate as of the date of this printing.

For individuals with sensory disabilities, this document is available in Braille, large print, on audiocassette, or computer disk. To obtain a copy in one of these alternate formats, please call or write:

**Department of Transportation
Division of Human Resources
Office of Workers' Compensation/RTW/RA/FMLA
1727 30th Street – MS 88
Sacramento, CA 95816
Phone: (916) 227-7700**

TTY: 711

ATTACHMENT 5

US CENSUS BUREAU

STATE COUNTY

QUICKFACTS

| People QuickFacts | California | USA |
|---|------------|-------------|
| Population, 2014 estimate | 38,802,500 | 318,857,056 |
| Population, 2013 estimate | 38,431,393 | 316,497,531 |
| Population, 2010 (April 1) estimates base | 37,254,503 | 308,758,105 |
| Population, percent change - April 1, 2010 to July 1, 2014 | 4.2% | 3.3% |
| Population, percent change - April 1, 2010 to July 1, 2013 | 3.2% | 2.5% |
| Population, 2010 | 37,253,956 | 308,745,538 |
| Persons under 5 years, percent, 2013 | 6.5% | 6.3% |
| Persons under 18 years, percent, 2013 | 23.9% | 23.3% |
| Persons 65 years and over, percent, 2013 | 12.5% | 14.1% |
| Female persons, percent, 2013 | 50.3% | 50.8% |
| | | |
| White alone, percent, 2013 (a) | 73.5% | 77.7% |
| Black or African American alone, percent, 2013 (a) | 6.6% | 13.2% |
| American Indian and Alaska Native alone, percent, 2013 (a) | 1.7% | 1.2% |
| Asian alone, percent, 2013 (a) | 14.1% | 5.3% |
| Native Hawaiian and Other Pacific Islander alone, percent, 2013 (a) | 0.5% | 0.2% |
| Two or More Races, percent, 2013 | 3.7% | 2.4% |
| Hispanic or Latino, percent, 2013 (b) | 38.4% | 17.1% |
| White alone, not Hispanic or Latino, percent, 2013 | 39.0% | 62.6% |
| | | |
| Living in same house 1 year & over, percent, 2009-2013 | 84.2% | 84.9% |
| Foreign born persons, percent, 2009-2013 | 27.0% | 12.9% |
| Language other than English spoken at home, pct age 5+, 2009-2013 | 43.7% | 20.7% |
| High school graduate or higher, percent of persons age 25+, 2009-2013 | 81.2% | 86.0% |
| Bachelor's degree or higher, percent of persons age 25+, 2009-2013 | 30.7% | 28.8% |
| Veterans, 2009-2013 | 1,893,539 | 21,263,779 |
| Mean travel time to work (minutes), workers age 16+, 2009-2013 | 27.2 | 25.5 |
| Housing units, 2013 | 13,790,495 | 132,802,859 |
| Homeownership rate, 2009-2013 | 55.3% | 64.9% |
| Housing units in multi-unit structures, percent, 2009-2013 | 31.0% | 26.0% |
| Median value of owner-occupied housing units, 2009-2013 | \$366,400 | \$176,700 |
| Households, 2009-2013 | 12,542,460 | 115,610,216 |
| Persons per household, 2009-2013 | 2.94 | 2.63 |
| Per capita money income in past 12 months (2013 dollars), 2009-2013 | \$29,527 | \$28,155 |
| Median household income, 2009-2013 | \$61,094 | \$53,046 |
| Persons below poverty level, percent, 2009-2013 | 15.9% | 15.4% |

Source: US Census Bureau State County QuickFacts
(<http://quickfacts.census.gov/qfd/states/06000.html>)

| | California | USA |
|---|-------------|---------------|
| Business QuickFacts | | |
| Private nonfarm establishments, 2012 | 864,913 | 7,431,808 |
| Private nonfarm employment, 2012 | 12,952,818 | 115,938,468 |
| Private nonfarm employment, percent change, 2011-2012 | 2.0% | 2.2% |
| Nonemployer establishments, 2012 | 2,926,065 | 22,735,915 |
| | | |
| Total number of firms, 2007 | 3,425,510 | 27,092,908 |
| Black-owned firms, percent, 2007 | 4.0% | 7.1% |
| American Indian- and Alaska Native-owned firms, percent, 2007 | 1.3% | 0.9% |
| Asian-owned firms, percent, 2007 | 14.9% | 5.7% |
| Native Hawaiian and Other Pacific Islander-owned firms, percent, 2007 | 0.3% | 0.1% |
| Hispanic-owned firms, percent, 2007 | 16.5% | 8.3% |
| Women-owned firms, percent, 2007 | 30.3% | 28.8% |
| | | |
| Manufacturers shipments, 2007 (\$1000) | 491,372,092 | 5,319,456,312 |
| Merchant wholesaler sales, 2007 (\$1000) | 598,456,486 | 4,174,286,516 |
| Retail sales, 2007 (\$1000) | 455,032,270 | 3,917,663,456 |
| Retail sales per capita, 2007 | \$12,561 | \$12,990 |
| Accommodation and food services sales, 2007 (\$1000) | 80,852,787 | 613,795,732 |
| Building permits, 2013 | 80,742 | 990,822 |
| | | |
| Geography QuickFacts | | |
| Land area in square miles, 2010 | 155,779.22 | 3,531,905.43 |
| Persons per square mile, 2010 | 239.1 | 87.4 |
| FIPS Code | 6 | |
| | | |
| (a) Includes persons reporting only one race. | | |
| (b) Hispanics may be of any race, so also are included in applicable race categories. | | |
| FN: Footnote on this item for this area in place of data | | |
| NA: Not available | | |
| D: Suppressed to avoid disclosure of confidential information | | |
| X: Not applicable | | |
| S: Suppressed; does not meet publication standards | | |
| Z: Value greater than zero but less than half unit of measure shown | | |
| F: Fewer than 100 firms | | |

ATTACHMENT 6

US CENSUS BUREAU

CAL-LABOR



EEO-ALL01R

EEO 1r. Detailed Census Occupation by Sex and Race/Ethnicity for Residence Geography

Universe: Civilian labor force 16 years and over

EEO Tabulation 2006-2010 (5-year ACS data)

The EEO Tabulation is sponsored by four Federal agencies consisting of the Equal Employment Opportunity Commission (EEOC), the Employment Litigation Section of the Civil Rights Division at the Department of Justice (DOJ), the Office of Federal Contract Compliance Programs (OFCCP) at the Department of Labor, and the Office of Personnel Management (OPM).

Geography: California

Estimate: Estimate

| Occupation Code | Subject | Total, race and ethnicity | Hispanic or Latino | | Not Hispanic or Latino, one race | | |
|------------------------|-------------------|---------------------------|--------------------------------|------------------------------|----------------------------------|---------------------------------|---|
| | | | White alone Hispanic or Latino | All other Hispanic or Latino | White alone | Black or African American alone | American Indian and Alaska Native alone |
| Total, all occupations | Total, both sexes | | | | | | |
| Total, all occupations | Number | 18,274,870 | 3,352,735 | 2,918,115 | 8,024,060 | 1,012,990 | 70,285 |
| Total, all occupations | Percent | 100.0% | 18.3% | 16.0% | 43.9% | 5.5% | 0.4% |
| Total, all occupations | Male | | | | | | |
| Total, all occupations | Number | 9,936,510 | 1,915,080 | 1,675,250 | 4,341,720 | 490,555 | 35,375 |
| Total, all occupations | Percent | 54.4% | 10.5% | 9.2% | 23.8% | 2.7% | 0.2% |
| Total, all occupations | Female | | | | | | |
| Total, all occupations | Number | 8,338,360 | 1,437,655 | 1,242,865 | 3,682,340 | 522,435 | 34,910 |
| Total, all occupations | Percent | 45.6% | 7.9% | 6.8% | 20.1% | 2.9% | 0.2% |

| Occupation Code | Subject | Not Hispanic or Latino, one race | | Not Hispanic or Latino, two or more races | | | |
|------------------------|-------------------|----------------------------------|--|---|----------------|-----------------|----------------|
| | | Asian alone | Native Hawaiian and Other Pacific Islander alone | White and Black | White and AIAN | White and Asian | Black and AIAN |
| Total, all occupations | Total, both sexes | | | | | | |
| Total, all occupations | Number | 2,452,235 | 69,485 | 41,265 | 71,490 | 106,250 | 14,785 |
| Total, all occupations | Percent | 13.4% | 0.4% | 0.2% | 0.4% | 0.6% | 0.1% |
| Total, all occupations | Male | | | | | | |
| Total, all occupations | Number | 1,253,555 | 36,000 | 20,030 | 36,235 | 53,395 | 6,955 |
| Total, all occupations | Percent | 6.9% | 0.2% | 0.1% | 0.2% | 0.3% | 0.0% |
| Total, all occupations | Female | | | | | | |
| Total, all occupations | Number | 1,198,680 | 33,485 | 21,235 | 35,260 | 52,850 | 7,830 |
| Total, all occupations | Percent | 6.6% | 0.2% | 0.1% | 0.2% | 0.3% | 0.0% |

| Occupation Code | Subject | Not Hispanic or Latino, two or more races | | | Balance of not Hispanic or Latino |
|------------------------|-------------------|---|------------------------------|--|-----------------------------------|
| | | NHPI and White (Hawaii only) | NHPI and Asian (Hawaii only) | NHPI and Asian and White (Hawaii only) | |
| Total, all occupations | Total, both sexes | | | | |
| Total, all occupations | Number | (X) | (X) | (X) | 141,170 |
| Total, all occupations | Percent | (X) | (X) | (X) | 0.8% |
| Total, all occupations | Male | | | | |
| Total, all occupations | Number | (X) | (X) | (X) | 72,350 |
| Total, all occupations | Percent | (X) | (X) | (X) | 0.4% |
| Total, all occupations | Female | | | | |
| Total, all occupations | Number | (X) | (X) | (X) | 68,820 |
| Total, all occupations | Percent | (X) | (X) | (X) | 0.4% |

Data are based on a sample and are subject to sampling variability. The degree of uncertainty for an estimate arising from sampling variability is represented through the use of a margin of error. The value shown here is the 90 percent margin of error. The margin of error can be interpreted roughly as providing a 90 percent probability that the interval defined by the estimate minus the margin of error and the estimate plus the margin of error (the lower and upper confidence bounds) contains the true value. In addition to sampling variability, the ACS estimates are subject to nonsampling error (for a discussion of nonsampling variability, see Accuracy of the Data). The effect of nonsampling error is not represented in these tables.

Source: U.S. Census Bureau, 2006-2010 American Community Survey

Explanation of Symbols:

An '*' entry in the margin of error column indicates that either no sample observations or too few sample observations were available to compute a standard error and thus the margin of error. A statistical test is not appropriate.

An '-' entry in the estimate column indicates that either no sample observations or too few sample observations were available to compute an estimate, or a ratio of medians cannot be calculated because one or both of the median estimates falls in the lowest interval or upper interval of an open-ended distribution.

An '-' following a median estimate means the median falls in the lowest interval of an open-ended distribution.

An '+' following a median estimate means the median falls in the upper interval of an open-ended distribution.

An '*' entry in the margin of error column indicates that the median falls in the lowest interval or upper interval of an open-ended distribution. A statistical test is not appropriate.

An '*' entry in the margin of error column indicates that the estimate is controlled. A statistical test for sampling variability is not appropriate.

An 'N' entry in the estimate and margin of error columns indicates that data for this geographic area cannot be displayed because the number of sample cases is too small.

An '(X)' means that the estimate is not applicable or not available.

The U.S. Census Bureau collects race data in accordance with guidelines provided by the U.S. Office of Management and Budget (OMB). Except for the total, all race and ethnicity categories are mutually exclusive. "Black" refers to Black or African American; "AIAN" refers to American Indian and Alaska Native; and "NHPI" refers to Native Hawaiian and Other Pacific Islander. The reference to "Hawaii only" indicates that these columns are only tabulated for areas in the state of Hawaii. "Balance of Not Hispanic or Latino" includes the balance of non-Hispanic individuals who reported multiple races or reported Some Other Race alone. For more information on race and Hispanic origin, see the Subject Definitions at http://www.census.gov/acs/www/data_documentation/documentation_main/.

Race and Hispanic origin are separate concepts on the American Community Survey. "White alone Hispanic or Latino" includes respondents who reported Hispanic or Latino origin and reported race as "White" and no other race. "All other Hispanic or Latino" includes respondents who reported Hispanic or Latino origin and reported a race other than "White," either alone or in combination. To get a total for "Hispanic or Latino," add the two columns for "White alone Hispanic or Latino" and "All other Hispanic or Latino."

Occupation codes are 4-digit codes and are based on Standard Occupational Classification 2010.

ATTACHMENT 7

UTILIZATION REPORT

STATEWIDE

Department of Transportation (Caltrans)
Utilization with Transactions Report - State-wide

| | |
|--|---------------------|
| *Classification Group | |
| 059 - Electrical Engineering Technicians | |
| | Test: Std Deviation |
| Total Employees | 32 |

| Protected Group | Asian | Asian/Filipino/Pacific Islander |
|-----------------------|--------|---------------------------------|
| Employee (Count) | 1 | 3 |
| Employee (Percentage) | 3.13% | 9.38% |
| Availability/RFL (%) | 24.62% | 33.43% |

| | | |
|------------------------------|-----|-----|
| State Deficiency | 7 | 8 |
| Significant Underutilization | Yes | Yes |

No Intakes for Classification Group

Separations

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|--|--------|----------|-------|-------------|
| 059 - Electrical Engineering Technicians | F | | 2 | 2 |
| | M | 1 | | 1 |
| 059 - Electrical Engineering Technicians Total | | 1 | 2 | 3 |

Promotions Into (Acquired)

| Classification Group | GENDER | HISPANIC | Grand Total |
|--|--------|----------|-------------|
| 059 - Electrical Engineering Technicians | M | 2 | 2 |
| 059 - Electrical Engineering Technicians Total | | 2 | 2 |

No Promotions Out Of (Separated) for Classification Group

Department of Transportation (Caltrans)
Utilization with Transactions Report - State-wide

| *Classification Group | |
|---------------------------------------|---------------------|
| 061 - Engineering Geologist/Geologist | |
| | Test: Std Deviation |
| Total Employees | 66 |

| Protected Group | Women |
|-----------------------|--------|
| Employee (Count) | 6 |
| Employee (Percentage) | 9.09% |
| Availability/RFL (%) | 33.00% |

| | |
|------------------------------|-----|
| State Deficiency | 16 |
| Significant Underutilization | Yes |

Intake - New Hires

| Classification Group | GENDER | WHITE | Grand Total |
|---|--------|-------|-------------|
| 061 - Engineering Geologist/Geologist | M | 1 | 1 |
| 061 - Engineering Geologist/Geologist Total | | 1 | 1 |

Separations

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|---|--------|----------|-------|-------------|
| 061 - Engineering Geologist/Geologist | F | | 1 | 1 |
| | M | 1 | 4 | 5 |
| 061 - Engineering Geologist/Geologist Total | | 1 | 5 | 6 |

Promotions Into (Acquired)

| Classification Group | GENDER | WHITE | Grand Total |
|---|--------|-------|-------------|
| 061 - Engineering Geologist/Geologist | M | 1 | 1 |
| 061 - Engineering Geologist/Geologist Total | | 1 | 1 |

Promotions Out Of (Separated)

| Classification Group | GENDER | WHITE | Grand Total |
|---|--------|-------|-------------|
| 061 - Engineering Geologist/Geologist | M | 1 | 1 |
| 061 - Engineering Geologist/Geologist Total | | 1 | 1 |

Department of Transportation (Caltrans)
Utilization with Transactions Report - State-wide

| | |
|------------------------------|---------------------|
| *Classification Group | |
| 065 - Land Surveyors | |
| | Test: Std Deviation |
| Total Employees | 526 |

| Protected Group | Black | Women |
|-----------------------|-------|--------|
| Employee (Count) | 5 | 44 |
| Employee (Percentage) | 0.95% | 8.37% |
| Availability/RFL (%) | 4.12% | 17.18% |

| | | |
|------------------------------|-----|-----|
| State Deficiency | 17 | 47 |
| Significant Underutilization | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | OTHER | Grand Total |
|----------------------------|--------|-------|-------------|
| 065 - Land Surveyors | M | 2 | 2 |
| 065 - Land Surveyors Total | | 2 | 2 |

Separations

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|----------------------------|--------|----------|-------|-------------|
| 065 - Land Surveyors | F | | 3 | 3 |
| | M | 3 | 18 | 21 |
| 065 - Land Surveyors Total | | 3 | 21 | 24 |

Promotions Into (Acquired)

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|----------------------------|--------|----------|-------|-------------|
| 065 - Land Surveyors | M | 2 | 8 | 10 |
| 065 - Land Surveyors Total | | 2 | 8 | 10 |

Promotions Out Of (Separated)

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|----------------------------|--------|----------|-------|-------------|
| 065 - Land Surveyors | M | 2 | 6 | 8 |
| 065 - Land Surveyors Total | | 2 | 6 | 8 |

Department of Transportation (Caltrans)
Utilization with Transactions Report - State-wide

| | |
|--------------------------------|---------------------|
| *Classification Group | |
| 081 - Data Processing Managers | |
| | Test: Std Deviation |
| Total Employees | 49 |

| | | |
|-----------------------|--------|---------------------------------|
| Protected Group | Asian | Asian/Filipino/Pacific Islander |
| Employee (Count) | 5 | 7 |
| Employee (Percentage) | 10.20% | 14.29% |
| Availability/RFL (%) | 20.39% | 27.49% |

| | | |
|------------------------------|-----|-----|
| State Deficiency | 5 | 6 |
| Significant Underutilization | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | ASIAN | HISPANIC | Grand Total |
|--------------------------------------|--------|-------|----------|-------------|
| 081 - Data Processing Managers | M | 1 | 1 | 2 |
| 081 - Data Processing Managers Total | | 1 | 1 | 2 |

Separations

| Classification Group | GENDER | ASIAN | Grand Total |
|--------------------------------------|--------|-------|-------------|
| 081 - Data Processing Managers | M | 1 | 1 |
| 081 - Data Processing Managers Total | | 1 | 1 |

Promotions Into (Acquired)

| Classification Group | GENDER | ASIAN | FILIPINO | HISPANIC | WHITE | Grand Total |
|--------------------------------------|--------|-------|----------|----------|-------|-------------|
| 081 - Data Processing Managers | F | | 1 | | 1 | 2 |
| | M | 1 | | 1 | | 2 |
| 081 - Data Processing Managers Total | | 1 | 1 | 1 | 1 | 4 |

Promotions Out Of (Separated)

| Classification Group | GENDER | ASIAN | Grand Total |
|--------------------------------------|--------|-------|-------------|
| 081 - Data Processing Managers | M | 2 | 2 |
| 081 - Data Processing Managers Total | | 2 | 2 |

Department of Transportation (Caltrans)
Utilization with Transactions Report - State-wide

| | |
|--|---------------|
| *Classification Group | |
| 086 - Information Systems/Systems Software | |
| Test: | Std Deviation |
| Total Employees | 403 |

| Protected Group | Asian | Filipino | Asian/Filipino/Pacific Islander |
|------------------------------|--------|----------|---------------------------------|
| Employee (Count) | 93 | 17 | 111 |
| Employee (Percentage) | 23.08% | 4.22% | 27.54% |
| Availability/RFL (%) | 29.48% | 9.83% | 39.53% |
| State Deficiency | 31 | 25 | 48 |
| Significant Underutilization | Yes | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | ASIAN | BLACK | HISPANIC | OTHER | WHITE | Grand Total |
|--|--------|-------|-------|----------|-------|-------|-------------|
| 086 - Information Systems/Systems Software | F | 2 | 2 | 2 | | 4 | 10 |
| | M | 2 | 1 | 1 | 2 | 9 | 15 |
| 086 - Information Systems/Systems Software Total | | 4 | 3 | 3 | 2 | 13 | 25 |

Separations

| Classification Group | GENDER | ASIAN | BLACK | OTHER | WHITE | Grand Total |
|--|--------|-------|-------|-------|-------|-------------|
| 086 - Information Systems/Systems Software | F | 1 | 2 | | 1 | 4 |
| | M | | | 1 | 5 | 6 |
| 086 - Information Systems/Systems Software Total | | 1 | 2 | 1 | 6 | 10 |

Promotions Into (Acquired)

| Classification Group | GENDER | ASIAN | BLACK | FILIPINO | HISPANIC | OTHER | WHITE | Grand Total |
|--|--------|-------|-------|----------|----------|-------|-------|-------------|
| 086 - Information Systems/Systems Software | F | | 1 | 1 | 3 | | 3 | 8 |
| | M | 7 | 3 | | 3 | 1 | 8 | 22 |
| 086 - Information Systems/Systems Software Total | | 7 | 4 | 1 | 6 | 1 | 11 | 30 |

Promotions Out Of (Separated)

| Classification Group | GENDER | ASIAN | BLACK | FILIPINO | HISPANIC | OTHER | WHITE | Grand Total |
|--|--------|-------|-------|----------|----------|-------|-------|-------------|
| 086 - Information Systems/Systems Software | F | | 1 | 1 | 3 | | 7 | 12 |
| | M | 7 | 3 | | 3 | 1 | 7 | 21 |
| 086 - Information Systems/Systems Software Total | | 7 | 4 | 1 | 6 | 1 | 14 | 33 |

Department of Transportation (Caltrans)
Utilization with Transactions Report - State-wide

| | |
|-----------------------------------|---------------------|
| *Classification Group | |
| 095 - Rail Transportation Service | |
| | Test: Std Deviation |
| Total Employees | 37 |

| Protected Group | Asian | Asian/Filipino/Pacific Islander |
|-----------------------|--------|---------------------------------|
| Employee (Count) | 2 | 2 |
| Employee (Percentage) | 5.41% | 5.41% |
| Availability/RFL (%) | 18.77% | 25.05% |

| | | |
|------------------------------|-----|-----|
| State Deficiency | 5 | 7 |
| Significant Underutilization | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | WHITE | Grand Total |
|---|--------|-------|-------------|
| 095 - Rail Transportation Service | F | 2 | 2 |
| 095 - Rail Transportation Service Total | | 2 | 2 |

Separations

| Classification Group | GENDER | WHITE | Grand Total |
|---|--------|-------|-------------|
| 095 - Rail Transportation Service | F | 4 | 4 |
| | M | 3 | 3 |
| 095 - Rail Transportation Service Total | | 7 | 7 |

Promotions Into (Acquired)

| Classification Group | GENDER | ASIAN | HISPANIC | WHITE | Grand Total |
|---|--------|-------|----------|-------|-------------|
| 095 - Rail Transportation Service | F | | 1 | 5 | 6 |
| | M | 1 | | 1 | 2 |
| 095 - Rail Transportation Service Total | | 1 | 1 | 6 | 8 |

Promotions Out Of (Separated)

| Classification Group | GENDER | ASIAN | WHITE | Grand Total |
|---|--------|-------|-------|-------------|
| 095 - Rail Transportation Service | F | | 5 | 5 |
| | M | 1 | 2 | 3 |
| 095 - Rail Transportation Service Total | | 1 | 7 | 8 |

ATTACHMENT 8

UTILIZATION REPORT DISTRICT

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|---|---------------|
| *Classification Group | |
| 125- Highway/Landscape Maintenance Workers, District 01 | |
| Test: | Std Deviation |
| Total Employees | 177 |

| | |
|-----------------------|-------|
| Protected Group | Women |
| Employee (Count) | 4 |
| Employee (Percentage) | 2.26% |
| Availability/RFL (%) | 9.60% |

| | |
|------------------------------|-----|
| State Deficiency | 14 |
| Significant Underutilization | Yes |

Intake - New Hires

| Classification Group | GENDER | FILIPINO | WHITE | Grand Total |
|---|--------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | 1 | 1 |
| | M | 1 | 8 | 9 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 9 | 10 |

Separations

| Classification Group | GENDER | AMER INDIAN | WHITE | Grand Total |
|---|--------|-------------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | 1 | | 1 |
| | M | | 10 | 10 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 10 | 11 |

Promotions Into (Acquired)

| Classification Group | GENDER | PACIFIC ISL | WHITE | Grand Total |
|---|--------|-------------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | 1 | 1 |
| | M | 1 | 18 | 19 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 19 | 20 |

Promotions Out Of (Separated)

| Classification Group | GENDER | PACIFIC ISL | WHITE | Grand Total |
|---|--------|-------------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | 2 | 2 |
| | M | 1 | 14 | 15 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 16 | 17 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|---|---------------|
| *Classification Group | |
| 210 - Highway/Land Maintenance Workers Entry, District 01 | |
| Test: | Std Deviation |
| Total Employees | 72 |

| | |
|-----------------------|--------|
| Protected Group | Women |
| Employee (Count) | 9 |
| Employee (Percentage) | 12.50% |
| Availability/RFL (%) | 46.56% |

| | |
|------------------------------|-----|
| State Deficiency | 25 |
| Significant Underutilization | Yes |

Intake - New Hires

| Classification Group | GENDER | HISPANIC | WHITE | Unknown | Grand Total |
|--|--------|----------|-------|---------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 1 | 14 | 2 | 17 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 14 | 2 | 17 |

No Separations for Classification Group

Promotions Into (Acquired)

| Classification Group | GENDER | HISPANIC | OTHER | WHITE | Grand Total |
|--|--------|----------|-------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | | 1 | 1 |
| | M | 1 | 1 | 3 | 5 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 | 4 | 6 |

Promotions Out Of (Separated)

| Classification Group | GENDER | HISPANIC | OTHER | WHITE | Grand Total |
|--|--------|----------|-------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | | 2 | 2 |
| | M | 1 | 1 | 5 | 7 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 | 7 | 9 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|--|---------------|
| *Classification Group | |
| 125 - Highway/Landscape Maintenance Workers, District 02 | |
| Test: | Std Deviation |
| Total Employees | 336 |

| Protected Group | Hispanic | Women |
|-----------------------|----------|-------|
| Employee (Count) | 8 | 8 |
| Employee (Percentage) | 2.38% | 2.38% |
| Availability/RFL (%) | 17.09% | 8.26% |

| | | |
|------------------------------|-----|-----|
| State Deficiency | 50 | 20 |
| Significant Underutilization | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | AMER INDIAN | BLACK | OTHER | WHITE | Grand Total |
|---|--------|-------------|-------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 1 | 1 | 1 | 12 | 15 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 1 | 1 | 12 | 15 |

Separations

| Classification Group | GENDER | AMER INDIAN | OTHER | WHITE | Grand Total |
|---|--------|-------------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | 1 | | 1 |
| | M | 1 | | 13 | 14 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 1 | 13 | 15 |

Promotions Into (Acquired)

| Classification Group | GENDER | AMER INDIAN | OTHER | WHITE | Grand Total |
|---|--------|-------------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | 1 | 1 |
| | M | 2 | 1 | 38 | 41 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 1 | 39 | 42 |

Promotions Out Of (Separated)

| Classification Group | GENDER | AMER INDIAN | OTHER | WHITE | Grand Total |
|---|--------|-------------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 1 | 1 | 33 | 35 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 1 | 33 | 35 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|---|---------------|
| 210 - Highway/Land Maintenance Workers Entry, District 02 | |
| Test: | Std Deviation |
| Total Employees | 85 |

| Protected Group | Women |
|-----------------------|--------|
| Employee (Count) | 11 |
| Employee (Percentage) | 12.94% |
| Availability/RFL (%) | 47.65% |

| | |
|------------------------------|-----|
| State Deficiency | 30 |
| Significant Underutilization | Yes |

Intake - New Hires

| Classification Group | GENDER | HISPANIC | PACIFIC ISL | WHITE | Grand Total |
|--|--------|----------|-------------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | 1 | | 1 |
| | M | 1 | | 15 | 16 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 | 15 | 17 |

Separations

| Classification Group | GENDER | WHITE | Grand Total |
|--|--------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | 1 | 1 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 |

Promotions Into (Acquired)

| Classification Group | GENDER | WHITE | Grand Total |
|--|--------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | 1 | 1 |
| | M | 2 | 2 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 3 | 3 |

Promotions out of (Separated)

| Classification Group | GENDER | WHITE | Grand Total |
|--|--------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | 2 | 2 |
| | M | 3 | 3 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 5 | 5 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|------------------------------|---------------------|
| *Classification Group | |
| 002 - Typists, District 03 | |
| | Test: Std Deviation |
| Total Employees | 144 |

| | |
|------------------------|--------------|
| Protected Group | Women |
| Employee (Count) | 122 |
| Employee (Percentage) | 84.72% |
| Availability/RFL (%) | 90.95% |

| | |
|------------------------------|-----|
| State Deficiency | 9 |
| Significant Underutilization | Yes |

Intake - New Hires

| Classification Group | GENDER | BLACK | OTHER | WHITE | Grand Total |
|----------------------|--------|-------|-------|-------|-------------|
| 002 - Typists | F | 1 | 1 | 3 | 5 |
| 002 - Typists Total | | 1 | 1 | 3 | 5 |

Separations

| Classification Group | GENDER | ASIAN | HISPANIC | WHITE | Grand Total |
|----------------------|--------|-------|----------|-------|-------------|
| 002 - Typists | F | 1 | 1 | 1 | 3 |
| 002 - Typists Total | | 1 | 1 | 1 | 3 |

Promotions Into (Acquired)

| Classification Group | GENDER | WHITE | Grand Total |
|----------------------|--------|-------|-------------|
| 002 - Typists | F | 1 | 1 |
| 002 - Typists Total | | 1 | 1 |

Promotions Out Of (Separated)

| Classification Group | GENDER | WHITE | Grand Total |
|----------------------|--------|-------|-------------|
| 002 - Typists | F | 3 | 3 |
| 002 - Typists Total | | 3 | 3 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|-------------------------------------|---------------------|
| 033 - Clerical Classes, District 03 | |
| | Test: Std Deviation |
| Total Employees | 38 |

| Protected Group | Women |
|-----------------------|--------|
| Employee (Count) | 15 |
| Employee (Percentage) | 39.47% |
| Availability/RFL (%) | 76.39% |

| | |
|------------------------------|-----|
| State Deficiency | 15 |
| Significant Underutilization | Yes |

No Intakes for Classification Group

No Separations for Classification Group

No Promotions (acquired) for Classification Group

Promotions Out Of (Separated)

| Classification Group | GENDER | BLACK | Grand Total |
|------------------------------|--------|-------|-------------|
| 033 - Clerical Classes | M | 1 | 1 |
| 033 - Clerical Classes Total | | 1 | 1 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|--|---------------|
| 125 - Highway/Landscape Maintenance Workers, District 03 | |
| Test: | Std Deviation |
| Total Employees | 515 |

| Protected Group | Hispanic | Asian | Women | Asian/Filipino/Pacific Islander |
|-----------------------|----------|-------|-------|---------------------------------|
| Employee (Count) | 67 | 3 | 19 | 8 |
| Employee (Percentage) | 13.01% | 0.58% | 3.69% | 1.55% |
| Availability/RFL (%) | 22.14% | 2.57% | 6.30% | 3.65% |

| | | | | |
|------------------------------|-----|-----|-----|-----|
| State Deficiency | 48 | 11 | 14 | 11 |
| Significant Underutilization | Yes | Yes | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | AMER INDIAN | HISPANIC | WHITE | Grand Total |
|---|--------|-------------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 2 | 3 | 20 | 25 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 3 | 20 | 25 |

Separations

| Classification Group | GENDER | BLACK | OTHER | WHITE | Grand Total |
|---|--------|-------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 1 | 1 | 13 | 15 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 1 | 13 | 15 |

Promotions Into (Acquired)

| Classification Group | GENDER | AMER INDIAN | BLACK | HISPANIC | PACIFIC ISL | WHITE | Grand Total |
|---|--------|-------------|-------|----------|-------------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | | | 1 | 1 |
| | M | 1 | 1 | 5 | 1 | 30 | 38 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 1 | 5 | 1 | 31 | 39 |

Promotions Out Of (Separated)

| Classification Group | GENDER | AMER INDIAN | HISPANIC | OTHER | WHITE | Grand Total |
|---|--------|-------------|----------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | | 2 | 2 |
| | M | 2 | 5 | 1 | 26 | 34 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 5 | 1 | 28 | 36 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|---|---------------|
| 210 - Highway/Land Maintenance Workers Entry, District 03 | |
| Test: | Std Deviation |
| Total Employees | 153 |

| Protected Group | Asian | Women | Asian/Filipino/Pacific Islander |
|-----------------------|-------|--------|---------------------------------|
| Employee (Count) | 1 | 10 | 4 |
| Employee (Percentage) | 0.65% | 6.54% | 2.61% |
| Availability/RFL (%) | 8.49% | 48.61% | 3.65% |

| | | | |
|------------------------------|-----|-----|-----|
| State Deficiency | 12 | 65 | 14 |
| Significant Underutilization | Yes | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | AMER INDIAN | ASIAN | BLACK | HISPANIC | WHITE | Grand Total |
|--|--------|-------------|-------|-------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 1 | 1 | 1 | 3 | 32 | 38 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 | 1 | 3 | 32 | 38 |

Separations

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|--|--------|-------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 1 | 1 | 3 | 5 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 | 3 | 5 |

Promotions Into (Acquired)

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|--|--------|-------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | | 1 | 1 |
| | M | 1 | 1 | 6 | 8 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 | 7 | 9 |

Promotions Out Of (Separated)

| Classification Group | GENDER | BLACK | FILIPINO | HISPANIC | OTHER | PACIFIC ISL | WHITE | Grand Total |
|--|--------|-------|----------|----------|-------|-------------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 1 | 1 | 3 | 1 | 1 | 8 | 15 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 | 3 | 1 | 1 | 8 | 15 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|------------------------------------|---------------------|
| *Classification Group | |
| 043 - Toll Collectors, District 04 | |
| | Test: Std Deviation |
| Total Employees | 292 |

| Protected Group | Hispanic | Women |
|-----------------------|----------|--------|
| Employee (Count) | 22 | 142 |
| Employee (Percentage) | 7.53% | 48.63% |
| Availability/RFL (%) | 19.31% | 63.28% |

| | | |
|------------------------------|-----|-----|
| State Deficiency | 35 | 43 |
| Significant Underutilization | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | BLACK | Grand Total |
|-----------------------------|--------|-------|-------------|
| 043 - Toll Collectors | F | 1 | 1 |
| 043 - Toll Collectors Total | | 1 | 1 |

Separations

| Classification Group | GENDER | ASIAN | BLACK | FILIPINO | HISPANIC | WHITE | Grand Total |
|-----------------------------|--------|-------|-------|----------|----------|-------|-------------|
| 043 - Toll Collectors | F | | 3 | 1 | 1 | 1 | 6 |
| | M | 1 | | | | 1 | 2 |
| 043 - Toll Collectors Total | | 1 | 3 | 1 | 1 | 2 | 8 |

Promotions Into (Acquired)

| Classification Group | GENDER | ASIAN | FILIPINO | OTHER | WHITE | Grand Total |
|-----------------------------|--------|-------|----------|-------|-------|-------------|
| 043 - Toll Collectors | F | 2 | | 1 | 1 | 4 |
| | M | 1 | 1 | | | 2 |
| 043 - Toll Collectors Total | | 3 | 1 | 1 | 1 | 6 |

Promotions Out Of (Separated)

| Classification Group | GENDER | AMER INDIAN | ASIAN | BLACK | FILIPINO | HISPANIC | Grand Total |
|-----------------------------|--------|-------------|-------|-------|----------|----------|-------------|
| 043 - Toll Collectors | F | 1 | 2 | 3 | 1 | 1 | 8 |
| | M | | 1 | 1 | 1 | | 3 |
| 043 - Toll Collectors Total | | 1 | 3 | 4 | 2 | 1 | 11 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|------------------------------|---------------------|
| *Classification Group | |
| 130 - Painters, District 04 | |
| | Test: Std Deviation |
| Total Employees | 69 |

| | |
|------------------------|-----------------|
| Protected Group | Hispanic |
| Employee (Count) | 21 |
| Employee (Percentage) | 30.43% |
| Availability/RFL (%) | 42.30% |

| | |
|------------------------------|-----|
| State Deficiency | 9 |
| Significant Underutilization | Yes |

Intake - New Hires

| Classification Group | GENDER | AMER INDIAN | BLACK | HISPANIC | WHITE | Grand Total |
|----------------------|--------|-------------|-------|----------|-------|-------------|
| 130 - Painters | M | 1 | 1 | 3 | 5 | 10 |
| 130 - Painters Total | | 1 | 1 | 3 | 5 | 10 |

Separations

| Classification Group | GENDER | ASIAN | BLACK | FILIPINO | WHITE | Grand Total |
|----------------------|--------|-------|-------|----------|-------|-------------|
| 130 - Painters | F | | | | 1 | 1 |
| | M | 1 | 1 | 2 | 2 | 6 |
| 130 - Painters Total | | 1 | 1 | 2 | 3 | 7 |

Promotions Into (Acquired)

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|----------------------|--------|----------|-------|-------------|
| 130 - Painters | F | | 1 | 1 |
| | M | 1 | 1 | 2 |
| 130 - Painters Total | | 1 | 2 | 3 |

Promotions Out Of (Separated)

| Classification Group | GENDER | FILIPINO | HISPANIC | WHITE | Grand Total |
|----------------------|--------|----------|----------|-------|-------------|
| 130 - Painters | F | | | 1 | 1 |
| | M | 1 | 3 | 2 | 6 |
| 130 - Painters Total | | 1 | 3 | 3 | 7 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|--|---------------------|
| 125 - Highway/Landscape Maintenance Workers, District 04 | |
| | Test: Std Deviation |
| Total Employees | 406 |

| Protected Group | Hispanic | Asian | Asian/Filipino/Pacific Islander |
|-----------------------|----------|-------|---------------------------------|
| Employee (Count) | 103 | 13 | 30 |
| Employee (Percentage) | 25.37% | 3.20% | 7.39% |
| Availability/RFL (%) | 34.65% | 5.42% | 7.86% |

| | | | |
|------------------------------|-----|-----|-----|
| State Deficiency | 38 | 9 | 2 |
| Significant Underutilization | Yes | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | BLACK | HISPANIC | PACIFIC ISL | WHITE | Grand Total |
|---|--------|-------|----------|-------------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 3 | 4 | 1 | 7 | 15 |
| 125 - Highway/Landscape Maintenance Workers Total | | 3 | 4 | 1 | 7 | 15 |

Separations

| Classification Group | GENDER | BLACK | HISPANIC | OTHER | WHITE | Grand Total |
|---|--------|-------|----------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | 1 | | 2 | 2 | 5 |
| | M | 4 | 5 | 1 | 13 | 23 |
| 125 - Highway/Landscape Maintenance Workers Total | | 5 | 5 | 3 | 15 | 28 |

Promotions Into (Acquired)

| Classification Group | GENDER | AMER INDIAN | ASIAN | BLACK | FILIPINO | HISPANIC | OTHER | PACIFIC ISL | WHITE | Grand Total |
|---|--------|-------------|-------|-------|----------|----------|-------|-------------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 1 | 2 | 3 | 2 | 4 | 1 | 2 | 28 | 43 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 2 | 3 | 2 | 4 | 1 | 2 | 28 | 43 |

Promotions Out Of (Separated)

| Classification Group | GENDER | ASIAN | BLACK | FILIPINO | HISPANIC | OTHER | WHITE | Grand Total |
|---|--------|-------|-------|----------|----------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 2 | 4 | 2 | 6 | 2 | 23 | 39 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 4 | 2 | 6 | 2 | 23 | 39 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|---|---------------------|
| 210 - Highway/Land Maintenance Workers Entry, District 04 | |
| | Test: Std Deviation |
| Total Employees | 129 |

| Protected Group | Asian | Women | Asian/Filipino/Pacific Islander |
|------------------------------|--------|--------|---------------------------------|
| Employee (Count) | 4 | 20 | 11 |
| Employee (Percentage) | 3.10% | 15.50% | 8.53% |
| Availability/RFL (%) | 19.59% | 45.89% | 26.75% |
| State Deficiency | 22 | 40 | 24 |
| Significant Underutilization | Yes | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | ASIAN | BLACK | FILIPINO | HISPANIC | OTHER | PACIFIC ISL | WHITE | Grand Total |
|--|--------|-------|-------|----------|----------|-------|-------------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | | | 2 | | 1 | | 3 |
| | M | 1 | 7 | 1 | 14 | 1 | | 16 | 40 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 7 | 1 | 16 | 1 | 1 | 16 | 43 |

Separations

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|--|--------|-------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 2 | 2 | 2 | 6 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 2 | 2 | 2 | 6 |

Promotions Into (Acquired)

| Classification Group | GENDER | BLACK | HISPANIC | OTHER | WHITE | Grand Total |
|--|--------|-------|----------|-------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | | | 1 | 1 |
| | M | 2 | 1 | 1 | 8 | 12 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 2 | 1 | 1 | 9 | 13 |

Promotions Out Of (Separated)

| Classification Group | GENDER | AMER INDIAN | BLACK | HISPANIC | OTHER | PACIFIC ISL | WHITE | Grand Total |
|--|--------|-------------|-------|----------|-------|-------------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | | | | | 1 | 1 |
| | M | 1 | 5 | 2 | 1 | 1 | 16 | 26 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 5 | 2 | 1 | 1 | 17 | 27 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|---|---------------|
| *Classification Group | |
| 210 - Highway/Land Maintenance Workers Entry, District 05 | |
| Test: | Std Deviation |
| Total Employees | 48 |

| | |
|------------------------|--------------|
| Protected Group | Women |
| Employee (Count) | 0 |
| Employee (Percentage) | 0.00% |
| Availability/RFL (%) | 47.27% |

| | |
|------------------------------|-----|
| State Deficiency | 23 |
| Significant Underutilization | Yes |

No Intakes for Classification Group

Separations

| Classification Group | GENDER | HISPANIC | Grand Total |
|--|--------|----------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 1 | 1 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 |

Promotions Into (Acquired)

| Classification Group | GENDER | WHITE | Grand Total |
|--|--------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 1 | 1 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 |

Promotions Out Of (Separated)

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|--|--------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 5 | 4 | 9 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 5 | 4 | 9 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|--|---------------|
| 125 - Highway/Landscape Maintenance Workers, District 06 | |
| Test: | Std Deviation |
| Total Employees | 258 |

| Protected Group | Hispanic | Women |
|-----------------------|----------|-------|
| Employee (Count) | 61 | 2 |
| Employee (Percentage) | 23.64% | 0.78% |
| Availability/RFL (%) | 41.46% | 4.23% |

| | | |
|------------------------------|-----|-----|
| State Deficiency | 46 | 9 |
| Significant Underutilization | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | WHITE | Grand Total |
|---|--------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 12 | 12 |
| 125 - Highway/Landscape Maintenance Workers Total | | 12 | 12 |

Separations

| Classification Group | GENDER | BLACK | HISPANIC | OTHER | WHITE | Grand Total |
|---|--------|-------|----------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | | 1 | 1 |
| | M | 1 | 3 | 1 | 6 | 11 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 3 | 1 | 7 | 12 |

Promotions Into (Acquired)

| Classification Group | GENDER | AMER INDIAN | HISPANIC | WHITE | Grand Total |
|---|--------|-------------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 1 | 12 | 29 | 42 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 12 | 29 | 42 |

Promotions Out Of (Separated)

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|---|--------|-------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 1 | 6 | 31 | 38 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 6 | 31 | 38 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|--|---------------|
| 125 - Highway/Landscape Maintenance Workers, District 07 | |
| Test: | Std Deviation |
| Total Employees | 543 |

| Protected Group | Hispanic | Asian | Filipino | Asian/Filipino/Pacific Islander |
|-----------------------|----------|-------|----------|---------------------------------|
| Employee (Count) | 253 | 9 | 1 | 13 |
| Employee (Percentage) | 46.59% | 1.66% | 0.18% | 2.39% |
| Availability/RFL (%) | 60.01% | 3.41% | 1.14% | 4.91% |

| | | | | |
|------------------------------|-----|-----|-----|-----|
| State Deficiency | 73 | 10 | 6 | 14 |
| Significant Underutilization | Yes | Yes | Yes | Yes |

Intake - Hires/Promotions

| Classification Group | GENDER | AMER INDIAN | BLACK | HISPANIC | WHITE | Grand Total |
|---|--------|-------------|-------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | 1 | | | 1 |
| | M | 1 | 9 | 8 | 6 | 24 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 10 | 8 | 6 | 25 |

Separations

| Classification Group | GENDER | BLACK | HISPANIC | OTHER | WHITE | Grand Total |
|---|--------|-------|----------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 2 | 6 | 1 | 5 | 14 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 6 | 1 | 5 | 14 |

Promotions Into (Acquired)

| Classification Group | GENDER | AMER INDIAN | ASIAN | BLACK | HISPANIC | PACIFIC ISL | WHITE | Grand Total |
|---|--------|-------------|-------|-------|----------|-------------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | | 1 | | | 1 |
| | M | 1 | 1 | 14 | 23 | 1 | 17 | 57 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 1 | 14 | 24 | 1 | 17 | 58 |

Promotions Out Of (Separated)

| Classification Group | GENDER | AMER INDIAN | ASIAN | BLACK | HISPANIC | OTHER | WHITE | Grand Total |
|---|--------|-------------|-------|-------|----------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | | 1 | | 1 | 2 |
| | M | 1 | 1 | 5 | 17 | 1 | 10 | 35 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 1 | 5 | 18 | 1 | 11 | 37 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|---|---------------|
| 210 - Highway/Land Maintenance Workers Entry, District 07 | |
| Test: | Std Deviation |
| Total Employees | 200 |

| Protected Group | Asian | Women | Asian/Filipino/Pacific Islander |
|-----------------------|--------|--------|---------------------------------|
| Employee (Count) | 1 | 21 | 15 |
| Employee (Percentage) | 0.50% | 10.50% | 7.50% |
| Availability/RFL (%) | 13.31% | 45.29% | 18.05% |

| | | | |
|------------------------------|-----|-----|-----|
| State Deficiency | 26 | 70 | 21 |
| Significant Underutilization | Yes | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | AMER INDIAN | BLACK | FILIPINO | HISPANIC | WHITE | OTHER | Grand Total |
|--|--------|-------------|-------|----------|----------|-------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | 1 | | 1 | 2 | 1 | | 5 |
| | M | | 17 | 10 | 33 | 13 | 1 | 74 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 17 | 11 | 35 | 14 | 1 | 79 |

Separations

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|--|--------|-------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | 1 | | | 1 |
| | M | 1 | 1 | 1 | 3 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 2 | 1 | 1 | 4 |

Promotions (Acquired)

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|--|--------|-------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 1 | 4 | 2 | 7 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 4 | 2 | 7 |

Promotions Out Of (Separated)

| Classification Group | GENDER | BLACK | HISPANIC | PACIFIC ISL | WHITE | Grand Total |
|--|--------|-------|----------|-------------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 7 | 5 | 1 | 7 | 20 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 7 | 5 | 1 | 7 | 20 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|--|---------------|
| *Classification Group | |
| 125 - Highway/Landscape Maintenance Workers, District 08 | |
| Test: | Std Deviation |
| Total Employees | 339 |

| | |
|-----------------------|----------|
| Protected Group | Hispanic |
| Employee (Count) | 125 |
| Employee (Percentage) | 36.87% |
| Availability/RFL (%) | 51.13% |

| | |
|------------------------------|-----|
| State Deficiency | 49 |
| Significant Underutilization | Yes |

Intake - New Hires

| Classification Group | GENDER | AMER INDIAN | BLACK | HISPANIC | WHITE | Grand Total |
|---|--------|-------------|-------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 1 | 2 | 6 | 4 | 13 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 2 | 6 | 4 | 13 |

Separations

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|---|--------|-------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | 1 | | 1 |
| | M | 2 | 1 | 8 | 11 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 2 | 8 | 12 |

Promotions Into (Acquired)

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|---|--------|-------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 2 | 6 | 5 | 13 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 6 | 5 | 13 |

Promotions Out Of (Separated)

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|---|--------|-------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 3 | 5 | 9 | 17 |
| 125 - Highway/Landscape Maintenance Workers Total | | 3 | 5 | 9 | 17 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|---|---------------|
| *Classification Group | |
| 210 - Highway/Land Maintenance Workers Entry, District 08 | |
| Test: | Std Deviation |
| Total Employees | 78 |

| | |
|-----------------------|--------|
| Protected Group | Women |
| Employee (Count) | 1 |
| Employee (Percentage) | 1.28% |
| Availability/RFL (%) | 46.38% |

| | |
|------------------------------|-----|
| State Deficiency | 36 |
| Significant Underutilization | Yes |

Intake - New Hires

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|--|--------|-------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 1 | 4 | 8 | 13 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 4 | 8 | 13 |

Separations

| Classification Group | GENDER | HISPANIC | Grand Total |
|--|--------|----------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 1 | 1 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 |

Promotions Into (Acquired)

| Classification Group | GENDER | WHITE | Grand Total |
|--|--------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 6 | 6 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 6 | 6 |

Promotions Out Of (Separated)

| Classification Group | GENDER | BLACK | HISPANIC | WHITE | Grand Total |
|--|--------|-------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | | 1 | 1 |
| | M | 1 | 1 | 9 | 11 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 | 10 | 12 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|--|---------------|
| 125 - Highway/Landscape Maintenance Workers, District 09 | |
| Test: | Std Deviation |
| Total Employees | 195 |

| Protected Group | Hispanic | Women |
|-----------------------|----------|--------|
| Employee (Count) | 8 | 3 |
| Employee (Percentage) | 4.10% | 1.54% |
| Availability/RFL (%) | 21.03% | 12.34% |

| | | |
|------------------------------|-----|-----|
| State Deficiency | 34 | 22 |
| Significant Underutilization | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | WHITE | Grand Total |
|---|--------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 2 | 2 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 2 |

Separations

| Classification Group | GENDER | WHITE | Grand Total |
|---|--------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 6 | 6 |
| 125 - Highway/Landscape Maintenance Workers Total | | 6 | 6 |

Promotions Into (Acquired)

| Classification Group | GENDER | AMER INDIAN | HISPANIC | OTHER | PACIFIC ISL | WHITE | Grand Total |
|---|--------|-------------|----------|-------|-------------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | | | 1 | 1 |
| | M | 2 | 5 | 1 | 1 | 5 | 14 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 5 | 1 | 1 | 6 | 15 |

Promotions Out Of (Separated)

| Classification Group | GENDER | AMER INDIAN | HISPANIC | WHITE | Grand Total |
|---|--------|-------------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | 2 | 2 |
| | M | 2 | 4 | 5 | 11 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 4 | 7 | 13 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| *Classification Group | |
|--|---------------|
| 125 - Highway/Landscape Maintenance Workers, District 10 | |
| Test: | Std Deviation |
| Total Employees | 203 |

| Protected Group | Hispanic | Women |
|-----------------------|----------|-------|
| Employee (Count) | 36 | 6 |
| Employee (Percentage) | 17.73% | 2.96% |
| Availability/RFL (%) | 22.71% | 5.78% |

| | | |
|------------------------------|-----|-----|
| State Deficiency | 11 | 6 |
| Significant Underutilization | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | HISPANIC | WHITE | OTHER | Grand Total |
|---|--------|----------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | 2 | | 2 |
| | M | 2 | 26 | 1 | 29 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 28 | 1 | 31 |

Separations

| Classification Group | GENDER | AMER INDIAN | HISPANIC | OTHER | WHITE | Grand Total |
|---|--------|-------------|----------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 1 | 1 | 2 | 5 | 9 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 1 | 2 | 5 | 9 |

Promotions Into (Acquired)

| Classification Group | GENDER | AMER INDIAN | HISPANIC | OTHER | WHITE | Grand Total |
|---|--------|-------------|----------|-------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | | 2 | 2 |
| | M | 1 | 6 | 1 | 48 | 56 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 6 | 1 | 50 | 58 |

Promotions Out Of (Separated)

| Classification Group | GENDER | AMER INDIAN | HISPANIC | WHITE | Grand Total |
|---|--------|-------------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | 2 | 2 |
| | M | 1 | 5 | 43 | 49 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 5 | 45 | 51 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|---|---------------|
| *Classification Group | |
| 210 - Highway/Land Maintenance Workers Entry, District 11 | |
| Test: | Std Deviation |
| Total Employees | 63 |

| Protected Group | Asian | Women | Asian/Filipino/Pacific Islander |
|-----------------------|--------|--------|---------------------------------|
| Employee (Count) | 0 | 7 | 5 |
| Employee (Percentage) | 0.00% | 11.11% | 7.94% |
| Availability/RFL (%) | 10.40% | 45.74% | 14.46% |

| | | | |
|------------------------------|-----|-----|-----|
| State Deficiency | 7 | 22 | 4 |
| Significant Underutilization | Yes | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | BLACK | HISPANIC | PACIFIC ISL | WHITE | OTHER | Grand Total |
|--|--------|-------|----------|-------------|-------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | | | 1 | 1 | 2 |
| | M | 2 | 1 | 1 | 2 | 2 | 8 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 2 | 1 | 1 | 3 | 3 | 10 |

Separations

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|--|--------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 4 | 1 | 5 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 4 | 1 | 5 |

Promotions Into (Acquired)

| Classification Group | GENDER | BLACK | WHITE | Grand Total |
|--|--------|-------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | 1 | 1 |
| | M | 1 | | 1 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 | 2 |

Promotions Out Of (Separated)

| Classification Group | GENDER | FILIPINO | HISPANIC | OTHER | WHITE | Grand Total |
|--|--------|----------|----------|-------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | F | | | | 1 | 1 |
| | M | 1 | 1 | 1 | 2 | 5 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 1 | 1 | 3 | 6 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|--|---------------|
| *Classification Group | |
| 125 - Highway/Landscape Maintenance Workers, District 12 | |
| Test: | Std Deviation |
| Total Employees | 144 |

| Protected Group | Hispanic | Asian | Asian/Filipino/Pacific Islander |
|-----------------------|----------|-------|---------------------------------|
| Employee (Count) | 58 | 1 | 7 |
| Employee (Percentage) | 40.28% | 0.69% | 4.86% |
| Availability/RFL (%) | 59.11% | 3.75% | 5.39% |

| | | | |
|------------------------------|-----|-----|-----|
| State Deficiency | 28 | 5 | 1 |
| Significant Underutilization | Yes | Yes | Yes |

Intake - New Hires

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|---|--------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | M | 2 | 1 | 3 |
| 125 - Highway/Landscape Maintenance Workers Total | | 2 | 1 | 3 |

Separations

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|---|--------|----------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | 1 | | 1 |
| | M | 3 | 2 | 5 |
| 125 - Highway/Landscape Maintenance Workers Total | | 4 | 2 | 6 |

Promotions Into (Acquired)

| Classification Group | GENDER | AMER INDIAN | BLACK | FILIPINO | HISPANIC | OTHER | PACIFIC ISL | WHITE | Grand Total |
|---|--------|-------------|-------|----------|----------|-------|-------------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | | | | | 3 | 3 |
| | M | 1 | 4 | 1 | 18 | 1 | 2 | 10 | 37 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 4 | 1 | 18 | 1 | 2 | 13 | 40 |

Promotions Out Of (Separated)

| Classification Group | GENDER | AMER INDIAN | ASIAN | BLACK | FILIPINO | HISPANIC | PACIFIC ISL | WHITE | Grand Total |
|---|--------|-------------|-------|-------|----------|----------|-------------|-------|-------------|
| 125 - Highway/Landscape Maintenance Workers | F | | | | | | | 2 | 2 |
| | M | 1 | 1 | 1 | 1 | 16 | 1 | 5 | 26 |
| 125 - Highway/Landscape Maintenance Workers Total | | 1 | 1 | 1 | 1 | 16 | 1 | 7 | 28 |

Department of Transportation (Caltrans)
Utilization Analysis with Transactions By District

| | |
|---|---------------|
| *Classification Group | |
| 210 - Highway/Land Maintenance Workers Entry, District 12 | |
| Test: | Std Deviation |
| Total Employees | 38 |

| Protected Group | Asian | Women | Asian/Filipino/Pacific Islander |
|-----------------------|--------|--------|---------------------------------|
| Employee (Count) | 0 | 5 | 1 |
| Employee (Percentage) | 0.00% | 13.16% | 2.63% |
| Availability/RFL (%) | 14.40% | 45.17% | 19.57% |

| | | | |
|------------------------------|-----|-----|-----|
| State Deficiency | 6 | 13 | 6 |
| Significant Underutilization | Yes | Yes | Yes |

No Intakes for Classification Group

Separations

| Classification Group | GENDER | BLACK | WHITE | Grand Total |
|--|--------|-------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 1 | 3 | 4 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 1 | 3 | 4 |

Promotions Into (Acquired)

| Classification Group | GENDER | WHITE | Grand Total |
|--|--------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 3 | 3 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 3 | 3 |

Promotions Out Of (Separated)

| Classification Group | GENDER | HISPANIC | WHITE | Grand Total |
|--|--------|----------|-------|-------------|
| 210 - Highway/Land Maintenance Workers Entry | M | 5 | 3 | 8 |
| 210 - Highway/Land Maintenance Workers Entry Total | | 5 | 3 | 8 |

ATTACHMENT 9

Classification Groups 125 & 210

Classification Group - 125- Highway/Landscape Maintenance Workers as of 12/31/2013

| 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 Count | 3555 | 1369 | --- | --- | --- |
| Deficiencies | --- | --- | 85 | 28 | 377 |
| Percentages - Current/Addtnl | 100.00% | 38.51% | 2.39% | 0.79% | 10.60% |

Classification Group - 210 - Highway/Land Maintenance Workers Entry as of 12/31/2013

| 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 Count | 919 | 476 | --- | --- |
| Deficiencies | --- | --- | 324 | 69 |
| Percentages - Current/Addtnl | 100.00% | 51.80% | 35.26% | 7.51% |

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

ATTACHMENT 10

Employee Handbook

&

Supervisor and Manager Handbook

Employee Handbook



California Department of Transportation

*“Provide a safe, sustainable, integrated and efficient transportation system
to enhance California’s economy and livability”*

Employee Handbook

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Memorandum

*Flex your power!
Be energy efficient!*

To: EMPLOYEE'S NAME
Employee's Classification

Date: Month Day, Year

File:

From: SUPERVISOR'S NAME
Title
Area of responsibility

Subject: STAFF EXPECTATIONS

As a valued member of the Caltrans team, you make it possible for the Department to provide a safe, sustainable, integrated, and efficient transportation system to enhance California's economy and livability by being innovative and flexible; working cooperatively with team members and others; and treating others fairly, honestly, and with respect. Your efforts are important to each member of the team, as well as those we serve. In an effort to ensure the Department's goals and values are met, I am providing the following expectations:

1. All Caltrans employees are to be courteous and professional to all Caltrans staff, members of other agencies, and members of the public.
2. It is your responsibility to read and adhere to all Departmental policies and directives available on Staff Central at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/. Specific policies and directives attached to this memo are:
 - a) Director's Policy 1, Equal Employment Opportunity;
 - b) Director's Policy 2, Ethics;
 - c) Director's Policy 3, Health and Safety;
 - d) Director's Policy 18, Workplace Violence Prevention;
 - e) Director's Policy 29, Communication and Entertainment Devices in the Work Zone;
 - f) Director's Policy 31, Intellectual Property Policy;
 - g) Deputy Directive 8, Drug-Free Workplace;
 - h) Deputy Directive 9, Incompatible Activities and Conflict of Interest;
 - i) Deputy Directive 22, Weapons Prohibited on Caltrans Buildings, on Caltrans Property and in Caltrans Vehicles;
 - j) Deputy Directive 49, Sexual Harassment Prevention;
 - k) Deputy Directive 54, Information Technology Use Standards;
 - l) Deputy Directive 56, Use of Overtime;
 - m) Deputy Directive 89, Security of Portable Computing Devices and Portable Electronic Storage Media;
 - n) Deputy Directive 108, Timely Submission and Approval of Timesheets;

- o) Deputy Directive 110, Employment Outside of the California Department of Transportation;
- p) Deputy Directive 112, Contract Manager Responsibility.

Please discuss with me any questions pertaining to any policies and/or directives that you do not understand or require clarification.

- 3. Working Hours and Breaks: Your normal work hours are X:XX a.m. to X:XX p.m. [For use for WWG 2 employees: As we agreed, your lunch must be taken between ____ a.m. to ___p.m.] Please notify me in advance of any changes to this schedule as they must be approved in advance by me, or in my absence, Alternate Supervisor, at (XXX) XXX-XXXX, to avoid potential incidences of Absence Without Leave (AWOL) which may cause your pay to be docked.
- 4. [For WWG 2 employees, Overtime should be worked in accordance with the attached Deputy Directive 56, Use of Overtime (DD-56-R2), which requires that any overtime worked must have prior approval by me.]
- 5. All non-sick leave should be approved by me, or in my absence, Alternate Supervisor, at (XXX) XXX-XXXX, at least (specified reasonable time period) in advance of the date for which you are requesting as this will allow for workload planning and increase the opportunity for approval. (SUPERVISORS: REMEMBER YOU ARE PROHIBITED FROM DENYING A LEAVE REQUEST MERELY BECAUSE AN EMPLOYEE HAS FAILED TO PROVIDE YOU ADVANCED NOTICE. LEAVE REQUESTS MUST ALWAYS BE EVALUATED ON A CASE BY CASE BASIS AND BE SUBJECT TO OPERATIONAL NEED. PLEASE CONSULT THE APPLICABLE MOU.)

Please contact me no later than X:XX a.m. when unexpected circumstances or illnesses prevent you from coming to work at the beginning of your shift and require you to request leave. (SUPERVISORS: YOU COULD SET A TIME, SUCH AS 9:00 A.M., OR ESTABLISH A WINDOW OF TIME TO CALL IN, SUCH AS WITHIN 1 HR OF THE EMPLOYEE'S START TIME – AS AN EXAMPLE) If you are unable to speak to me personally, please leave a message with a phone number where you can be reached.

If you will not be at work because either you or a family member is sick, please notify me at least thirty minutes before the start of the workday. If you are unable to speak with me personally, please follow up with a call to, Alternate Supervisor, at (XXX) XXX-XXXX.

Please note that it is your responsibility to obtain approval for your time off. Leaving a voicemail message is not considered sufficient, nor does it relieve you of your requirement to obtain approval. Emergency situations will be evaluated on a case by case basis.

Absences due to non-Family Medical Leave Act qualifying illness for you or your qualifying family member may require substantiation in writing by the treating physician or healthcare provider consistent with any applicable MOU provision. I will inform you

on a case by case basis if such substantiation is required. All substantiation should include the following:

- your name;
- the date treated by the health care provider;
- if absence is required, the full period of any required absence and the date you can return to work;
- if necessary, any specific restrictions that prevent you from performing the full range of your duties;
- the treating healthcare provider's name, telephone number, address, and signature;
- must be legible.

In the case of illness of a qualifying family member, please include the following information in the substantiation: the qualifying family member's name; the qualifying family member's relation to you (i.e., spouse, child); the date treated by the health care provider; and that your attendance was required.

Please note that obtaining a physician's substantiation is your responsibility. If substantiation has been required, the substantiation should reflect that you were unable to work for the entire period of your absence. Failure to provide substantiation to extend your absence may be considered Absence Without Leave (AWOL). You may, however, request the use of additional leave credits to be considered. When extending the date of substantiation, the new substantiation or request for additional leave credits should be provided to me within three (3) days of the previous substantiation's expiration.

In instances that you are removed from full work duty but wish to return prior to the date provided in the initial substantiation, please provide revised substantiation. The revised substantiation should specify the revised dates and be provided to me prior to, or at the beginning of, your first shift upon returning to full work duty.

If your leave request is approved but you do not have sufficient leave credits, your pay will be docked accordingly and your time will be noted as Absence Without Pay (AWOP).

6. All property owned by the State is intended to be used for work related activities. All employees are responsible to use the Department's computer resources and the internet in a professional, lawful, and ethical manner. Please refer to the attached Deputy Directive 54, Information Technology Use Standards (DD-54) for a complete description regarding computer usage.

Your signature below indicates you have read, understand, and will adhere to all of the policies identified in the Staff Expectations Memorandum and included in this binder.

| | | | |
|-------------------------------------|---------------|---|---------------|
| _____ SUPERVISOR'S NAME Title | _____ Date | _____ EMPLOYEE'S NAME Employee's Classification | _____ Date |
|-------------------------------------|---------------|---|---------------|

cc: Supervisory File
Official Personnel File

Director's Policy

Number: DP-01-R9
Effective Date: May 20, 2013
Supersedes: DP-01-R8 (04/02/2012)

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 in regard to 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, sex, color, religion, national or ethnic origin, genetic information, age, political affiliation, ancestry, marital status, sexual orientation, disability or medical condition. (Government Code section 12920.) Caltrans has a "Zero Tolerance" policy for discrimination and/or harassment. Retaliation against Caltrans employees, applicants, vendors, contractors, special service employees, or an employee of another state department or agency who engages in any good faith EEO action constitutes a violation of this policy.

INTENDED RESULTS

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

RESPONSIBILITIES

Deputy Director, Administration:

- Ensures the Caltrans EEO program and plan are fully implemented and enforced in all programs and business activities.
- Ensures that employment recruitment, hiring, retention, training, transfers, promotions and business activities are in compliance with EEO guidelines.
- Ensures active recruitment efforts of qualified applicants are broad and inclusive of all segments of the relevant work force.
- Ensures implementation of the Caltrans Reasonable Accommodation Program.

Chief, Division of Human Resources:

- Prepares Caltrans annual EEO Plan, which includes the Workforce Analysis, Upward Mobility and Persons with Disabilities Plan.
- Provides EEO technical assistance to managers and supervisors and ensures Caltrans employees receive comprehensive EEO awareness training.

- Ensures comprehensive, neutral, and timely investigations of formal discrimination complaints and implements a uniform complaint intake process that is consistent with the Caltrans EEO Investigation Procedure Manual.
- Provides oversight for Caltrans informal and formal discrimination complaint processes.

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

- Ensure the work environment is free from discrimination and harassment by ensuring that program objectives, standards, and practices are in compliance with equal employment opportunity guidelines to the extent allowed by law.

District and Headquarters EEO Managers, Officers, and Coordinators:

- Ensure the implementation and monitoring of District programs and that business activities comply with EEO guidelines and directives.
- Monitor and ensure that the work environment is free from discrimination and harassment.

Employees, Applicants, and Business Partners:

- Ensure 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 violations of this policy to a supervisor, manager, or the Discrimination Complaint Investigation Unit.
- Cooperate fully in the investigation processes of a complaint.
- Participate in providing information to Caltrans and in disciplinary proceedings for violations of this policy.

APPLICABILITY

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



MALCOLM DOUGHERTY
Director


Date Signed

Director's Policy

Number: DP-02-R2
Effective Date: December 2005
Supersedes: DP-02-R1
Dated 12-22-00

TITLE Ethics

POLICY

California Department of Transportation (Department) employees demonstrate the highest standards of personal integrity, truthfulness, and honesty; inspire public confidence and trust in State government; and recognize that personal gains from public service are limited to respect, recognition, salary, and normal employee benefits.

Ethical conduct is an organizational, as well as an individual, responsibility. Decisions are made in the best interest of the organization with the overall public interest in mind. Special care is taken to establish and maintain professional relationships with fellow employees, consultants, contractors, lobbyists, elected officials, and other internal and external partners.

INTENDED RESULTS

The intent of this policy is to ensure that sound ethical practices and policies are followed in the organization and that the organizational climate promotes ethical conduct and inhibits the opportunity for unethical conduct.

This policy is meant as an overview of ethics and acceptable ethical standards. Specific responsibilities are addressed in departmental Deputy Directives, policies, and guidelines.

RESPONSIBILITIES

Managers and Supervisors:

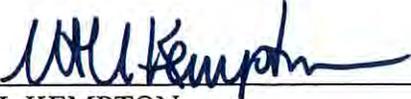
- Exemplify ethical standards in the workplace.
- Ensure that their subordinates are informed of and comply with departmental policies regarding ethical conduct.
- Establish an ethical climate in their work unit including controls and procedures that eliminate or reduce the opportunity for unethical conduct.
- Take prompt corrective and/or disciplinary action as the situation warrants including informal reprimand, removal from office, or termination of employment.

All Employees:

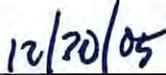
- Perform their duties and responsibilities with honesty, objectivity and integrity.
- Treat their jobs as a public trust. The authority, resources, and the decisions made are in the public's interest. Actions are not taken for personal benefit or interest.
- Make independent, objective decisions based on merit and avoid actual, potential and apparent conflicts of interest and improper influences.
- Ensure that the public has an opportunity to openly participate in important decisions and receives appropriate feedback regarding the Department's policies, programs, and activities.
- Set a positive example of public service and good citizenship by following both the letter and the spirit of all laws, rules, and policies applicable to State government.

APPLICABILITY

This policy applies to all who work for the Department in any capacity.



WILL KEMPTON
Director



Date Signed

Director's Policy

Number: DP-03-R1
Effective Date: August 2007
Supersedes: DP-03 (08-30-92)

TITLE Health and Safety

POLICY

The California Department of Transportation (Department) conducts its business, provides services, and designs, constructs, and maintains facilities in a safe manner consistent with applicable laws, rules, and policies. The Department provides a safe and healthy workplace that protects its employees and the public from harm in connection with its operations. The Department also includes provisions for the safety of those who construct and maintain California's transportation system. Transportation projects are planned and designed with the utmost concern for the safety and well-being of all who utilize them.

The Department cooperates and coordinates with all appropriate State and federal agencies to ensure that employee and public safety is a primary focus of the Department's operations and California's transportation system.

INTENDED RESULTS

The intent of this policy is to emphasize the importance of safety for the employees and the Department's obligation to protect the traveling public from unnecessary risk. Our practice is to be proactive in dealing with safety issues and establish responsibility and enforce accountability for safety.

RESPONSIBILITIES

District Directors and all Deputy Directors:

- Provide a healthy and safe working environment in compliance with the Department's Illness and Injury Prevention Program (IIPP).
- Promote the safety of the traveling public and highway workers when the Department plans, designs, constructs, operates, maintains, and rehabilitates transportation facilities.

Chief, Health and Safety Services:

- Oversees the health and safety of all Department employees through the Safety Program.
- Responsible for Health and Safety programs such as the IIPP, Workers' Compensation, Workplace Violence, Reasonable Accommodation, Wellness, and Employee Assistance.
- Serves as the Director's safety advisor on all matters related to the Department's safety.
- Maintains, analyzes, and reports health and safety related statistics to support the Department's goals and organizational performance improvements.

District Safety Officers:

- Provide guidance and direction to District managers, supervisors, and employees on health and safety issues, interpretation and implementation of California Occupational Safety and Health Administration standards, and Labor Code provisions.

Managers and Supervisors:

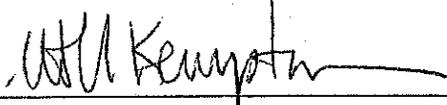
- Provide a safe and healthful environment for their employees.
- Ensure that employees conduct their duties in a safe manner in compliance with the IIPP.
- Provide training, direction, and counseling to employees on safe practices consistent with their assignment.
- In the event of on-the-job injuries or accidents, take appropriate preventative and corrective action and forward required documentation to the District (or Headquarters) Safety Office.

Employees:

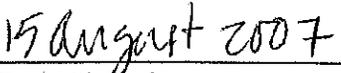
- Actively participate in the Health and Safety program by performing work safely, following all safety rules and policies, reporting and correcting any recognized safety hazards, and suggesting improvements in policies or procedures that enhance employee safety or the safety of the traveling public or highway workers.

APPLICABILITY

This policy applies to all departmental employees.



WILL KEMPTON
Director



Date Signed

Director's Policy

Number: DP-18-R1
Effective Date: 11/05/2012
Supersedes: DP-18 (05-01-1998)

TITLE Workplace Violence Prevention

POLICY

It is the California Department of Transportation (Caltrans) policy to conduct business, provide services, and protect its employees and the public from harm by providing a safe and secure work environment that has zero tolerance for acts and/or threats of violence. Regardless of an individual's actual intent, violence against another employee or member of the public will result in disciplinary action against the employee ranging from a corrective interview up to and including dismissal from State service.

DEFINITIONS

Workplace Violence- includes verbal and physical threats, harassment, intimidation, bullying, verbal abuse, or actions made by other employees, contractors, or the public that give reasonable cause to believe that the personal safety of the affected individual or others may be at risk.

Intimidation- includes behavior which has the purpose or effect of inspiring fear in a reasonable person and/or has the purpose or effect of inhibiting speech or actions by an act or threat of violence.

Bullying- an intentional act that causes harm to others, and may involve verbal harassment, verbal or non-verbal threats, intimidation, physical assault, stalking, or other methods of coercion such as manipulation, blackmail, or extortion. It is aggressive behavior that intends to hurt, threaten or frighten another person. An imbalance of power between the aggressor and the victim is often involved.

INTENDED RESULTS

The intent of the Policy is to prevent Workplace Violence incidents, describe workplace violence, and outline procedures to be followed in the event of a workplace violence complaint. Chapter 6 of the Caltrans Safety Manual, located at http://admin.dot.ca.gov/lr/HEALTHSAFETY/Safety/safetymanual_toc.shtml supplements the directions provided in this policy.

RESPONSIBILITIES

Caltrans Management:

- Managers and supervisors are responsible to enforce safety and health laws, rules and policies relating to workplace violence.
- Managers and supervisors are responsible for investigating all alleged workplace violence incidents as described in Chapter 6 of the Caltrans Safety Manual. If there is a violation of policy, they shall immediately initiate appropriate corrective action for each and every employee who instigates, contributes to, or perpetuates workplace violence.
- Managers and supervisors are responsible for recognizing and managing the warning signs that may lead to incident of workplace violence.
- Managers and supervisors are responsible for knowing and implementing Chapter 6 of the Caltrans Safety Manual.
- Managers and supervisors are responsible for training their employees on an annual basis to ensure they are aware of this policy.

All Employees:

All employees are responsible for following safe work practices, safety, and health directives, policies and procedures, and for helping to maintain a safe and secure work environment by:

- Being considerate and respectful of co-workers, visitors, the traveling public and others, and not engaging in intimidation, threats or physical actions which could reasonably be perceived as precursors to violent behavior.
- Reporting incidents of workplace violence to their supervisor as soon as possible. If there is an immediate threat or act of physical violence, notify building security and contact California Highway Patrol (CHP) immediately.
- Reporting suspicious behavior and suspicious actions by non-employees (including assaultive talking, belligerent, intimidating and threatening behavior) to their supervisor, building security personnel, or building manager as soon as possible. Threats of life or property or any criminal activity should be reported to the CHP, or local law enforcement.
- Cooperating fully in workplace violence investigations and hearings.

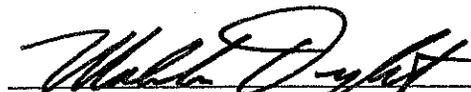
Headquarters and District Offices of Health and Safety:

- Log all completed workplace violence reports into the Safety Information Management System.
- Consult with managers and supervisors regarding questions about the workplace violence policy.

Director's Policy
Number DP-18-R1
Workplace Violence Prevention
Page 3

APPLICABILITY

All Caltrans employees.



MALCOLM DOUGHERTY
Director

11/5/2012

Date Signed

Director's Policy

Number: DP-29

Effective Date: May 2008

Supersedes: NEW

TITLE Communication and Entertainment Devices in the Work Zone

POLICY

The California Department of Transportation (Department) conducts its business, provides services, and designs, constructs, and maintains transportation infrastructure in a safe manner consistent with applicable laws, rules, and policies. The Department recognizes that unnecessary distractions in the work zone can be a risk to employee safety. Therefore, personally owned communication devices including, but not limited to, cell phones, PDAs, Blue-tooth devices, or entertainment devices shall not be used in active work zones. Employees may use a communication device for business purposes in a work zone, at a location where their safety or the safety of other workers and the traveling public will not be compromised. If an employee must leave the active work zone, he/she shall wait until it is safe or is relieved of assigned duties.

INTENDED RESULTS

This policy is to keep members of the public, our employees, and contractors as safe as possible by removing unnecessary distractions from the work environment. The use of communication or entertainment devices may distract employees resulting in potential safety hazards and can impair their ability to identify unsafe conditions.

Active Work Zone - For the purposes of this policy, Active Work Zone is defined as a designated field location in which construction, survey, and/or maintenance work is taking place.

Entertainment Device – For the purposes of this policy, entertainment devices include audio and video players.

RESPONSIBILITIES

Managers and Supervisors:

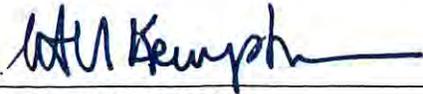
- Provide a safe and healthful environment for their employees.
- Ensure that employee communication device usage is in accordance with this policy.
- Initiate appropriate preventive action or corrective adverse action if an employee violates this directive.

Caltrans Employees:

- Recognize the risks of being distracted while working in an active work zone. While in active work zones, personal communication devices are to be kept in off mode and entertainment devices are not to be used.
- Conduct business telephone calls only after ensuring the safety of the work area, themselves, other workers, and the traveling public.
- Use personal communication devices for personal calls during breaks or lunch periods from a safe area and do not distract other workers at work.

APPLICABILITY

This policy applies to all departmental employees and other persons working for the department. For consistency, this policy shall be incorporated into all contract documents so that it is applicable to consultant and contractor's employees in active work zones.



WILL KEMPTON
Director

5-27-08

Date Signed

Director's Policy

Number: DP-31

Effective Date: June 18, 2012

Supersedes: NEW

TITLE Intellectual Property Policy

POLICY

The California Department of Transportation's (Caltrans') intellectual property consists of copyrights, service marks, and patents. Under California law, intellectual property developed by Caltrans is the sole property of the State of California (California Labor Code Section 2860 and Government Code Section 19990). Intellectual property can be developed by Caltrans' employees, consultants, and independent contractors and can only be used consistently with this policy.

Caltrans may license its intellectual property to other parties for specified purposes that do not conflict with Caltrans' operations. Licensing of intellectual property will be reviewed by management on a case by case basis to determine if it is appropriate to license the property and if compensation is required.

Caltrans employees and other parties are prohibited from acquiring and using Caltrans intellectual property for personal or commercial use. Intellectual property shall be reviewed by management and selected property will be deposited in a repository.

INTENDED RESULTS

This policy is intended to provide all Caltrans employees, consultants, independent contractors and those with approved access to the Department's intellectual property with a policy governing the ownership and use of the Department's intellectual property, and serves as the foundation for the development of further guidelines and procedures regarding this topic.

DEFINITIONS

- Copyright protection exists when a Caltrans' employee, consultant or independent contractor produces something original. Caltrans original items that have copyright protection include training manuals, plans and specifications; computer programs and applications; and architectural drawings. Copyright protection also exists for other original works, such as music, pictures, presentations and sound recordings.
- Patent law protects new-and-useful inventions that are discovered, such as machines, devices, chemical compositions and manufacturing processes.
- Service Mark means any word, name, or symbol that is used by a company or entity in commerce to identify specific services. For example, the "CT" logo is a service mark of Caltrans.

RESPONSIBILITIES

Chief Counsel, Legal Division:

- Oversees Caltrans' Intellectual Property Policy and determines if the policy complies with current laws.
- Drafts documents that secure and protect Caltrans' legal rights in intellectual property.
- Prepares and performs any necessary updates to this policy, forms, guidelines and procedures relating to the Department's use of patents, copyrights and service marks.

Deputy Director, Administration:

- Ensures the distribution and implementation of this policy to all Caltrans employees, consultants and independent contractors.
- Ensures the Department's Intellectual Property Policy, guidelines, and procedures are fully implemented and enforced in all programs and business activities.

Managers and Supervisors:

- Ensure that their employees review the Intellectual Property Policy and any related guidelines and procedures.
- Ensure that they sign the Intellectual Property Policy Acknowledgement Form (indicating that the employees acknowledged that they received the Policy).
- Identify inventions, new formulas or methods to produce items that could be protected by copyright, patents or service marks that Caltrans could consider for future use.
- Initiate corrective and/or disciplinary action if any employee, consultant or independent contractor fails to comply with this policy or its related guidelines and procedures.
- If questions arise regarding the protection of Department intellectual property, immediately submit the questions to Headquarters Legal Division for review.

Employees:

- Review and comply with this policy, and related guidelines and procedures.
- Notify their supervisor of any work they are performing that may result in the creation of intellectual property. This notice should include any intellectual property discovered when working with an outside consultants and independent contractors.
- Assist Caltrans by protecting its rights to the intellectual property
- Immediately report the misuse of any Caltrans intellectual property to the Headquarters Legal Division.
- Participate fully with any investigations, hearings or legal proceedings related to the misuse of Caltrans intellectual property.

Director's Policy
Number DP-31
Intellectual Property
Page 3
APPLICABILITY

This policy applies to all departmental employees, consultants and independent contractors who use or develop the Department's intellectual property.

Original Signed By:

June 18, 2012

MALCOLM DOUGHERTY
Director

Date Signed

Deputy Directive

Number: DD-08-R5

*Refer to
Director's Policy:* DP-03-R1
Safety & Health
DP-11
Caltrans Workforce

Effective Date: 8/4/14

Supersedes: DD-08-R4 (12/31/2013)

*Responsible
Program:* Administration

TITLE Drug Free Workplace

POLICY

The California Department of Transportation (Caltrans) is committed to a safe, productive, drug-free and alcohol-free work environment to foster the well-being and health of its employees and to protect the traveling public from harm in connection with its operations. Employees and those who work for Caltrans in any capacity are prohibited from unlawfully manufacturing, distributing, dispensing, possessing, using or consuming alcohol or illicit drugs in the workplace, or being impaired by alcohol or an illicit drug in the workplace. Any employee cited or arrested for a drug or alcohol related statute violation that occurred in the workplace, during work hours, or while operating a State vehicle shall immediately report the incident to his or her supervisor. Violation of this policy will result in appropriate disciplinary action, up to and including termination from employment, including incidents not immediately reported.

It is Caltrans policy that employees are prohibited from reporting for or returning to duty when impaired from the effects of prescription medications, illicit drugs, including medical marijuana, and alcohol. Employees serving in "safety sensitive" positions are subject to drug and/or alcohol testing according to federal and state laws and regulations and applicable Bargaining Unit Memorandum of Understanding provisions. Violation of this policy will result in appropriate disciplinary action, up to and including termination from employment.

Caltrans assists employees who have drug or alcohol dependency problems to recover from their addiction provided the employee voluntarily seek and accept this assistance before corrective action is taken.

DEFINITION/BACKGROUND

The intent of this Deputy Directive is to provide a working policy for Governor's Executive Order D-58-86 concerning substance abuse and mandatory drug and alcohol testing for "safety-sensitive" positions. This Deputy Directive does not replace other Caltrans provisions, including fitness for duty examinations, employee assistance programs, or the adverse action process. Caltrans employees are subject to the requirements of the Federal Drug-Free Workplace Act of 1988 and California Drug-Free Workplace Act of 1990. Federal regulations established in 49 Code of Federal Regulations, Parts 40 and 382, and State regulations in title 2, California Code of Regulations, Section 599.960 *et seq.*, contain the complete definitions of the following: safety-sensitive positions, reasonable suspicion for substance abuse testing, employee rights and confidentiality of records.

Employees are all persons who work for Caltrans including civil service, temporary, emergency, limited-term, seasonal, exempt, retired annuitant, special employment, and contract employees

RESPONSIBILITIES

Managers and Supervisors:

- Create and maintain a drug-free workplace through proactive measures and by personal example.
- Take appropriate corrective actions with subordinate managers and supervisors who fail to perform their responsibilities as outlined in this Directive. Discuss with subordinate staff any behavior or job performance factors.
- When appropriate, suggest that employees seek substance abuse evaluations and assistance through the Employee Assistance Program (EAP) or the Caltrans Substance Abuse Information Network (SAIN); make management referrals to EAP.
- Order employees in designated "safety-sensitive" positions to mandatory random, return to work, reasonable suspicion, follow-up, or post-accident drug and/or alcohol tests according to federal and state laws and regulations, and procedures established by the Office of Driver Certification and Substance Testing, Division of Safety and Management Services.
- Attend reasonable suspicion training, as required, when supervising "safety-sensitive" employees.
- Maintain confidentiality of all testing information and results.

Chief, Office of Driver Certification and Substance Testing:

- Ensure the statewide implementation of federal and state regulations for mandatory drug and alcohol testing of employees in "safety-sensitive" positions.

- Take appropriate disciplinary action against any employee who fails or refuses a required drug and/or alcohol test.
- Advise and assist managers and supervisors in determining the appropriate course(s) of action when an employee in a “safety-sensitive” position is suspected of being under the influence of drugs and/or alcohol.
- Inform employees subject to federal and state drug and alcohol testing of the regulations, rules and policies applicable to them, as well as their rights and responsibilities under the testing program.
- Establishes procedures for mandatory, random, return-to-work, reasonable suspicion, follow-up or post-accident drug and alcohol testing.

Employee Assistance Program Coordinators:

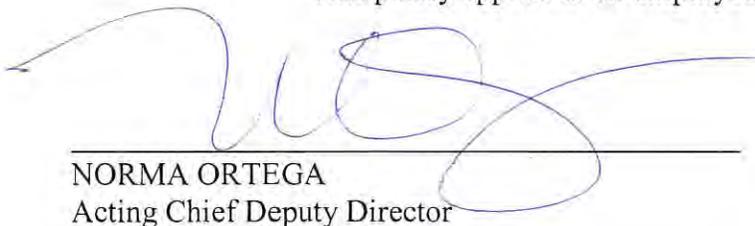
- Provide employees and all levels of management education about EAP procedures, services available, and how to access services.
- Maintain confidentiality of all EAP information for Caltrans.

Employees:

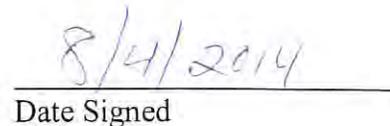
- Refrain from consuming intoxicants during work shift, including medical marijuana.
- Report for and return to duty free of drug and alcohol impairments.
- Refrain from possessing, distributing, selling, offering for sale or trading any illicit drugs in the workplace.
- Report to their supervisor any citations or arrests for a drug or alcohol related violation that occurred in the workplace, during work hours, or while operating a state vehicle immediately to their supervisor.
- Are prohibited from operating state vehicles when not completely recovered from the effects of alcohol or drug use.
- When performing “safety-sensitive” functions or utilizing a commercial driver license, report the use of any prescribed and/or over-the-counter medication(s) that impair job performance to your supervisor immediately.
- When performing “safety-sensitive” functions, submit to mandatory post-accident, random, return to work, reasonable suspicion or follow-up drug and/or alcohol testing according to federal and state laws and regulations, and procedures established by the Office of Driver Certification and Substance Testing.

APPLICABILITY

This policy applies to all employees.



NORMA ORTEGA
Acting Chief Deputy Director



Date Signed

Deputy Directive

Number: DD-09-R5

*Refer to
Director's Policy:* DP-02-R2
Ethics
DD-110-R1
Employment Outside of
Caltrans

Effective Date: 8/4/14

Supersedes: DD-09-R4
(April 2014)

*Responsible
Program:* Administration

TITLE Incompatible Activities and Conflict of Interest

POLICY

California Department of Transportation (Caltrans) employees shall not willfully engage in any employment, activity or enterprise that is illegal; that is, or gives the appearance of being, incompatible with their duties as state employees; that discredits their profession, department or the state; or that has an adverse effect on the confidence of the public in the integrity of government.

Incompatible Activities. The following activities are incompatible with or unfavorable to public service insofar as all employees of Caltrans are concerned:

- Drinking alcohol or using illegal drugs while on duty.
- Reporting to work when not completely recovered from the effects of alcohol or drug use.
- Using or attempting to use for private gain or advantage, or the private gain or advantage of another the identification badge, equipment, uniform, prestige, or influence of a state position.
- Directly or indirectly soliciting from persons money, gifts, or other valuable consideration in addition to the salary paid by the state, for advertising or furnishing information concerning matters administered by Caltrans, or for services performed which he/she is or may be required to render as part of his/her official duty.
- Acceptance of anything of value that would not be offered if not an employee of Caltrans.
- Using for private gain or advantage, or the private gain or advantage of another, the time, facilities, postage or supplies of the state.

- Using official knowledge for personal gain, or the private gain or advantage of another.
- Divulging information, data, or intelligence from departmental reports, records, correspondence, or manuals when the release of such has not been authorized.
- Having a financial interest in, entering into any partnership, soliciting business of any kind from, or purchasing any property at a special discount from any person subject to regulation, inspection, licensing, certification, accreditation, supervision, or audit by Caltrans when official duties of the employee involve such functions.
- Any employee, while on duty, shall not participate in political activities relative to the election or appointment of public officials.
- Employees are prohibited from purchasing supplies or services for the state from a business entity in which they have a direct financial interest, or knowingly from a business entity in which another departmental employee has a direct financial interest.
- Employees are prohibited from accepting free consulting or other services from a vendor which has an understood intent to bid on a future related contract.

This directive does not specify every possible limitation on activities of Caltrans employees that might be determined and proscribed under statutory or regulatory authority. References within the Deputy Directive are to: California Public Contract Code, Division 2, section 10410; California Government Code, Title 2, Division 5, section 19990; California Government Code, Title 9; and California Code of Regulations, Title 2, Division 6, section 18700. Violation of this policy may subject an employee to disciplinary action ranging from formal written reprimand up to dismissal.

DEFINITION

Conflict of Interest is a situation in which any official action taken by an employee is, may be, or appears to be, influenced by considerations of personal, financial, or other gain, rather than the general public good.

Incompatible Activities include, but are not limited to, various aspects of personal, political, and business associations; relationships, involvement, and interests; use of state time, equipment, materials and confidential information for private gain; and real estate investment, and financial interests which Caltrans has designated as being inconsistent with the duties and responsibilities of employees.

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

BACKGROUND

The intent of this policy is to ensure that an employee's activities do not adversely affect the employee's responsibilities with Caltrans, are compliant with applicable laws, policies and regulations, and do not create, or give the appearance of creating, a conflict of interest.

RESPONSIBILITIES

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

- Ensure that employees are informed of and apply departmental policy, federal and state laws and regulations regarding incompatible activities and conflicts of interest in their daily activities.
- Ensure that those conditions or barriers which may create or result in an incompatible activity are eliminated or mitigated.

Deputy Director, Administration:

- Develops statewide Incompatible Activities and Conflict of Interest policy and makes every effort to ensure broad compliance.

Chief, Office of Enterprise Risk Management:

- Ensures that the Incompatible Activities and Conflict of Interest policy is updated.
- Ensures timely review of all questions regarding potential incompatible activities.

Managers and Supervisors:

- Ensure that their subordinates are informed of, and comply with, departmental policy and federal and state laws and regulations regarding incompatible activities.
- If questions arise regarding a potential incompatible activity or conflict of interest that cannot be answered by division or district management, submit the question(s) to the Office of Enterprise Risk Management.
- Initiate prompt investigatory, corrective and/or disciplinary actions for violations of the policy.

Employees:

- Perform their duties and responsibilities honestly, objectively, and free from incompatible activities and/or conflicts of interest.
- Treat their job as a public trust, and make sure the authority, resources, and decisions they make are in the public's best interest.

- Comply with applicable Codes of Ethics and Conduct that govern the professional licensure, certification, or membership in a professional association.
- Immediately inform their supervisor of any offer, gift, favor or compensation through which the person making the offer has expressed or implied the intent to influence a favorable action by Caltrans. This applies even if the offer, gift, favor or compensation was refused.
- Comply truthfully and knowledgeably with Caltrans policies, federal and state laws and regulations when making decisions and completing documents.

Employees are prohibited from performing activities such as:

- Divulging information, data, or intelligence from departmental reports, records, correspondence, or manuals when the release of such has not been authorized.
- Altering, falsifying, or intentionally omitting significant portions of information, records, measurements or calculations required for the performance of one's duties.
- Using the prestige or influence of Caltrans for private gain or advantage or the private gain of another.
- Using state time, personnel, facilities, equipment or supplies for private gain or advantage.
- Using confidential information available by virtue of state employment for private gain or advantage.
- Providing confidential information to persons to whom issuance of this information has not been authorized.
- Engaging in any act knowing that the act may later be subject (directly or indirectly) to the control, inspection, review, audit or enforcement by the employee.
- Engaging in outside employment involving state and local agency projects which at any time are subject to review, control, input, influence, audit, or approval by the employee.
- Receiving or accepting money or any other item of value (including but not limited to entertainment, lodging, travel expenses, services or other items) from anyone other than the state for the performance of his or her job duties as a Caltrans employee.
- Soliciting, accepting, receiving, or forwarding any item of value from anyone who is doing, or seeking to do, business of any kind with Caltrans in which acceptance may result in or give the appearance of:
 - Compensation for duties performed as a state employee.
 - Giving preferential treatment to any person or entity.
 - Loss of independence, impartiality, or professional judgment.
 - Making a governmental decision outside of official channels.

- Engaging in any type of gambling activity in the workplace or using state resources to do so, including activities such as raffles or lotteries, even if for charitable purposes.
- Failing to devote their full time, attention, and efforts to their departmental employment during their hours of duty as a Caltrans employee.
- Using state postage or stamping facilities other than for official business.
- Engaging in any activity conducted in such a manner that it appears to reflect an official position of the state or Caltrans without prior authority to do so.
- Attempting to circumvent this policy by using a friend, relative, dependent, outside employer, or any other alter ego in order to accomplish indirectly that which this policy prohibits.

APPEAL PROCEDURES

A represented employee may file a grievance/complaint based on a decision made by their supervisor concerning the application of this policy in accordance with the applicable Memorandum of Understanding. An excluded employee may file a complaint concerning the application of this policy with the Division of Safety and Management Services. (Government Code section 19990(g).)

APPLICABILITY

This policy applies to all employees.



NORMA ORTEGA
Acting Chief Deputy Director

8/4/2014
Date Signed

Deputy Directive

Number: DD-19-R2

*Refer to
Director's Policy:* DP-02 Ethics
DP-10 Departmental
Commitments

Effective Date: June 2005

Supersedes: DD-19-R1 (06-05-00)

TITLE Media Relations/Public Information

POLICY

The California Department of Transportation (Department) attempts to have a good relationship with the media which, in turn, will lead to greater and more positive coverage of what we do.

All Department employees are encouraged to look for opportunities to promote achievements. There are countless good news stories that could be shared with viewers, listeners and readers. Also, employees should look for opportunities to correct inaccuracies. If we are to gain the goodwill, confidence and support of the public we serve, we need to engage with the media and take every opportunity to be more proactive in communicating with the public.

Like any large organization, the Department has a process in place for interacting with the media. Interaction with the media is always deferred first to Department Public Information Officers (PIOs) and handled by them in accordance with journalistic principles, the California Public Records Act, and Department policies.

Employees may speak to the media, on a case-by-case basis, when given delegated authority to do so by the Deputy Director of External Affairs, District Director or District Chief PIO. Employees who are delegated authority to speak with the media should ask that a PIO accompany them.

The Department's policy is to be open and honest in dealing with the media and respond to their inquiries within their deadlines, as far as possible. The Department has a duty to let the media know about issues that should be in the public domain. We will inform the media about issues which:

- Are in the public interest;
- help to show the public how the Department goes about its work; and
- build public confidence in the Department.

DEFINITION/BACKGROUND

Public Information Officers are employees who have delegated authority to speak directly to media representatives. The Deputy Director of External Affairs, District Directors and District Chief PIOs designate these employees.

Mass public distribution includes any internally developed information for use outside of the Department, regardless of the distribution method.

Headquarters External Affairs provides information about statewide and policy concerns, while District Public Information Offices answer questions related to local and/or internal district operations.

Headquarters External Affairs or District Public Information Offices review and approve all media materials intended for mass public distribution to ensure organizational consistency and coordination. Materials subject to review and approval include newsletters, brochures, pamphlets, video scripts, press releases, and fact sheets.

Employees who are contacted by the media, or wish to correct media inaccuracies or promote good news stories must first be cleared by the Deputy Director of External Affairs, District Director, or Chief PIO.

RESPONSIBILITIES

Employees:

- Refer media inquiries to Headquarters External Affairs Office and/or District Public Information Office.
- May be called upon to respond to media inquiries or participate in media interviews when given delegated authority, on a case-by-case basis, by either Headquarters External Affairs Office, District Director and/or District Public Information Office.
- May respond in writing to correct media inaccuracies or promote good news stories, but the information must first gain clearance from either Headquarters External Affairs, District Director, or Chief PIO.
- Treat the job as a public trust and refrain from expressing their personal opinions or feelings while conducting business for the Department.

Deputy Director of External Affairs:

- Sets the Department's overall public affairs policy, including direction and oversight of the Districts' public information operations.
- Acts as the chief spokesperson, or delegates, for the Department.
- Approves Headquarters and District public information programs.
- Develops media training program.

District Directors:

- Conduct media interviews or delegate to District Chief PIO, or other staff as needed. The Deputy Director of External Affairs must be notified of such interviews that day, and sensitive issues should be discussed beforehand.

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

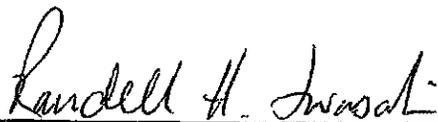
- Ensure subordinates are informed of and comply with this policy.
- Require that External Affairs be notified of all public events planned in their respective areas that may attract media attention.

District Chief Public Information Officers:

- Act as chief spokesperson for their respective district areas.
- Obtain departmental standing on sensitive issues and carry out the appropriate distribution of such information to other Headquarters/District Public Information Officers.
- Provide Department employees with clearance/denial to give interviews, on a case-by-case basis, as official Department representatives.
- Develop and coordinate their public information program, including training District staff.

APPLICABILITY

All Department employees.



RANDELL H. IWASAKI
Chief Deputy Director



Date

Deputy Directive

Number: DD-22-R2
*Refer to
Director's Policy:* DP-03
Health and Safety
Effective Date: 11/24/2009
Supersedes: DD-22 (06-03-94)

TITLE Weapons Prohibited in Caltrans Buildings, on Caltrans Property and in Caltrans Vehicles

POLICY

The California Department of Transportation (Caltrans) provides a safe and secure workplace that protects the employees and the public from harm in connection with its operations.

It is illegal and a criminal violation to possess weapons in public buildings (California Penal Code Section 171(b)).

This directive further bans possession of ammunition or prohibited weapons in a Caltrans owned or leased buildings, residential property and vehicles.

DEFINITION/BACKGROUND

Weapons, especially easily concealable ones, can pose significant security and safety risks for our employees and the public. This policy is based on the State law prohibiting specified weapons in public buildings (California Penal Code Section 171b).

The only exceptions to this basic policy are: (1) the allowance of weapons in residential space owned and operated by Caltrans; and, (2) the allowance of normally prohibited weapons that have been specifically permitted in Caltrans' public buildings, property and vehicles.

Caltrans building is as any building owned and occupied or leased and occupied by Caltrans. When Caltrans and others jointly occupy the building, this policy applies only to those parts under the control of Caltrans.

Residential property is any private living area and excludes common areas; i.e., lobbies, lounges, and rest rooms that are a structural part of a building such as a dormitory.

Vehicles are any motor vehicles, whether owned or leased, as defined in the California Vehicle Code, Section 415.

Ammunition the projectiles detonated from any weapon, such as bullets or shells.

RESPONSIBILITIES

Information Security Officer:

- Acts as the Director's delegated designee in granting "permission" for employees to have otherwise prohibited weapons, as allowed in California Penal Code Section 171 (b) (3).

Chief, Office of Business Services & Security

- Conducts investigations, when requested, into alleged violations of this policy by employees.

Managers and Supervisors:

- Ensure that employees are informed of and comply with this policy.
- Have matters investigated and, if appropriate, initiate and take disciplinary measures when violations of policy are observed or reported.

Employees:

- Are aware of and comply with this policy.
- Are encouraged to inform others (visitors and public) of this policy.

APPLICABILITY

All departmental employees.

Cindy Mckim
CINDY MCKIM,
Chief Deputy Director

11/24/2009
Date Signed

Deputy Directive

Number: DD-49-R4

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

Effective Date: 7/23/2013

Supersedes: DD-49-R3 (5/24/10)

TITLE Sexual Harassment Prevention

POLICY

The California Department of Transportation (Caltrans) makes every effort to provide employees with a workplace that is free from sexual harassment and has a "Zero Tolerance" policy. Caltrans encourages 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; 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.

DEFINITION/BACKGROUND

Federal and State laws prohibit sexual harassment in the workplace; 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 and 19702 (a); and State Personnel Board Policy statement dated October 20, 1988. Corrective action is taken pursuant to California Government Code Section 19572 (w).

Sexual harassment is any unwelcome sexual conduct such as sexual advances, requests for sexual favors, and other verbal, visual, written or physical conduct of a sexual nature that explicitly or implicitly affect an individual's employment; unreasonably interferes with an individual's work performance; or creates an intimidating, hostile, or offensive work environment.

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

RESPONSIBILITIES

Deputy Director, Administration:

- Ensures the Equal Employment Opportunity Program (EEO) and EEO Plan are fully implemented and enforced in all Caltrans programs and business activities.
- Ensures employment recruitment, hiring, retention, training, transfers, promotions, and business activities are in compliance with Equal Employment Opportunity (EEO) laws.

Chief, Division of Human Resources:

- Promotes a work environment that is free of sexual harassment, coordinates sexual harassment prevention training, and monitors implementation of appropriate corrective actions whenever sexual harassment is identified.
- Manages the EEO and serves as the resource for sexual harassment prevention and related training needs assessment.
- Provides oversight for Caltrans's informal and formal discrimination complaint processes, as established by the discrimination complaint procedures and as contained in the EEO Plan.
- Ensures comprehensive, neutral, and timely investigation of formal sexual harassment complaints and provides a thorough, impartial, uniform and confidential intake process, as established by the EEO Investigation Procedures Manual.

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

- Promote a work environment free of sexual harassment, coordinate sexual harassment prevention training and implements appropriate corrective actions whenever sexual harassment is identified.
- Ensure all employees receive sexual harassment prevention training and managers and supervisors provide a workplace environment free of sexual harassment.
- Ensure managers and supervisors are trained every two years and practice sexual harassment prevention and corrective procedures.

Managers and Supervisors:

- Provide a workplace environment free of sexual harassment through sexual harassment prevention and training.
- Take immediate and appropriate corrective action when a violation of this sexual harassment policy occurs.
- Forward complaints to District and/or the Headquarters EEO officers in a confidential and timely manner.
- Ensure employees receive regular training in sexual harassment prevention.

Headquarters and District EEOP Staff:

- Serve as the local 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.
- Ensure the implementation of programs and business activities by monitoring compliance with EEOP guidelines.

Employees and Business Partners:

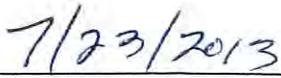
- Comply with this directive.
- Immediately report sexual harassment incidents to management and/or the EEOP officer.
- Ensure fellow employees, business partners, and the general public is treated with dignity and respect in a work environment free from sexual harassment.
- Immediately seek assistance from management and/or the EEOP Officer when experiencing sexual harassment in the workplace.
- Cooperate fully in all investigations regarding sexual harassment issues.

APPLICABILITY

All Caltrans employees.



NORMA ORTEGA
Acting Chief Deputy Director



Date Signed

DEPUTY DIRECTIVE

Number: 54R

Refer to
Director's Policy: 17R, Information
Technology

Effective Date: April 30, 2001

Supersedes: DD-54

TITLE Information Technology Use Standards

POLICY

All access to and use of the California Department of Transportation's (Caltrans) Information Technology (IT) network, Internet, and Intranet connections will be governed by the Caltrans Computer Network and Internet Access Guidelines as published by Headquarters Information Technology (HQ-IT).

DEFINITION/ BACKGROUND

Caltrans HQ-IT has established connections to the Internet via the services of the Caltrans HQ-IT Wide Area Network. This access allows Caltrans users to connect to all the services of the Internet from the browser client installed on their assigned workstation. Additionally, Caltrans HQ-IT has installed and maintains internal web services that are available only to its internal network users. The effectiveness of the departmental computing environment and shared information resources depends on the responsible behavior of all authorized users, managers, and administrators of these resources.

RESPONSIBILITIES

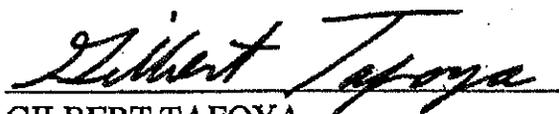
The Director of Caltrans and the Chief Information Officer (CIO) are responsible for the development of appropriate use guidelines for IT.

Deputy Directors, District Directors, Division Chiefs (including Program Manager), Office Chiefs, all District, Program and Traffic Management Center managers and supervisors will direct their staff to observe and adhere to the attached guidelines.

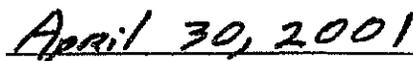
All Caltrans employees, contractors, and vendors have a responsibility to understand and follow the acceptable usage guidelines and seek guidance in areas for which policy and procedural clarification is needed.

APPLICABILITY

This Directive will apply to all users of Caltrans computers, network systems and/or Internet/Intranet services regardless of their physical location or the entity to which they are assigned.



GILBERT TAFOYA
Acting Chief Information Officer



Date Signed

Department of Transportation Computer Network and Internet Access Guidelines

(Attachment to DD-54R)

Disclaimer

The Internet is a worldwide network of computers that contains millions of pages of information. Users are cautioned that many of these pages include offensive, sexually explicit, and inappropriate material. In general, it is difficult to avoid at least some contact with this material while using the Internet. Even innocuous search requests may lead to sites with highly offensive content. Additionally, having an e-mail address on the Internet may lead to receipt of unsolicited e-mail containing offensive content. Users accessing the Internet do so at their own risk and the Department of Transportation (Department) is not responsible for material viewed or downloaded by users from the Internet. To minimize these risks, users of the Internet at Caltrans are governed by the following guidelines:

Permitted Use of the Internet and The Department Computer Network

The computer network is the property of the Department and is to be used for legitimate business purposes consistent with Bargaining Unit Memoranda of Understanding (MOUs). Users are provided access to the computer network to assist them in the performance of their jobs. Additionally, users may also be provided with access to the Internet through the computer network. All users have a responsibility to use The Department computer resources and the Internet in a professional, lawful and ethical manner. Abuse of the computer network or the Internet may result in disciplinary action, including possible termination, and civil and/or criminal liability.

Computer Network Use Limitations

Prohibited Activities. Without prior written permission from the Department's Chief Information Officer (CIO) or his/her designee, the Department computer network may not be used to disseminate, view, or store personal advertisements, solicitations, promotions, destructive code (e.g., viruses, trojan horse programs, etc.) or any other unauthorized materials.

Illegal Copying. Users may not copy material protected under copyright law or make that material available to others for copying. Users are responsible for complying with copyright law and applicable licenses that may apply to software, files, graphics, documents, messages, and other material that can be downloaded or copied. Users may not agree to a license or download any material for which a fee is charged without first obtaining the express written permission of their manager.

Communication of Trade Secrets. Unless expressly authorized by the Users' Branch Chief or their designee, users are prohibited from sending, transmitting, or otherwise distributing proprietary information, data, trade secrets or other confidential information belonging to The Department, its vendors or contractors. Unauthorized dissemination of such material may result in severe disciplinary action, as well as substantial civil and criminal penalties under state and federal Economic Espionage laws.

Duty Not to Waste or Damage Computer Resources

Accessing the Internet. To ensure security and avoid the spread of viruses, users accessing the Internet through a computer attached to Caltrans network must do so through an approved Internet firewall or other security device. Bypassing Caltrans computer network security by accessing the Internet directly via modem or other means is strictly prohibited unless the computer you are using is not connected to the Caltrans network.

Frivolous Use. Computer resources are not unlimited. Network bandwidth and storage capacity has finite limits, and all users connected to the network have a responsibility to conserve these resources. As such, the user must not deliberately perform acts that waste computer resources or unfairly monopolize resources to the exclusion of others. These acts include, but are not limited to, sending mass mailings or chain letters, spending excessive amounts of time on the Internet, playing games, engaging in online chat groups, uploading or downloading large files, accessing streaming audio and/or video files, or otherwise creating unnecessary loads on network traffic associated with non-business-related uses of the Internet.

Virus detection. Files obtained from sources outside Caltrans, including disks brought from home, files downloaded from the Internet, newsgroups, bulletin boards, or other online services; files attached to e-mail, and files provided by customers or vendors, may contain dangerous computer viruses that may damage the Caltrans computer network. Users should never download files from the Internet, accept e-mail attachments from outsiders, or use disks from non-Caltrans sources, without first scanning the material with Caltrans-approved virus checking software. If you suspect that a virus has been introduced into the Caltrans network, notify Information Technology Programs' desktop support immediately.

No Expectation of Privacy. Employees are provided computers and Internet access to assist them in the performance of their jobs. With the exception of certain privileges relating to confidentiality ("Privilege Exception"), employees should have no expectation of privacy in anything they create, store, send or receive using Department equipment. The computer network is the property of the Department and may be used only for Department purposes. The Department reserves the right to access and review all materials created, stored, sent or received by the user through any Departmental computer, network or Internet connection. The Department also reserves the right to monitor and log any and all aspects of its computer system including, but not limited to,

monitoring Internet sites visited by users, monitoring chat and newsgroups, monitoring file downloads, and all communications sent and received by users. Finally, the Department reserves the right to utilize software that makes it possible to identify and block access to Internet sites containing sexually explicit or other material deemed inappropriate in the workplace.

Privilege Exception. The foregoing would not apply to confidential communications protected by certain recognized privileges (e.g., attorney/client privilege) and which are created for legitimate state business purposes.

Notice to Users

Users will be informed of their responsibility to comply with the policies governing use of the Caltrans computer network via warning banners that have been placed ubiquitously on all network connection devices. These warnings will inform all users that their access to the network is subject to monitoring and that connection to, and use of, the system implies consent to monitoring and agreement to abide by the rules posted on the Information Security and Operational Recovery web site and published in the Information Security Manual.

Deputy Directive

Number: DD-56-R3
*Refer to
Director's Policy:* DP-02
Ethics
Effective Date: 6/25/2013
Supersedes: DD-56-R2 (12-19-11)

TITLE Use of Overtime

POLICY

The California Department of Transportation (Caltrans) will consider the use of overtime when necessary and appropriate to accomplish planned and emergency work. All Caltrans managers and first line supervisors are responsible for the effective management and careful use of this method of compensation consistent with existing laws, rules, and Memorandums of Understanding (MOUs). Employees must obtain authorization in advance before overtime hours are worked, except in an emergency. Proper documentation is required in *all* situations where overtime is utilized, including emergencies.

DEFINITION/BACKGROUND

Government Code section 19851, subdivision (a), provides that it is the policy of the State to avoid the necessity for overtime work by its employees whenever possible.

Overtime is defined as authorized time in excess of the regularly scheduled work week per Section 599.700 of the California Code of Regulations.

Per the California Code of Regulations section 599.702 and the State Administrative Manual (SAM) Chapter 8540, all agencies must maintain complete and accurate records of all compensable overtime worked by its employees, even in cases of emergencies.

Emergency exceptions include situations where overtime is utilized to:

- Provide mandatory coverage or required public services.
- Provide work to prevent unsafe conditions for the public or employees, to manage and reduce the economic impact to an area, or reduce damage to public or private property.

Overtime Documentation is specific evidence demonstrating pre-approval of overtime, overtime hours worked, reason for overtime, and product produced as a result of overtime. Examples of acceptable documentation to support overtime include: time sheets supported by sign in/out logs, weekly attendance logs, overtime logs, daily diaries, or contractor's work hours and must contain the required elements cited above. All designated supervisors approving time worked must comply with all of Caltrans guidelines for the recording of time worked directed in Deputy Directive 108, Timely Submission and Approval of Timesheets.

A link to these guidelines may be found at:
http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/dd/dd_108.pdf

Payment of overtime must adhere to the requirements of the Fair Labor Standards Act (FLSA), MOU for represented employees, and/or the California Department of Human Resources (CalHR) policies for non-represented employees. If the provisions of the FLSA are in conflict with the provisions of an MOU or CalHR policies, the FLSA provisions shall be controlling unless the MOU or CalHR policies provide a greater benefit to the employee.

RESPONSIBILITIES

Chief Deputy Director:

- Establishes the statewide policy on the use of overtime.

Deputy Director, Administration:

- Monitors timely delegation of and authorization of overtime.
- Ensures that the approval to use overtime is not subdelegated below the first-line supervisor.
- Encourages managers and supervisors to carefully evaluate the use of overtime when workload and work conditions warrant.
- Ensures that all managers and supervisors are aware of this policy and Caltrans guidelines on the use of overtime.

Chief, Office of Labor Relations, Safety and Staff Development:

- Advises managers of the requirements of the State and federal laws, regulations, MOUs and Caltrans policy regarding the use of overtime.

Managers and Supervisors:

- Carefully evaluate and consider the use of overtime, when appropriate for planned work or in cases of emergency.
- Ensure that overtime is preauthorized and documented prior to any overtime work hours being accrued by their employees, except in cases of emergency.
- Ensure that documentation communicates the reason for overtime worked and is retained for five years.

- Ensure that overtime hours claimed were actually worked.
- Monitor that employees working overtime hours do not exceed the maximum cap amount of overtime.
- Ensure that authorization of overtime does not exceed the specific hour limitations.
- Complete the proper preauthorization documentation for any overtime that will exceed the specific fiscal overtime hour limitations established by the FLSA, MOUs, and CalHR policies.
- Review all of the overtime documentation procedures and time keeping requirements with employees prior to granting preauthorization.
- Report any misuse of overtime and be willing to support any legal efforts that may occur as a result of an investigation in to the alleged misuse of overtime.

All Caltrans Employees:

- Must comply with all policies, guidelines and procedures related to the proper use of overtime.
- Must seek preauthorization from their designated supervisor *before* any hours in excess of their established time-base are worked.
- Submit an accurate recording of any authorized overtime worked according to Caltrans time-reporting guidelines.
- Must be willing to comply with any investigation of misuse of overtime.

APPLICABILITY

All Caltrans employees, including civil service, temporary, emergency, limited-term, seasonal, exempt, special employment, retired annuitants, and civil service student assistants paid through the State Controller's Office payroll system.



NORMA ORTEGA
Acting Chief Deputy Director

6/25/2013

Date Signed

Deputy Directive

Number: DD-89

*Refer to
Director's Policy:* DP-17-R1
Information Technology

Effective Date: June 2006

Supersedes: NEW

TITLE Security of Portable Computing Devices and Portable Electronic Storage Media

POLICY

The California Department of Transportation (Department) requires State data, which is confidential, sensitive, or personal to be encrypted and password protected when stored in portable computing devices and portable electronic storage media.

In order to comply with applicable security and confidentiality requirements, the Chief Information Security Officer will approve the Department's mandatory security requirements for all portable computing and portable electronic storage media.

Prior to storing confidential, sensitive, or personal data on portable computing and portable electronic storage media, the Department's mandatory security requirements must be met.

DEFINITION/BACKGROUND

The Department of Finance Budget Letter 05-32, dated November 14, 2005, requires the encryption of State data that is confidential, sensitive, or personal when stored on portable computing devices and/or portable electronic storage media. This budget letter announces new policy codified in the State Administrative Manual (SAM) at sections 4841.2 through 4841.7.

SAM section 4841.3 defines the information classifications that must be given protection. Confidential, sensitive, or personal data includes, but is not limited to, the combination of a first name or first initial and last name in combination with at least one of the following: 1) social security number, 2) driver's license number or California identification card number, 3) account number, credit or debit card number, in combination with any required security code, access code, or password. Personal information includes health information.

Theft or loss of portable computing devices and/or portable electronic storage media compromises confidential, sensitive, or personal State data, which in turn can lead to privacy violations and costly follow-up activities. California Civil Code section 1798.29 requires that State departments disclose breaches in which electronically stored unencrypted personal information may have been acquired. SAM section 4845(2) addresses the Department's responsibilities under these circumstances.

This Deputy Directive is designed to protect the State data stored on all portable computing devices or portable electronic storage media, including equipment owned by employees, vendors, contractors, volunteers, or researchers. This policy applies to any portable computing or portable electronic storage media that contains Department data or connects to the Department's network.

RESPONSIBILITIES

Director:

- Approves Information Technology (IT) policies.
- Approves Information Security policies.
- Sign and submit Security Incident Report pursuant to SAM section 4845(2)(b).

Chief Information Officer:

- Develops IT security standards, procedures and guidelines.
- Implements Information Security standards, procedures, and guidelines.

Chief Information Security Officer:

- Develops Information Security policies.
- Approves IT security standards, procedures and guidelines.
- Signs and submits Security Incident Report pursuant to SAM section 4845(2)(b).

Deputy Directors, District Directors, Division Chiefs, Program Managers, Office Chiefs, Managers, and Supervisors:

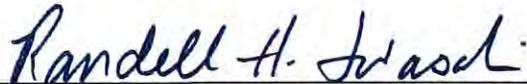
- Ensure staff adheres to Information Security policies.
- Ensure staff adheres to IT security standards, procedures, and guidelines.
- Immediately report loss or theft of portable computing or portable electronic storage media or access to confidential, sensitive, or personal data to the Department's Chief Information Security Office at (916) 651-8483 or e-mailed to CTISO@dot.ca.gov.

Employees, contractors, volunteers, and all other users of State data that is confidential, sensitive, or personal:

- Adhere to IT security standards, procedures, and guidelines, including the Department's Information Security standards, procedures, and guidelines.
- Immediately report loss or theft of portable computing or portable electronic storage media or access to confidential, sensitive, or personal data to the employee's supervisor.

APPLICABILITY

All departmental employees, contractors, volunteers, and all other users of State data that is confidential, sensitive, or personal.



RANDELL H. IWASAKI
Chief Deputy Director



Date Signed

Deputy Directive

Number: DD-108

Refer to
Director's Policy: DP-02-R2
Ethics
DP-10
Department Commitments

Effective Date: 06-30-10

Supersedes: NEW

TITLE Timely Submission and Approval of Timesheets

POLICY

The California Department of Transportation (Department) requires all employees to submit timely and accurate timesheets in the Online Time Reporting System. Timesheets must be submitted to Supervisors weekly at the close of business Friday or on the last day scheduled to work in the week. The reporting of personal services is essential in meeting project management and budgeting goals. The Department is committed to maintaining timely, accurate, and complete information at every level. This directive supports the Department's mission and commitment to effectively manage and account for its resources. Violations of this policy may result in disciplinary action.

BACKGROUND

Authority: The State Administrative Manual (SAM) Chapter 8500, Section 8539 requires that, "Agencies maintain complete records of attendance and absences for each employee during each pay period. These records will be properly certified." Staff Central was approved by the Department of Information Technology (Office of Technology Services) and the Department of Finance as the method by which the Department would complete and maintain these attendance records. Submission of timesheets by all employees will ensure that the Department is in compliance with SAM requirements.

Staff Central transmits information on hours worked, activities and projects charged, and leave usage to accounting and personnel systems. Timely submittal and approval ensures the following:

- Accurate leave balances on payroll warrants;
- Prompt delivery of supplemental pay (pay differentials, overtime, premium pay);
- Prompt delivery of intermittent pay;
- Accurate pay recording (pay docks); and
- Accurate expenditure projections.

The Department's commitment to accurately account for resources should be adapted by all levels of employees throughout the Department. Unsubmitted and/or unapproved timesheets result in uncaptured labor expenditures and inaccurate leave balances and pay. Additionally, personal services' expenditures are not reflected accurately when timesheets are submitted late. This results in a negative overall program allocation balance.

RESPONSIBILITIES

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

- Ensure that all employees submit timesheets in a timely manner as noted below.

Managers and Supervisors:

- Ensure that all timesheets are reviewed and approved no later than Tuesday of the week following the week the time was worked.
- Delegate an alternate to approve timesheets in their absence.
- Utilize the Unrecorded Labor Expenditure Report (ULER) within Staff Central to monitor ongoing timesheet status.
- Ensure that timesheets of employees who are out on extended absences are submitted and approved.
- Request a ULER, by division, from their Staff Central Liaison, if needed. A list of Staff Central Liaisons may be found at:
<http://staffcentral.dot.ca.gov/contact/search.shtml>

Note: Regional Maintenance employees' time is reported via the Integrated Maintenance Management System (IMMS) which is transmitted to Staff Central.

Staff Central Liaisons:

- Monitor the ULER weekly.

Employees:

- Submit a complete and accurate weekly timesheet to their supervisor for approval by the last working day of each calendar week, including any leave time used in the week.
- Report future leave by the last day worked prior to leaving on vacation.
- Submit time sheets from the last day physically worked through the actual date of retirement, if running out annual leave or vacation prior to retirement. *(Note: The exception to this is if the actual date of retirement is in the next fiscal year. Any leave used after the fiscal year must be reported on a paper timesheet from the first day of the new fiscal year (July 1) through the date of retirement.)*
- Make arrangements with supervisor to submit timesheets in the event of an extended absence.

- Immediately make corrections, as needed, and promptly submit the corrected timesheet.

APPLICABILITY:

All Department employees, including civil service, temporary, emergency, limited-term, seasonal, exempt, special employment, retired annuitants, and civil service student assistants, paid through the State Controller's Office payroll system.


MALCOLM DOUGHERTY
Interim Chief Deputy Director

6/30/10
Date Signed

Deputy Directive

Number: DD-110-R1

*Refer to
Director's Policy:* DP-02-R2
Ethics

Deputy Directive: DD-09-R3
Incompatible Activities
and Conflict of Interest
DD-56-R3
Use of Overtime
DD-108
Timely Submission and
Approval of Timesheets

Effective Date: 8/4/14

Supersedes: DD-110 (5-5-2014)

*Responsible
Program:* Administration

TITLE Secondary Employment Outside of the California Department of
Transportation

POLICY

California Department of Transportation (Caltrans) employees may not engage in outside employment or any other outside activity that conflicts with the employee's official duties or that would violate a law or regulation. When there may be a conflict with the employee's official duties, the employee will be required to obtain approval from their supervisor or manager before engaging in those specific outside activities. Employees may not use state resources to engage in activities associated with outside employment. Employees must devote their full time and attention to their state duties during their normal work schedule. Employees shall avoid actions that create the appearance of impropriety.

DEFINITION

Outside Income and Employment includes, but is not limited to:

- Working as an employee for any employer, including another state agency.
- Owning a business.
- Contracting to provide services for a fee.
- Serving as a consultant for a fee or being self-employed.
- Holding any elected or appointed public office, whether federal, state, or local.

- Operating a fund-raising business, formal or informal, in the workplace, including vending services and regardless of purpose.

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

State resources include, but are not limited to, vehicles, supplies, property, equipment, state-compensated time, funds, travel and facilities.

BACKGROUND

The intent of this policy is to ensure that an employee's outside employment does not have an adverse affect on the employee's employment with Caltrans, is compliant with applicable laws, policies and regulations, and does not create a conflict of interest.

Conflict of Interest is a situation in which any official action taken by an employee is, may be, or appears to be influenced by considerations of personal financial gain rather than the general public good. This includes using the prestige or influence of the state for private gain, and receiving compensation or other considerations from anyone other than the state for performance of state duties. (Political Reform Act of 1974, as amended. California Government Code sections 1126 and 19990.)

Employees of Caltrans may not use state resources, including, but not limited to, vehicles, supplies, property, equipment, state-compensated time (not including leave time,) funds, travel and facilities, for personal purposes or gain, or other purposes not authorized by law; employees may not use state resources to perform functions of outside employment. (California Government Code sections 1126, 8314 and 19990.)

Employees of Caltrans may not engage in employment or activities that are inconsistent, incompatible, in conflict with, or inimical to his or her duties as a state employee. (California Government Code sections 1126 and 19990.)

Employees of Caltrans may not engage in outside employment activities that could require the inspection, review, audit or control by that same employee in his or her capacity as an employee of Caltrans. (California Government Code sections 1126 and 19990.)

Employees of Caltrans may not engage in any employment, activity, or enterprise from which the employee receives compensation or in which the employee has a financial interest and which is sponsored or funded by any state agency or department through a state contract. (Public Contract Code section 10410.)

Employees must submit a complete and accurate weekly timesheet to their supervisor for approval, including any leave time used in the week. (California Code of Regulations, Title 2, section 599.665.)

Post employment activities of former state officials and employees are restricted under one-year bans. Banned activities include acting as an agent against Caltrans in governmental proceedings, and certain contract, sales, permit, license and communication activities. Some activities are permanently banned, such as representing a party other than the State of California in legal proceedings against the State of California when the individual previously participated in the proceedings in his/her official capacity as an employee or officer of the State of California. (California Government Code sections 87406, 87406.1, and 87406.3.)

Employees of Caltrans may only accept concurrent appointments in California State Civil Service with appropriate approvals from the Caltrans Division of Human Resources. Managers and supervisors shall not be appointed to concurrent positions. The intent of a concurrent appointment must not be to circumvent overtime restrictions or the full-time appointment process. (California Department of Human Resources (CalHR) Memorandum 2013-007, "Additional Appointments," and 2013-15, "Additional Appointments for Managers and Supervisors," CalHR's Personnel Management Policy and Procedures Manual section 350, "Additional Appointments".)

Since all employees must refrain from engaging in employment activities that interfere with his or her work assignment or satisfactory performance of Caltrans duties, while an employee is on sick leave or a medical leave of absence, supervisors or managers may require written assurance from an appropriate medical authority stating the secondary employment activity will not aggravate the injury nor prolong the employee's recovery and ability to return to his or her Caltrans job without limitations or restrictions.

Caltrans employees exempt from Fair Labors Standards Act (FLSA) must maintain a minimum average of 40 hours per work week. An employee's secondary employment cannot interfere with the employee's ability to conduct their Caltrans duties.

Caltrans employees are prohibited from the following types of secondary employment activities. Caltrans employees shall not participate directly or indirectly as a principal, agent or employee in any of the businesses or secondary employment activities identified below:

- Engaging in the private practice of law for the purpose of representing Department employee(s) before state administrative tribunals or bodies or departmental administrative inquiries.

- Engaging in private Real Estate activities as a broker, salesperson, appraiser, or investor when dealing with properties which are subject to, or might reasonably be considered as affected by, the real estate functions of the Department. Also prohibited would be speculating in real estate using knowledge of programs or projects to the Department.
- Contracting on your own behalf with a State agency as an independent contractor.
- Any other type of work that would be in conflict with or have an adverse impact on your ability to complete the duties to which you are assigned as a Caltrans employee.

Employees should also refer to DD-09, Incompatible Activities and Conflict of Interest for further relevant information.

RESPONSIBILITIES

Deputy Director, Administration:

- Sets policy for Outside Employment and ensures broad compliance statewide.

Chief, Division of Human Resources:

- Ensures appropriate CalHR approvals, if necessary, are obtained prior to appointing employees to concurrent civil service positions.

Chief, Division of Safety and Management Services:

- Ensures this policy does not conflict with applicable bargaining unit Memoranda of Understanding (MOU) provisions.

Chief, Office of Enterprise Risk Management:

- Ensures that Conflict of Interest, Ethics, and Risk Management policies, processes and communications reflect Caltrans policies for Outside Employment.

Managers and Supervisors:

- Ensure that their subordinate employees are informed of and comply with Caltrans policy and federal and state laws, regulations, and policies regarding outside employment, ethics, conflict of interest, and incompatible activities.
- Caltrans employees exempt from FLSA must maintain a minimum average of 40 hours per work week. An employee's secondary employment cannot interfere with the employee's ability to conduct their Caltrans duties.

- Consult with the Office of Enterprise Risk Management when employees notify them of any actual or potential conflict of interest related to outside employment activities as soon as possible.
- Initiate prompt investigatory, corrective and/or disciplinary actions for violations of the policy.
- Consult with and acquire appropriate approvals from the Division of Human Resources before offering additional appointments to current civil service employees.
- Ensure appropriate time reporting.

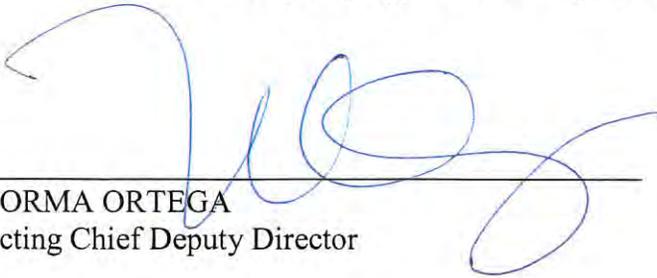
Employees:

- Use state resources, information, and positions only for the work of Caltrans and not for private gain, or other personal use.
- Caltrans employees exempt from FLSA must maintain a minimum average of 40 hours per work week. An employee's secondary employment cannot interfere with the employee's ability to conduct their Caltrans duties.
- Notify manager/supervisor of any actual or potential conflict of interest related to outside employment activities as soon as possible.
- Engage in concurrent employment only outside of their normal work schedule, or request permission in advance to use leave credits to cover time spent away from scheduled Caltrans work functions.
- Refrain from undertaking any employment or service which might reasonably be expected to impair objectivity and independence of judgment in the exercise of official duties.
- Refrain from engaging in any business, transaction, or professional activity that is in substantial conflict with the proper discharge of duties in the public interest.
- Refrain from using state resources, including but not limited to, vehicles, supplies, property, equipment, state-compensated time, funds, travel and facilities for private gain, or other personal use.
- Refrain from engaging in employment activities that interfere with his or her work assignment or satisfactory performance of Caltrans duties.
- Obtain prior approval for leave time.
- Submit a complete and accurate weekly timesheet to their supervisor for approval by the last working day of each calendar week, including any leave time used in the week.
- Disclose (if in a designated conflict of interest position) secondary employment income on Fair Political Practices Commission Form 700, Statement of Economic Interest.

- Comply with restrictions on post employment activities in accordance with the Political Reform Act of 1974, as amended.
- Employees who violate this policy are subject to disciplinary action, ranging from formal written reprimand to termination.

APPLICABILITY

This policy applies to all employees.



NORMA ORTEGA
Acting Chief Deputy Director

8/4/2014

Date Signed

Deputy Directive

Number: DD-112

*Refer to
Director's Policy:* DP-02-R2, Ethics
DP-14, Quality in Caltrans
DP-25, Best Practices
DD-09-R3, Incompatible
Activities & Conflict of
Interest

Effective Date: March 13, 2014

Supersedes: NEW

*Responsible
Program:* Administration

TITLE Contract Manager Responsibilities

POLICY

The California Department of Transportation (Caltrans) ensures delivery of quality transportation products and services by administering contracts in the most thorough, effective, and ethical manner. Contract Managers are required to abide by the highest professional and ethical standards when administering a contract and monitoring, evaluating, documenting, and reporting the contractor's performance to ensure compliance with all contract provisions. Contract Managers ensure the efficient use of public funds to produce the maximum value for taxpayers.

DEFINITION/BACKGROUND

A Contract Manager is an authorized representative of the State of California responsible for administering a contract and monitoring the contractor's performance. Pursuant to Public Contract Code section 10348.5, every Contract Manager shall have knowledge of legal contractual arrangements. Specific responsibilities of a Contract Manager can be found in the State Contracting Manual Volume 1, section 9.04.

RESPONSIBILITIES

Deputy Directors, District Directors, Division Chiefs:

- Provide leadership to implement sound contract management practices.
- Provide clear direction and guidance on a Contract Manager's roles and responsibilities.
- Ensure Contract Managers and appropriate staff complete mandatory annual Contract Manager training and the required Ethics training.
- Ensure resources are available for staff to be knowledgeable and trained in sound contract management practices.

Assistant Director, Audits and Investigations:

- Performs audits of Caltrans contract management practices to ensure compliance with state and departmental policies and procedures.

Chief, Division of Procurement and Contracts:

- Develops and maintains mandatory annual Contract Manager training.
- Provides advisory and training services to managers, supervisors, Contract Managers, resource managers, and employees.
- Ensures mandatory annual contract manager training conforms to the State Contracting Manual and the Public Contract Code.
- Ensures departmental compliance with applicable policies and procedures.
- Develops, reviews, implements, and distributes policies and procedures that affect the roles and responsibilities of a Contract Manager.
- Provides consultation to Contract Managers when issues arise relating to contract performance.

Chief, Division of Accounting:

- Provides guidance for correct coding and proper charging practices.
- Provides advisory and training services on accounting procedures.
- Provides guidance and reporting for prompt processing of vendor invoices.

Managers and Supervisors:

- Ensure mandatory annual Contract Manager training and resources are available to Contract Managers and appropriate staff.
- Ensure employees identified as Contract Managers complete mandatory annual Contract Manager training, the required Ethics training, and carry out their roles and responsibilities.
- Ensure Contract Managers review policies and procedures that affect their roles and responsibilities.
- Ensure Contract Management practices are being administered, and conduct periodic evaluations.
- Provide consultation to Contract Managers when issues arise relating to contract performance.
- Provide assistance to resolve significant and sensitive contract issues.

Contract Managers:

- Complete mandatory annual Contract Manager training and the required Ethics training.
- Adhere to all contracting policies, procedures, and processes.
- Develop and writes clear, concise, detailed work to be performed.
- Clarify contract manager roles and responsibilities with supervisor and the Division of Procurement and Contracts (DPAC) as needed.
- Demonstrate the highest standards of personal and professional integrity in the performance of their duties.

- Monitor and maintain control of the contractor's progress and performance to ensure compliance with all contract provisions including, but not limited to, quality, schedule, scope, and appropriate compensation.
- Ensure appropriate personnel are notified of equipment purchases, if applicable, and ensure property is tagged and inventoried before approving cost reimbursement.
- Ensure there are sufficient funds to pay for all services rendered as required by contract, consistent with the contract terms and conditions.
- Identify and resolves disputes with contractor in a timely manner.
- Communicate significant or sensitive contractor problems, issues, conflicts, or changes with supervisors and DPAC.
- Approve or dispute invoices for payment in a timely manner to avoid penalties under the California Prompt Payment Act.
- Verify the contractor has fulfilled contractual obligations as itemized on the invoice before approving invoice payments.
- Evaluate contractor's performance and services provided and complete the Contractor Evaluation form if applicable.
- Maintain records and logs for contract file documentation.

APPLICABILITY

All Caltrans employees.



RICHARD D. LAND
Chief Deputy Director

3/13/2014

Date Signed

Supervisor and Manager Handbook



California Department of Transportation

*“Provide a safe, sustainable, integrated and efficient transportation system
to enhance California’s economy and livability”*

Supervisor and Manager Handbook

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Memorandum

*Serious drought.
Help Save Water!*

To: Supervisor (Employee with "S" Designation)

Date: Month Day, Year

File:

From: NAME
Title
Area

Subject: **Supervisor Expectations**

As a valued member of the California Department of Transportation (Caltrans) team, you make it possible for Caltrans to provide a safe, sustainable, integrated, and efficient transportation system to enhance California's economy and livability by being innovative and flexible; working cooperatively with team members and others; and treating others fairly, honestly, and with dignity and respect. Your efforts are important to each member of the team, as well as those we serve. Supervisors have direct contact with the employees who they supervise. Supervision helps establish order in the workplace. Supervisors report to managers in the organization hierarchy. Effective supervision is a foundation of a successful organization.

Supervisors bear significant responsibility, accountability, and authority within the organization. In an effort to ensure Caltrans' goals are being met while adhering to our values of Integrity, Commitment, Teamwork, and Innovation, you are being provided the following expectations:

1. All Caltrans employees are to be courteous and professional to all Caltrans staff, members of other agencies, and members of the public.
2. It is your responsibility to read, adhere to and enforce all Departmental policies and directives available on the Department's intranet at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/.

Specific workplace-related policies and directives (included in the New Supervisor and Manager Handbook) you are expected to read, adhere to and enforce include the current versions of the following:

- a) Director's Policy 1, Equal Employment Opportunity;
- b) Director's Policy 2, Ethics;
- c) Director's Policy 3, Health and Safety;
- d) Director's Policy 18, Workplace Violence Prevention;
- e) Director's Policy 29, Communication and Entertainment Devices in the Work Zone;
- f) Director's Policy 31, Intellectual Property Policy;

Supervisor Expectations

(DATE)

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- g) Deputy Directive 8, Drug-Free Workplace;
- h) Deputy Directive 9, Incompatible Activities and Conflict of Interest;
- i) Deputy Directive 22, Weapons Prohibited in Caltrans Buildings, on Caltrans Property and in Caltrans Vehicles;
- j) Deputy Directive 49, Sexual Harassment Prevention;
- k) Deputy Directive 54, Information Technology Use Standards;
- l) Deputy Directive 56, Use of Overtime;
- m) Deputy Directive 89, Security of Portable Computing Devices and Portable Electronic Storage Media;
- n) Deputy Directive 108, Timely Submission and Approval of Timesheets
- o) Deputy Directive 110, Employment Outside of the California Department of Transportation;
- p) Deputy Directive 112, Contract Manager Responsibility.

The most current versions of the policies and directives are available at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/. Please discuss with your manager any Director's Policies and/or Deputy Directives which you do not understand or require clarification.

Program Management

- You are expected to establish strategies, objectives and action items to achieve the Program's/Division's/District's/Department's/Agency's goals, seek to improve current processes, use work plans for assigned tasks and project management, and meet established due dates.
- You are required to hold regular staff meetings, to clearly communicate goals and objectives, to manage workload, and to keep your staff apprised of information they need to perform their jobs.
- When you submit a project, document, or other assignment for review, you and your staff are required to perform the analysis and completed staff work. Documents submitted for your manager's review must make use of business writing rules, be free of typographical errors and utilize proper grammar.
- You are responsible for keeping your chain of command informed of issues and problems as soon as you are aware that they may have a broad impact on a program, the department, involved control agencies or management at an executive level. Examples include issues that may result in litigation, issues that have department-wide impact, are the subject of investigations or those that are politically sensitive. If you are seeking assistance with resolution of a problem, you should be prepared to provide one or more sound alternative solutions to the problem.
- You must work with your chain of command to establish reasonable deadlines and then to

Supervisor Expectations

(DATE)

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effectively meet them. If there is an unanticipated reason preventing you from meeting a deadline, you must notify impacted staff, including your chain of command, in advance. This applies to project deadlines as well as requests for information. Occasionally, when timeframes are very short due to external requirements or unforeseen circumstances, you must take the necessary steps, including utilizing overtime and redirection of resources, to meet those deadlines. [See Deputy Directive 56, Use of Overtime.]

- As a supervisor, you are expected to manage your allocation of resources and work within that allocation. It is incumbent upon you to keep your chain of command informed if the program for which you are responsible is exceeding its assigned resources as soon as you are aware of the problem.
- As a supervisor, you must ensure that any new employee you or your reports hire is given the New Employee Handbook containing their appropriate Letter of Expectation along with workplace policies and directives contained in that Letter of Expectation. You will make sure the new employee signs the acknowledgement form that accompanies the New Employee Handbook. If the employee is a new supervisor or Manager, please provide the New Supervisor and Manager Handbook to that employee and have them sign the acknowledgement form that accompanies the New Supervisor and Manager Handbook. The New Supervisor and Manager Handbook will include information found in the New Employee Binder, but it will also contain the Caltrans Hiring Guide and the Guide to Supervising Probationary Employees and Preparing Individual Development Plans.
- As a supervisor, you must ensure that all the supervisors reporting to you have received supervisory training and that all new employees receive the New Employee Orientation class.

Employee Relations

- You are expected to lead by example, consistently ensuring your communications and actions fit within the Caltrans Mission and Vision, and demonstrate Caltrans values of Integrity, Commitment, Teamwork, and Innovation.
- You must proactively manage employees by providing them the training, coaching, and skill development necessary for them to be successful. Employee duty statements should be current, discussed with, and signed by the employee. You should ensure that your employees have the tools necessary to perform their jobs, including reasonable accommodation as necessary. Information regarding reasonable accommodation is available at the Division of Human Resources website: http://admin.dot.ca.gov/hr/WC_RA/ra/ra.shtml.
- You are expected to cultivate a team-oriented and positive working environment for your staff, fostering creativity, innovation, and initiative and rewarding accomplishments that are of exceptional value to the program.

Supervisor Expectations

(DATE)

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- Supervisors are to ensure compliance with safety policies, procedures, and work practices, to promote best safety practices, and to respond promptly and appropriately to safety concerns. Information regarding Health and Safety may be found at The Division of Safety and Management Service's website:
http://admin.dot.ca.gov/Safety_and_Management_Services/Health_and_Safety/
- Supervisors are responsible for monitoring the working hours of their staff to ensure adequate office coverage. When staff is absent, you must have access to information on issues that may be brought to executive or senior management attention during their absences. This requires that you ensure file documentation is adequate and that knowledge transfer strategies are in place.
- Supervisors must ensure that annual Individual Development Plans (IDP) are provided to each employee. Included in the IDP should be objectives for the coming year and a training plan. Probation reports must be provided to all probationary employees, as required per the term of their probationary period. Failure to provide timely IDPs and probationary reports will be documented and placed in the supervisor or manager's official personnel file.

Dealing with Misconduct and Poor Performance

Employee Misconduct

"Misconduct" refers to behavior that is contrary to the nature of the job or state rules. Threatening violence against a coworker, stealing and dishonesty are a few examples of misconduct.

- As a supervisor it is your duty and responsibility to supervise the work and activities of employees within your unit, division, district, etc. You are to ensure that staff comply with the aforementioned Director's Policies and Deputy Directives and to address staff issues as quickly as possible. You must keep your chain of command informed about significant issues that will result in informal or formal disciplinary actions, grievances, and/or Equal Employment Opportunity, workplace violence, safety complaints, reasonable accommodation, FMLA or leaves of absence.
- All instances of alleged employee misconduct must be addressed in the most expeditious manner possible. It is your duty as a supervisor to acknowledge and document each alleged instance of misconduct. This documentation shall include the following information:
 - a.) Name, classification and identification number of the employee(s) involved.
 - b.) Date(s) of the alleged incident, and the date on which you became aware of the incident.
 - c.) Summary of the alleged misconduct.

Supervisor Expectations

(DATE)

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- Each supervisor must notify the next person up their chain of command of the alleged incident(s) of misconduct and report the incident(s) to the Office of Discipline Services (ODS) at http://admin.dot.ca.gov/Safety_and_Management_Services/Discipline_Services/. You will work with ODS to determine whether the alleged incident requires an internal investigation to be conducted by Caltrans Audits and Investigations (A&I). The Department shall investigate allegations of misconduct when there is a nexus (or connection) between the act(s) and the individual's employment with the Department. Such a nexus is necessary to establish a basis for disciplinary or corrective action. Nexus is established in the following circumstances:
 - a.) The act(s) occurred while the employee was on duty, regardless of location or assignment.
 - b.) All criminal acts by employees, either on or off duty, which constitute a felony or other misdemeanor involving moral turpitude, which result in a conviction.
 - c.) While off duty, an employee attempts to use his or her status as an employee with the Department in an effort to gain favor or advantage.
 - d.) Any off-duty misconduct with a clear connection to the employee's continued ability to effectively perform the duties of the employee's position. For example, an employee with a suspended driver license cannot perform duties that require a valid license.
 - e.) The misconduct is of such a nature that it could bring discredit to the Department.
- If an internal investigation occurs, it is your responsibility to monitor the progress of the investigation. You must make yourself available to provide whatever information the A&I may need. Once the investigation concludes, you must ensure that any adverse disciplinary action determined in consultation with ODS is administered properly.
- As the supervisor, you will be held accountable if you fail to take appropriate, timely action on reports of alleged employee misconduct. Consequences of failure to act appropriately in these instances may include progressive discipline actions ranging from a formal written reprimand to dismissal.

Employee Poor Performance

Poor performance refers to the problem behaviors that are repeated over time, undermine the employee's value to the organization and burden coworkers. For example, an employee who is always late, or leaves without notifying anyone; the employee who can't seem to work cooperatively with his peers; the employee whose work is never on time or complete; and the employee who just doesn't seem to do anything very well or is not performing satisfactorily. All of these types of problems are performance issues.

For assistance regarding poor performance by an employee, please contact ODS and/or refer to the Supervisor's Guide to Employee Conduct and Discipline available at <http://www.calhr.ca.gov/training/Pages/supervisors-guidebook.aspx>.

Work Hours

- As a supervisor you are expected to be present in the office, or engaged in work-related activities, during your established work hours. You are also expected to understand that sometimes you will have to work longer hours to ensure your work or the work of the unit is completed.
- If you need to deviate from your regular work schedule (appointments, vacation, time off, etc.) you must notify your manager, in advance. If your manager is out of the office for vacation, please direct all leave requests to the designated person acting in their absence.
- Voicemail messages, e-mail and Outlook calendars must be updated with an "out of office" message when you are away from the office also indicating who is acting in your place. In your absence, you must ensure that whoever is acting for you is informed about pending issues that may arise during your absence. Never provide a backup who will not be available to respond to callers and email in your absence.

Office Coverage

- For those staff working in office setting, supervisors shall ensure that there is office coverage in their assigned program areas between the core business hours of 8 a.m. to 5 p.m. (Government Code section 11020.)

Outlook Calendars

- Outlook calendars must be kept current to reflect your availability. Personal appointments should be marked as "private" on your calendar. Be mindful of attachments on a calendar entry and never attach personal or medical information or other sensitive information to a calendar invitation.

Phone and Email

- If you are at work, you are expected to return calls or respond to emails as soon as possible, preferably by the next business day.

Security of Personal Information- laptops/memory sticks

- Supervisors are responsible for complying with the Information Practices Act (IPA) by protecting employees' confidential information, including, but not limited to, personal information and social security numbers, medical history, employment history, education, financial transactions, discipline issues, or similar information. Failure to protect Departmental employees' confidential information may result in employee grievances, lawsuits, and pursuant to California Civil Code section 1798.55, in disciplinary action, including termination of employment.

Supervisor Expectations

(DATE)

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- When you are working in and or away from the office, it is your responsibility to ensure that all confidential information in your possession is secure. This includes personal information contained in documents, laptops, and memory sticks. A security breach, theft or loss of personal information shall be reported within 24 hours.

Your signature below indicates you have received a copy, and have read and understood the expectations contained in this memorandum.

Dated: _____

Dated: _____

Supervisor Signature

Manager

Memorandum

*Serious drought.
Help Save Water!*

To: Manager (Employee with "M" Designation)

Date: Month Day, Year

File:

From: NAME
Title
Area

Subject: **Manager Expectations**

As a valued member of the California Department of Transportation (Caltrans) team, you make it possible for Caltrans to provide a safe, sustainable, integrated, and efficient transportation system to enhance California's economy and livability by being innovative and flexible; working cooperatively with team members and others; and treating others fairly, honestly, and with dignity and respect. Your efforts are important to each member of the team, as well as those we serve. Managers plan, organize implement, direct, monitor and evaluate the work programs and functions for which they are responsible.

Managers bear significant responsibility, accountability, and authority within the organization. In an effort to ensure Caltrans' goals are being met while adhering to our values of Integrity, Commitment, Teamwork, and Innovation, you are being provided the following expectations:

1. All Caltrans employees are to be courteous and professional to all Caltrans staff, members of other agencies, and members of the public.
2. It is your responsibility to read, adhere to and enforce all Departmental policies and directives available on the Department's intranet at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/.

Specific workplace-related policies and directives (included in the New Supervisor and Manager Handbook) you are expected to read, adhere to and enforce include the current versions of the following:

- a) Director's Policy 1, Equal Employment Opportunity;
- b) Director's Policy 2, Ethics;
- c) Director's Policy 3, Health and Safety;
- d) Director's Policy 18, Workplace Violence Prevention;

- e) Director's Policy 29, Communication and Entertainment Devices in the Work Zone;
- f) Director's Policy 31, Intellectual Property Policy;

Manager Expectations

(DATE)

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- g) Deputy Directive 8, Drug-Free Workplace;
- h) Deputy Directive 9, Incompatible Activities and Conflict of Interest;
- i) Deputy Directive 22, Weapons Prohibited in Caltrans Buildings, on Caltrans Property and in Caltrans Vehicles;
- j) Deputy Directive 49, Sexual Harassment Prevention;
- k) Deputy Directive 54, Information Technology Use Standards;
- l) Deputy Directive 56, Use of Overtime;
- m) Deputy Directive 89, Security of Portable Computing Devices and Portable Electronic Storage Media;
- n) Deputy Directive 108, Timely Submission and Approval of Timesheets
- o) Deputy Directive 110, Employment Outside of the California Department of Transportation; and
- p) Deputy Directive 112, Contract Manager Responsibility.

The most current versions of the policies and directives are available at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/. Please discuss with your manager any Director's Policies and/or Deputy Directives which you do not understand or require clarification.

Program Management

- You are expected to establish strategies, objectives and action items to achieve the Program's/Division's/District's/Department's/Agency's goals, seek to improve current processes, use work plans for assigned tasks and project management, and meet established due dates.
- You are responsible for keeping your chain of command informed of issues and problems as soon as you are aware that they may have a broad impact on a program, the department, involved control agencies or management at an executive level. Examples include issues that may result in litigation, issues that have department-wide impact, are the subject of investigations or those that are politically sensitive. If you are seeking assistance with resolution of a problem, you should be prepared to provide one or more sound alternative solutions to the problem.
- As a manager, you are expected to manage your allocation of resources and work within that allocation. It is incumbent upon you to inform the appropriate District Director, Deputy Director and/or the Chief Financial Officer if the program for which you are responsible is exceeding its assigned resources as soon as you are aware of the problem.
- As a manager, you must ensure that all the supervisors and managers reporting to you have received supervisory training and that all new employees receive the New Employee Orientation class. You must also ensure all employees, supervisors or managers reporting to you receive the appropriate handbooks.

Employee Relations

- You are expected to lead by example, consistently ensuring your communications and actions fit within the Caltrans Mission and Vision, and demonstrate Caltrans values of Integrity, Commitment, Teamwork, and Innovation.
- You are expected to cultivate a team-oriented and positive working environment for your staff, fostering creativity, innovation, and initiative and rewarding accomplishments that are of exceptional value to the program.
- Managers are to ensure compliance with safety policies, procedures, and work practices, to promote best safety practices, and to respond promptly and appropriately to safety concerns. Information regarding Health and Safety may be found at The Division of Safety and Management Service's website:
http://admin.dot.ca.gov/Safety_and_Management_Services/Health_and_Safety/

Dealing with Misconduct and Poor Performance

Employee Misconduct

"Misconduct" refers to behavior that is contrary to the nature of the job or state rules. Threatening violence against a coworker, stealing and dishonesty are a few examples of misconduct.

- As a manager, it is your duty and responsibility to manage the work and activities of employees within your unit, division, district, etc. You are to ensure that staff comply with the aforementioned Director's Policies and Deputy Directives and to address staff issues as quickly as possible. You must keep your chain of command informed about significant issues that will result in informal or formal disciplinary actions, grievances, and/or Equal Employment Opportunity, workplace violence, safety complaints, reasonable accommodation, FMLA or leaves of absence.
- As a manager, you will be held accountable if you fail to take appropriate, timely action on reports of alleged employee misconduct. Consequences of failure to act appropriately in these instances may include progressive discipline actions ranging from a formal written reprimand to dismissal.

Employee Poor Performance

Poor performance refers to the problem behaviors that are repeated over time, undermine the employee's value to the organization and burden coworkers. For example, an employee who is always late, or leaves without notifying anyone; the employee who can't seem to work cooperatively with his peers; the employee whose work is never on time or complete; and the

Manager Expectations

(DATE)

Page 4 of 4

employee who just doesn't seem to do anything very well or is not performing satisfactorily. All of these types of problems are performance issues.

For assistance regarding poor performance by an employee, please contact ODS and/or refer to the Supervisor's Guide to Employee Conduct and Discipline available at <http://www.calhr.ca.gov/training/Pages/supervisors-guidebook.aspx>.

Your signature below indicates you have received a copy, and have read and understood the expectations contained in this memorandum.

Dated: _____

Dated: _____

Employee's Signature

Manager

Director's Policy

Number: DP-01-R9

Effective Date: May 20, 2013

Supersedes: DP-01-R8 (04/02/2012)

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 in regard to 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, sex, color, religion, national or ethnic origin, genetic information, age, political affiliation, ancestry, marital status, sexual orientation, disability or medical condition. (Government Code section 12920.) Caltrans has a "Zero Tolerance" policy for discrimination and/or harassment. Retaliation against Caltrans employees, applicants, vendors, contractors, special service employees, or an employee of another state department or agency who engages in any good faith EEO action constitutes a violation of this policy.

INTENDED RESULTS

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

RESPONSIBILITIES

Deputy Director, Administration:

- Ensures the Caltrans EEO program and plan are fully implemented and enforced in all programs and business activities.
- Ensures that employment recruitment, hiring, retention, training, transfers, promotions and business activities are in compliance with EEO guidelines.
- Ensures active recruitment efforts of qualified applicants are broad and inclusive of all segments of the relevant work force.
- Ensures implementation of the Caltrans Reasonable Accommodation Program.

Chief, Division of Human Resources:

- Prepares Caltrans annual EEO Plan, which includes the Workforce Analysis, Upward Mobility and Persons with Disabilities Plan.
- Provides EEO technical assistance to managers and supervisors and ensures Caltrans employees receive comprehensive EEO awareness training.

- Ensures comprehensive, neutral and timely investigations of formal discrimination complaints and implements a uniform complaint intake process that is consistent with the Caltrans EEO Investigation Procedure Manual.
- Provides oversight for Caltrans informal and formal discrimination complaint processes.

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

- Ensure the work environment is free from discrimination and harassment by ensuring that program objectives, standards and practices are in compliance with equal employment opportunity guidelines, to the extent allowed by law.

District and Headquarters EEO Managers, Officers, and Coordinators:

- Ensure the implementation and monitoring of District programs and that business activities comply with EEO guidelines and directives.
- Monitor and ensure that the work environment is free from discrimination and harassment.

Employees, Applicants and Business Partners:

- Ensure 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 violations of this policy to a supervisor, or manager or the Discrimination Complaint Investigation Unit.
- Cooperate fully in the investigation processes of a complaint.
- Participate in providing information to Caltrans and in disciplinary proceedings for violations of this policy.

APPLICABILITY

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

Original Signed by:

5/20/2013

MALCOLM DOUGHERTY
Director

Date Signed

Director's Policy

Number: DP-02-R2
Effective Date: December 2005
Supersedes: DP-02-R1
Dated 12-22-00

TITLE Ethics

POLICY

California Department of Transportation (Department) employees demonstrate the highest standards of personal integrity, truthfulness, and honesty; inspire public confidence and trust in State government; and recognize that personal gains from public service are limited to respect, recognition, salary, and normal employee benefits.

Ethical conduct is an organizational, as well as an individual, responsibility. Decisions are made in the best interest of the organization with the overall public interest in mind. Special care is taken to establish and maintain professional relationships with fellow employees, consultants, contractors, lobbyists, elected officials, and other internal and external partners.

INTENDED RESULTS

The intent of this policy is to ensure that sound ethical practices and policies are followed in the organization and that the organizational climate promotes ethical conduct and inhibits the opportunity for unethical conduct.

This policy is meant as an overview of ethics and acceptable ethical standards. Specific responsibilities are addressed in departmental Deputy Directives, policies, and guidelines.

RESPONSIBILITIES

Managers and Supervisors:

- Exemplify ethical standards in the workplace.
- Ensure that their subordinates are informed of and comply with departmental policies regarding ethical conduct.
- Establish an ethical climate in their work unit including controls and procedures that eliminate or reduce the opportunity for unethical conduct.
- Take prompt corrective and/or disciplinary action as the situation warrants including informal reprimand, removal from office, or termination of employment.

All Employees:

- Perform their duties and responsibilities with honesty, objectivity and integrity.
- Treat their jobs as a public trust. The authority, resources, and the decisions made are in the public's interest. Actions are not taken for personal benefit or interest.
- Make independent, objective decisions based on merit and avoid actual, potential and apparent conflicts of interest and improper influences.
- Ensure that the public has an opportunity to openly participate in important decisions and receives appropriate feedback regarding the Department's policies, programs, and activities.
- Set a positive example of public service and good citizenship by following both the letter and the spirit of all laws, rules, and policies applicable to State government.

APPLICABILITY

This policy applies to all who work for the Department in any capacity.

Original Signed By

December 30, 2005

WILL KEMPTON
Director

Date Signed

Director's Policy

Number: DP-03-R1

Effective Date: August 2007

Supersedes: DP-03 (08-30-92)

TITLE Health and Safety

POLICY

The California Department of Transportation (Department) conducts its business, provides services, and designs, constructs, and maintains facilities in a safe manner consistent with applicable laws, rules, and policies. The Department provides a safe and healthy workplace that protects its employees and the public from harm in connection with its operations. The Department also includes provisions for the safety of those who construct and maintain California's transportation system. Transportation projects are planned and designed with the utmost concern for the safety and well-being of all who utilize them.

The Department cooperates and coordinates with all appropriate State and Federal agencies to ensure that employee and public safety is a primary focus of the Department's operations and California's transportation system.

INTENDED RESULTS

The intent of this policy is to emphasize the importance of safety for the employees and the Department's obligation to protect the traveling public from unnecessary risk. Our practice is to be proactive in dealing with safety issues and establish responsibility and enforce accountability for safety.

RESPONSIBILITIES

District Directors and all Deputy Directors:

- Provide a healthy and safe working environment in compliance with the Department's Illness and Injury Prevention Program (IIPP).
- Promote the safety of the traveling public and highway workers when the Department plans, designs, constructs, operates, maintains, and rehabilitates transportation facilities.

Chief, Health and Safety Services:

- Oversees the health and safety of all Department employees through the Safety Program.
- Responsible for Health and Safety programs such as the IIPP, Workers' Compensation, Workplace Violence, Reasonable Accommodation, Wellness, and Employee Assistance.
- Serves as the Director's safety advisor on all matters related to the Department's safety.
- Maintains, analyzes, and reports health and safety related statistics to support the Department's goals and organizational performance improvements.

District Safety Officers:

- Provide guidance and direction to District managers, supervisors, and employees on health and safety issues, interpretation and implementation of California Occupational Safety and Health Administration standards, and Labor Code provisions.

Managers and Supervisors:

- Provide a safe and healthful environment for their employees.
- Ensure that employees conduct their duties in a safe manner in compliance with the IIPP.
- Provide training, direction, and counseling to employees on safe practices consistent with their assignment.
- In the event of on-the-job injuries or accidents, take appropriate preventative and corrective action and forward required documentation to the District (or Headquarters) Safety Office.

Employees:

- Actively participate in the Health and Safety program by performing work safely, following all safety rules and policies, reporting and correcting any recognized safety hazards, and suggesting improvements in policies or procedures that enhance employee safety or the safety of the traveling public or highway workers.

APPLICABILITY

This policy applies to all departmental employees.

Original Signed By

August 15, 2007

WILL KEMPTON
Director

Date Signed

Director's Policy

Number: DP-18-R1
Effective Date: 11/05/2012
Supersedes: DP-18 (05-01-1998)

TITLE Workplace Violence Prevention

POLICY

It is the California Department of Transportation (Caltrans) policy to conduct business, provide services, and protect its employees and the public from harm by providing a safe and secure work environment that has zero tolerance for acts and/or threats of violence. Regardless of an individual's actual intent, violence against another employee or member of the public will result in disciplinary action against the employee ranging from a corrective interview up to and including dismissal from State service.

DEFINITIONS

Workplace Violence- includes verbal and physical threats, harassment, intimidation, bullying, verbal abuse, or actions made by other employees, contractors, or the public that give reasonable cause to believe that the personal safety of the affected individual or others may be at risk.

Intimidation- includes behavior which has the purpose or effect of inspiring fear in a reasonable person and/or has the purpose or effect of inhibiting speech or actions by an act or threat of violence.

Bullying- an intentional act that causes harm to others, and may involve verbal harassment, verbal or non-verbal threats, intimidation, physical assault, stalking, or other methods of coercion such as manipulation, blackmail, or extortion. It is aggressive behavior that intends to hurt, threaten or frighten another person. An imbalance of power between the aggressor and the victim is often involved.

INTENDED RESULTS

The intent of the Policy is to prevent Workplace Violence incidents, describe workplace violence, and outline procedures to be followed in the event of a workplace violence complaint. Chapter 6 of the Caltrans Safety Manual, located at http://www.dot.ca.gov/hq/opo/safety/safetymanual/Chap_06_Sept2007.pdf supplements the directions provided in this policy.

RESPONSIBILITIES

Caltrans Management:

- Managers and supervisors are responsible to enforce safety and health laws, rules and policies relating to workplace violence.
- Managers and supervisors are responsible for investigating all alleged workplace violence incidents as described in Chapter 6 of the Caltrans Safety Manual. If there is a violation of policy, they shall immediately initiate appropriate corrective action for each and every employee who instigates, contributes to, or perpetuates workplace violence.
- Managers and supervisors are responsible for recognizing and managing the warning signs that may lead to incident of workplace violence.
- Managers and supervisors are responsible for knowing and implementing Chapter 6 of the Caltrans Safety Manual.
- Managers and supervisors are responsible for training their employees on an annual basis to ensure they are aware of this policy.

All Employees:

All employees are responsible for following safe work practices, safety, and health directives, policies and procedures, and for helping to maintain a safe and secure work environment by:

- Being considerate and respectful of co-workers, visitors, the traveling public and others, and not engaging in intimidation, threats or physical actions which could reasonably be perceived as precursors to violent behavior.
- Reporting incidents of workplace violence to their supervisor as soon as possible. If there is an immediate threat or act of physical violence, notify building security and contact California Highway Patrol (CHP) immediately.
- Reporting suspicious behavior and suspicious actions by non-employees (including assaultive talking, belligerent, intimidating and threatening behavior) to their supervisor, building security personnel, or building manager as soon as possible. Threats of life or property or any criminal activity should be reported to the CHP, or local law enforcement.
- Cooperating fully in workplace violence investigations and hearings.

Headquarters and District Offices of Health and Safety:

- Log all completed workplace violence reports into the Safety Information Management System.
- Consult with managers and supervisors regarding questions about the workplace violence policy.

APPLICABILITY

All Caltrans employees.

Original signed by:

November 5, 2012

MALCOLM DOUGHERTY
Director

Date Signed

Director's Policy

Number: DP-29

Effective Date: May 2008

Supersedes: NEW

TITLE Communication and Entertainment Devices in the Work Zone

POLICY

The California Department of Transportation (Department) conducts its business, provides services, and designs, constructs, and maintains transportation infrastructure in a safe manner consistent with applicable laws, rules, and policies. The Department recognizes that unnecessary distractions in the work zone can be a risk to employee safety. Therefore, personally owned communication devices including, but not limited to, cell phones, PDAs, Blue-tooth devices, or entertainment devices shall not be used in active work zones. Employees may use a communication device for business purposes in a work zone, at a location where their safety or the safety of other workers and the traveling public will not be compromised. If an employee must leave the active work zone, he/she shall wait until it is safe or is relieved of assigned duties.

INTENDED RESULTS

This policy is to keep members of the public, our employees, and contractors as safe as possible by removing unnecessary distractions from the work environment. The use of communication or entertainment devices may distract employees resulting in potential safety hazards and can impair their ability to identify unsafe conditions.

Active Work Zone - For the purposes of this policy, Active Work Zone is defined as a designated field location in which construction, survey, and/or maintenance work is taking place.

Entertainment Device – For the purposes of this policy, entertainment devices include audio and video players.

RESPONSIBILITIES

Managers and Supervisors:

- Provide a safe and healthful environment for their employees.
- Ensure that employee communication device usage is in accordance with this policy.
- Initiate appropriate preventive action or corrective adverse action if an employee violates this directive.

Caltrans Employees:

- Recognize the risks of being distracted while working in an active work zone. While in active work zones, personal communication devices are to be kept in off mode and entertainment devices are not to be used.
- Conduct business telephone calls only after ensuring the safety of the work area, themselves, other workers, and the traveling public.
- Use personal communication devices for personal calls during breaks or lunch periods from a safe area and do not distract other workers at work.

APPLICABILITY

This policy applies to all departmental employees and other persons working for the Department. For consistency, this policy shall be incorporated into all contract documents so that it is applicable to consultant and contractor's employees in active work zones.

Original Signed By

May 27, 2008

WILL KEMPTON
Director

Date Signed

Director's Policy

Number: DP-31

Effective Date: June 18, 2012

Supersedes: NEW

TITLE Intellectual Property Policy

POLICY

The California Department of Transportation's (Caltrans') intellectual property consists of copyrights, service marks, and patents. Under California law, intellectual property developed by Caltrans is the sole property of the State of California (California Labor Code Section 2860 and Government Code Section 19990). Intellectual property can be developed by Caltrans' employees, consultants, and independent contractors and can only be used consistently with this policy.

Caltrans may license its intellectual property to other parties for specified purposes that do not conflict with Caltrans' operations. Licensing of intellectual property will be reviewed by management on a case by case basis to determine if it is appropriate to license the property and if compensation is required.

Caltrans employees and other parties are prohibited from acquiring and using Caltrans intellectual property for personal or commercial use. Intellectual property shall be reviewed by management and selected property will be deposited in a repository.

INTENDED RESULTS

This policy is intended to provide all Caltrans employees, consultants, independent contractors and those with approved access to the Department's intellectual property with a policy governing the ownership and use of the Department's intellectual property, and serves as the foundation for the development of further guidelines and procedures regarding this topic.

DEFINITIONS

- Copyright protection exists when a Caltrans' employee, consultant or independent contractor produces something original. Caltrans original items that have copyright protection include training manuals, plans and specifications; computer programs and applications; and architectural drawings. Copyright protection also exists for other original works, such as music, pictures, presentations and sound recordings.
- Patent law protects new-and-useful inventions that are discovered, such as machines, devices, chemical compositions and manufacturing processes.
- Service Mark means any word, name, or symbol that is used by a company or entity in commerce to identify specific services. For example, the "CT" logo is a service mark of Caltrans.

RESPONSIBILITIES

Chief Counsel, Legal Division:

- Oversees Caltrans' Intellectual Property Policy and determines if the policy complies with current laws.
- Drafts documents that secure and protect Caltrans' legal rights in intellectual property.
- Prepares and performs any necessary updates to this policy, forms, guidelines and procedures relating to the Department's use of patents, copyrights and service marks.

Deputy Director, Administration:

- Ensures the distribution and implementation of this policy to all Caltrans employees, consultants and independent contractors.
- Ensures the Department's Intellectual Property Policy, guidelines, and procedures are fully implemented and enforced in all programs and business activities.

Managers and Supervisors:

- Ensure that their employees review the Intellectual Property Policy and any related guidelines and procedures.
- Ensure that they sign the [Intellectual Property Policy Acknowledgement Form](#) (indicating that the employees acknowledged that they received the Policy).
- Identify inventions, new formulas or methods to produce items that could be protected by copyright, patents or service marks that Caltrans could consider for future use.
- Initiate corrective and/or disciplinary action if any employee, consultant or independent contractor fails to comply with this policy or its related guidelines and procedures.
- If questions arise regarding the protection of Department intellectual property, immediately submit the questions to Headquarters Legal Division for review.

Employees:

- Review and comply with this policy, and related guidelines and procedures.
- Notify their supervisor of any work they are performing that may result in the creation of intellectual property. This notice should include any intellectual property discovered when working with an outside consultants and independent contractors.
- Assist Caltrans by protecting its rights to the intellectual property
- Immediately report the misuse of any Caltrans intellectual property to the Headquarters Legal Division.
- Participate fully with any investigations, hearings or legal proceedings related to the misuse of Caltrans intellectual property.

Director's Policy
Number DP-31
Intellectual Property
Page 3
APPLICABILITY

This policy applies to all departmental employees, consultants and independent contractors who use or develop the Department's intellectual property.

Original Signed By:

June 18, 2012

MALCOLM DOUGHERTY
Director

Date Signed

Deputy Directive

Number: DD-08-R5

*Refer to
Director's Policy:* DP-03-R1
Safety & Health
DP-11
Caltrans Workforce

Effective Date: 8/4/14

Supersedes: DD-08-R4 (12/31/2013)

*Responsible
Program:* Administration

TITLE Drug Free Workplace

POLICY

The California Department of Transportation (Caltrans) is committed to a safe, productive, drug-free and alcohol-free work environment to foster the well-being and health of its employees and to protect the traveling public from harm in connection with its operations. Employees and those who work for Caltrans in any capacity are prohibited from unlawfully manufacturing, distributing, dispensing, possessing, using or consuming alcohol or illicit drugs in the workplace, or being impaired by alcohol or an illicit drug in the workplace. Any employee cited or arrested for a drug or alcohol related statute violation that occurred in the workplace, during work hours, or while operating a State vehicle shall immediately report the incident to his or her supervisor. Violation of this policy will result in appropriate disciplinary action, up to and including termination from employment, including incidents not immediately reported.

It is Caltrans policy that employees are prohibited from reporting for or returning to duty when impaired from the effects of prescription medications, illicit drugs, including medical marijuana, and alcohol. Employees serving in "safety sensitive" positions are subject to drug and/or alcohol testing according to federal and state laws and regulations and applicable Bargaining Unit Memorandum of Understanding provisions. Violation of this policy will result in appropriate disciplinary action, up to and including termination from employment.

Caltrans assists employees who have drug or alcohol dependency problems to recover from their addiction provided the employee voluntarily seek and accept this assistance before corrective action is taken.

DEFINITION/BACKGROUND

The intent of this Deputy Directive is to provide a working policy for Governor's Executive Order D-58-86 concerning substance abuse and mandatory drug and alcohol testing for "safety-sensitive" positions. This Deputy Directive does not replace other Caltrans provisions, including fitness for duty examinations, employee assistance programs, or the adverse action process. Caltrans employees are subject to the requirements of the Federal Drug-Free Workplace Act of 1988 and California Drug-Free Workplace Act of 1990. Federal regulations established in 49 Code of Federal Regulations, Parts 40 and 382, and State regulations in title 2, California Code of Regulations, Section 599.960 *et seq.*, contain the complete definitions of the following: safety-sensitive positions, reasonable suspicion for substance abuse testing, employee rights and confidentiality of records.

Employees are all persons who work for Caltrans including civil service, temporary, emergency, limited-term, seasonal, exempt, retired annuitant, special employment, and contract employees

RESPONSIBILITIES

Managers and Supervisors:

- Create and maintain a drug-free workplace through proactive measures and by personal example.
- Take appropriate corrective actions with subordinate managers and supervisors who fail to perform their responsibilities as outlined in this Directive. Discuss with subordinate staff any behavior or job performance factors.
- When appropriate, suggest that employees seek substance abuse evaluations and assistance through the Employee Assistance Program (EAP) or the Caltrans Substance Abuse Information Network (SAIN); make management referrals to EAP.
- Order employees in designated "safety-sensitive" positions to mandatory random, return to work, reasonable suspicion, follow-up, or post-accident drug and/or alcohol tests according to federal and state laws and regulations, and procedures established by the Office of Driver Certification and Substance Testing, Division of Safety and Management Services.
- Attend reasonable suspicion training, as required, when supervising "safety-sensitive" employees.
- Maintain confidentiality of all testing information and results.

Chief, Office of Driver Certification and Substance Testing:

- Ensure the statewide implementation of federal and state regulations for mandatory drug and alcohol testing of employees in "safety-sensitive" positions.

- Take appropriate disciplinary action against any employee who fails or refuses a required drug and/or alcohol test.
- Advise and assist managers and supervisors in determining the appropriate course(s) of action when an employee in a “safety-sensitive” position is suspected of being under the influence of drugs and/or alcohol.
- Inform employees subject to federal and state drug and alcohol testing of the regulations, rules and policies applicable to them, as well as their rights and responsibilities under the testing program.
- Establishes procedures for mandatory, random, return-to-work, reasonable suspicion, follow-up or post-accident drug and alcohol testing.

Employee Assistance Program Coordinators:

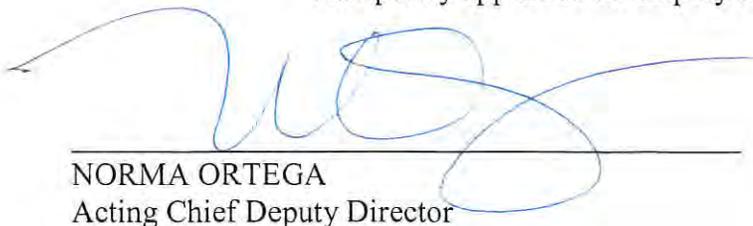
- Provide employees and all levels of management education about EAP procedures, services available, and how to access services.
- Maintain confidentiality of all EAP information for Caltrans.

Employees:

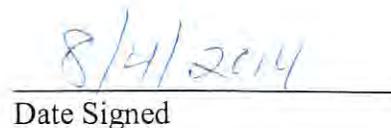
- Refrain from consuming intoxicants during work shift, including medical marijuana.
- Report for and return to duty free of drug and alcohol impairments.
- Refrain from possessing, distributing, selling, offering for sale or trading any illicit drugs in the workplace.
- Report to their supervisor any citations or arrests for a drug or alcohol related violation that occurred in the workplace, during work hours, or while operating a state vehicle immediately to their supervisor.
- Are prohibited from operating state vehicles when not completely recovered from the effects of alcohol or drug use.
- When performing “safety-sensitive” functions or utilizing a commercial driver license, report the use of any prescribed and/or over-the-counter medication(s) that impair job performance to your supervisor immediately.
- When performing “safety-sensitive” functions, submit to mandatory post-accident, random, return to work, reasonable suspicion or follow-up drug and/or alcohol testing according to federal and state laws and regulations, and procedures established by the Office of Driver Certification and Substance Testing.

APPLICABILITY

This policy applies to all employees.



NORMA ORTEGA
Acting Chief Deputy Director



Date Signed

Deputy Directive

Number: DD-09-R5

*Refer to
Director's Policy:* DP-02-R2
Ethics
DD-110-R1
Employment Outside of
Caltrans

Effective Date: 8/4/14

Supersedes: DD-09-R4
(April 2014)

*Responsible
Program:* Administration

TITLE Incompatible Activities and Conflict of Interest

POLICY

California Department of Transportation (Caltrans) employees shall not willfully engage in any employment, activity or enterprise that is illegal; that is, or gives the appearance of being, incompatible with their duties as state employees; that discredits their profession, department or the state; or that has an adverse effect on the confidence of the public in the integrity of government.

Incompatible Activities. The following activities are incompatible with or unfavorable to public service insofar as all employees of Caltrans are concerned:

- Drinking alcohol or using illegal drugs while on duty.
- Reporting to work when not completely recovered from the effects of alcohol or drug use.
- Using or attempting to use for private gain or advantage, or the private gain or advantage of another the identification badge, equipment, uniform, prestige, or influence of a state position.
- Directly or indirectly soliciting from persons money, gifts, or other valuable consideration in addition to the salary paid by the state, for advertising or furnishing information concerning matters administered by Caltrans, or for services performed which he/she is or may be required to render as part of his/her official duty.
- Acceptance of anything of value that would not be offered if not an employee of Caltrans.
- Using for private gain or advantage, or the private gain or advantage of another, the time, facilities, postage or supplies of the state.

- Using official knowledge for personal gain, or the private gain or advantage of another.
- Divulging information, data, or intelligence from departmental reports, records, correspondence, or manuals when the release of such has not been authorized.
- Having a financial interest in, entering into any partnership, soliciting business of any kind from, or purchasing any property at a special discount from any person subject to regulation, inspection, licensing, certification, accreditation, supervision, or audit by Caltrans when official duties of the employee involve such functions.
- Any employee, while on duty, shall not participate in political activities relative to the election or appointment of public officials.
- Employees are prohibited from purchasing supplies or services for the state from a business entity in which they have a direct financial interest, or knowingly from a business entity in which another departmental employee has a direct financial interest.
- Employees are prohibited from accepting free consulting or other services from a vendor which has an understood intent to bid on a future related contract.

This directive does not specify every possible limitation on activities of Caltrans employees that might be determined and proscribed under statutory or regulatory authority. References within the Deputy Directive are to: California Public Contract Code, Division 2, section 10410; California Government Code, Title 2, Division 5, section 19990; California Government Code, Title 9; and California Code of Regulations, Title 2, Division 6, section 18700. Violation of this policy may subject an employee to disciplinary action ranging from formal written reprimand up to dismissal.

DEFINITION

Conflict of Interest is a situation in which any official action taken by an employee is, may be, or appears to be, influenced by considerations of personal, financial, or other gain, rather than the general public good.

Incompatible Activities include, but are not limited to, various aspects of personal, political, and business associations; relationships, involvement, and interests; use of state time, equipment, materials and confidential information for private gain; and real estate investment, and financial interests which Caltrans has designated as being inconsistent with the duties and responsibilities of employees.

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

BACKGROUND

The intent of this policy is to ensure that an employee's activities do not adversely affect the employee's responsibilities with Caltrans, are compliant with applicable laws, policies and regulations, and do not create, or give the appearance of creating, a conflict of interest.

RESPONSIBILITIES

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

- Ensure that employees are informed of and apply departmental policy, federal and state laws and regulations regarding incompatible activities and conflicts of interest in their daily activities.
- Ensure that those conditions or barriers which may create or result in an incompatible activity are eliminated or mitigated.

Deputy Director, Administration:

- Develops statewide Incompatible Activities and Conflict of Interest policy and makes every effort to ensure broad compliance.

Chief, Office of Enterprise Risk Management:

- Ensures that the Incompatible Activities and Conflict of Interest policy is updated.
- Ensures timely review of all questions regarding potential incompatible activities.

Managers and Supervisors:

- Ensure that their subordinates are informed of, and comply with, departmental policy and federal and state laws and regulations regarding incompatible activities.
- If questions arise regarding a potential incompatible activity or conflict of interest that cannot be answered by division or district management, submit the question(s) to the Office of Enterprise Risk Management.
- Initiate prompt investigatory, corrective and/or disciplinary actions for violations of the policy.

Employees:

- Perform their duties and responsibilities honestly, objectively, and free from incompatible activities and/or conflicts of interest.
- Treat their job as a public trust, and make sure the authority, resources, and decisions they make are in the public's best interest.

- Comply with applicable Codes of Ethics and Conduct that govern the professional licensure, certification, or membership in a professional association.
- Immediately inform their supervisor of any offer, gift, favor or compensation through which the person making the offer has expressed or implied the intent to influence a favorable action by Caltrans. This applies even if the offer, gift, favor or compensation was refused.
- Comply truthfully and knowledgeably with Caltrans policies, federal and state laws and regulations when making decisions and completing documents.

Employees are prohibited from performing activities such as:

- Divulging information, data, or intelligence from departmental reports, records, correspondence, or manuals when the release of such has not been authorized.
- Altering, falsifying, or intentionally omitting significant portions of information, records, measurements or calculations required for the performance of one's duties.
- Using the prestige or influence of Caltrans for private gain or advantage or the private gain of another.
- Using state time, personnel, facilities, equipment or supplies for private gain or advantage.
- Using confidential information available by virtue of state employment for private gain or advantage.
- Providing confidential information to persons to whom issuance of this information has not been authorized.
- Engaging in any act knowing that the act may later be subject (directly or indirectly) to the control, inspection, review, audit or enforcement by the employee.
- Engaging in outside employment involving state and local agency projects which at any time are subject to review, control, input, influence, audit, or approval by the employee.
- Receiving or accepting money or any other item of value (including but not limited to entertainment, lodging, travel expenses, services or other items) from anyone other than the state for the performance of his or her job duties as a Caltrans employee.
- Soliciting, accepting, receiving, or forwarding any item of value from anyone who is doing, or seeking to do, business of any kind with Caltrans in which acceptance may result in or give the appearance of:
 - Compensation for duties performed as a state employee.
 - Giving preferential treatment to any person or entity.
 - Loss of independence, impartiality, or professional judgment.
 - Making a governmental decision outside of official channels.

- Engaging in any type of gambling activity in the workplace or using state resources to do so, including activities such as raffles or lotteries, even if for charitable purposes.
- Failing to devote their full time, attention, and efforts to their departmental employment during their hours of duty as a Caltrans employee.
- Using state postage or stamping facilities other than for official business.
- Engaging in any activity conducted in such a manner that it appears to reflect an official position of the state or Caltrans without prior authority to do so.
- Attempting to circumvent this policy by using a friend, relative, dependent, outside employer, or any other alter ego in order to accomplish indirectly that which this policy prohibits.

APPEAL PROCEDURES

A represented employee may file a grievance/complaint based on a decision made by their supervisor concerning the application of this policy in accordance with the applicable Memorandum of Understanding. An excluded employee may file a complaint concerning the application of this policy with the Division of Safety and Management Services. (Government Code section 19990(g).)

APPLICABILITY

This policy applies to all employees.



NORMA ORTEGA
Acting Chief Deputy Director

8/4/2014

Date Signed

Deputy Directive

Number: DD-19-R2

*Refer to
Director's Policy:* DP-02 Ethics
DP-10 Departmental
Commitments

Effective Date: June 2005

Supersedes: DD-19-R1 (06-05-00)

TITLE Media Relations/Public Information

POLICY

The California Department of Transportation (Department) attempts to have a good relationship with the media which, in turn, will lead to greater and more positive coverage of what we do.

All Department employees are encouraged to look for opportunities to promote achievements. There are countless good news stories that could be shared with viewers, listeners and readers. Also, employees should look for opportunities to correct inaccuracies. If we are to gain the goodwill, confidence and support of the public we serve, we need to engage with the media and take every opportunity to be more proactive in communicating with the public.

Like any large organization, the Department has a process in place for interacting with the media. Interaction with the media is always deferred first to Department Public Information Officers (PIOs) and handled by them in accordance with journalistic principles, the California Public Records Act, and Department policies.

Employees may speak to the media, on a case-by-case basis, when given delegated authority to do so by the Deputy Director of External Affairs, District Director or District Chief PIO. Employees who are delegated authority to speak with the media should ask that a PIO accompany them.

The Department's policy is to be open and honest in dealing with the media and respond to their inquiries within their deadlines, as far as possible. The Department has a duty to let the media know about issues that should be in the public domain. We will inform the media about issues which:

- Are in the public interest;
- help to show the public how the Department goes about its work; and
- build public confidence in the Department.

DEFINITION/BACKGROUND

Public Information Officers are employees who have delegated authority to speak directly to media representatives. The Deputy Director of External Affairs, District Directors and District Chief PIOs designate these employees.

Mass public distribution includes any internally developed information for use outside of the Department, regardless of the distribution method.

Headquarters External Affairs provides information about statewide and policy concerns, while District Public Information Offices answer questions related to local and/or internal district operations.

Headquarters External Affairs or District Public Information Offices review and approve all media materials intended for mass public distribution to ensure organizational consistency and coordination. Materials subject to review and approval include newsletters, brochures, pamphlets, video scripts, press releases, and fact sheets.

Employees who are contacted by the media, or wish to correct media inaccuracies or promote good news stories must first be cleared by the Deputy Director of External Affairs, District Director, or Chief PIO.

RESPONSIBILITIES

Employees:

- Refer media inquiries to Headquarters External Affairs Office and/or District Public Information Office.
- May be called upon to respond to media inquiries or participate in media interviews when given delegated authority, on a case-by-case basis, by either Headquarters External Affairs Office, District Director and/or District Public Information Office.
- May respond in writing to correct media inaccuracies or promote good news stories, but the information must first gain clearance from either Headquarters External Affairs, District Director, or Chief PIO.
- Treat the job as a public trust and refrain from expressing their personal opinions or feelings while conducting business for the Department.

Deputy Director of External Affairs:

- Sets the Department's overall public affairs policy, including direction and oversight of the Districts' public information operations.
- Acts as the chief spokesperson, or delegates, for the Department.
- Approves Headquarters and District public information programs.
- Develops media training program.

District Directors:

- Conduct media interviews or delegate to District Chief PIO, or other staff as needed. The Deputy Director of External Affairs must be notified of such interviews that day, and sensitive issues should be discussed beforehand.

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

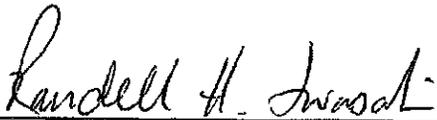
- Ensure subordinates are informed of and comply with this policy.
- Require that External Affairs be notified of all public events planned in their respective areas that may attract media attention.

District Chief Public Information Officers:

- Act as chief spokesperson for their respective district areas.
- Obtain departmental standing on sensitive issues and carry out the appropriate distribution of such information to other Headquarters/District Public Information Officers.
- Provide Department employees with clearance/denial to give interviews, on a case-by-case basis, as official Department representatives.
- Develop and coordinate their public information program, including training District staff.

APPLICABILITY

All Department employees.



RANDELL H. IWASAKI
Chief Deputy Director



Date

Deputy Directive

Number: DD-22-R2
*Refer to
Director's Policy:* DP-03
Health and Safety
Effective Date: 11/24/2009
Supersedes: DD-22 (06-03-94)

TITLE Weapons Prohibited in Caltrans Buildings, on Caltrans Property and in Caltrans Vehicles

POLICY

The California Department of Transportation (Caltrans) provides a safe and secure workplace that protects the employees and the public from harm in connection with its operations.

It is illegal and a criminal violation to possess weapons in public buildings (California Penal Code Section 171(b)).

This directive further bans possession of ammunition or prohibited weapons in a Caltrans owned or leased buildings, residential property and vehicles.

DEFINITION/BACKGROUND

Weapons, especially easily concealable ones, can pose significant security and safety risks for our employees and the public. This policy is based on the State law prohibiting specified weapons in public buildings (California Penal Code Section 171b).

The only exceptions to this basic policy are: (1) the allowance of weapons in residential space owned and operated by Caltrans; and, (2) the allowance of normally prohibited weapons that have been specifically permitted in Caltrans' public buildings, property and vehicles.

Caltrans building is as any building owned and occupied or leased and occupied by Caltrans. When Caltrans and others jointly occupy the building, this policy applies only to those parts under the control of Caltrans.

Residential property is any private living area and excludes common areas; i.e., lobbies, lounges, and rest rooms that are a structural part of a building such as a dormitory.

Vehicles are any motor vehicles, whether owned or leased, as defined in the California Vehicle Code, Section 415.

Ammunition the projectiles detonated from any weapon, such as bullets or shells.

RESPONSIBILITIES

Information Security Officer:

- Acts as the Director's delegated designee in granting "permission" for employees to have otherwise prohibited weapons, as allowed in California Penal Code Section 171 (b) (3).

Chief, Office of Business Services & Security

- Conducts investigations, when requested, into alleged violations of this policy by employees.

Managers and Supervisors:

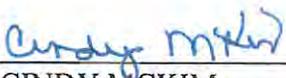
- Ensure that employees are informed of and comply with this policy.
- Have matters investigated and, if appropriate, initiate and take disciplinary measures when violations of policy are observed or reported.

Employees:

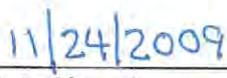
- Are aware of and comply with this policy.
- Are encouraged to inform others (visitors and public) of this policy.

APPLICABILITY

All departmental employees.



CINDY MCKIM,
Chief Deputy Director



Date Signed

Deputy Directive

Number: DD-49-R4

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

Effective Date: 7/23/2013

Supersedes: DD-49-R3 (5/24/10)

TITLE Sexual Harassment Prevention

POLICY

The California Department of Transportation (Caltrans) makes every effort to provide employees with a workplace that is free from sexual harassment and has a "Zero Tolerance" policy. Caltrans encourages 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; 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.

DEFINITION/BACKGROUND

Federal and State laws prohibit sexual harassment in the workplace; 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 and 19702 (a); and State Personnel Board Policy statement dated October 20, 1988. Corrective action is taken pursuant to California Government Code Section 19572 (w).

Sexual harassment is any unwelcome sexual conduct—such as sexual advances, requests for sexual favors, and other verbal, visual, written or physical conduct of a sexual nature—that explicitly or implicitly affect an individual's employment; unreasonably interferes with an individual's work performance; or creates an intimidating, hostile, or offensive work environment.

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

RESPONSIBILITIES

Deputy Director, Administration:

- Ensures the Equal Employment Opportunity Program (EEO) and EEO Plan are fully implemented and enforced in all Caltrans programs and business activities.
- Ensures employment recruitment, hiring, retention, training, transfers, promotions, and business activities are in compliance with Equal Employment Opportunity (EEO) laws.

Chief, Division of Human Resources:

- Promotes a work environment that is free of sexual harassment, coordinates sexual harassment prevention training, and monitors implementation of appropriate corrective actions whenever sexual harassment is identified.
- Manages the EEO and serves as the resource for sexual harassment prevention and related training needs assessment.
- Provides oversight for Caltrans's informal and formal discrimination complaint processes, as established by the discrimination complaint procedures and as contained in the EEO Plan.
- Ensures comprehensive, neutral, and timely investigation of formal sexual harassment complaints and provides a thorough, impartial, uniform and confidential intake process, as established by the EEO Investigation Procedures Manual.

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

- Promote a work environment free of sexual harassment, coordinate sexual harassment prevention training and implements appropriate corrective actions whenever sexual harassment is identified.
- Ensure all employees receive sexual harassment prevention training and managers and supervisors provide a workplace environment free of sexual harassment.
- Ensure managers and supervisors are trained every two years and practice sexual harassment prevention and corrective procedures.

Managers and Supervisors:

- Provide a workplace environment free of sexual harassment through sexual harassment prevention and training.
- Take immediate and appropriate corrective action when a violation of this sexual harassment policy occurs.
- Forward complaints to District and/or the Headquarters EEO officers in a confidential and timely manner.
- Ensure employees receive regular training in sexual harassment prevention.

Headquarters and District EEOP Staff:

- Serve as the local 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.
- Ensure the implementation of programs and business activities by monitoring compliance with EEOP guidelines.

Employees and Business Partners:

- Comply with this directive.
- Immediately report sexual harassment incidents to management and/or the EEOP officer.
- Ensure fellow employees, business partners, and the general public is treated with dignity and respect in a work environment free from sexual harassment.
- Immediately seek assistance from management and/or the EEOP Officer when experiencing sexual harassment in the workplace.
- Cooperate fully in all investigations regarding sexual harassment issues.

APPLICABILITY

All Caltrans employees.

Original signed by:

7/23/2013

NORMA ORTEGA
Acting Chief Deputy Director

Date Signed

DEPUTY DIRECTIVE

Number: 54R

Refer to
Director's Policy: 17R, Information
Technology

Effective Date: April 30, 2001

Supersedes: DD-54

TITLE Information Technology Use Standards

POLICY

All access to and use of the California Department of Transportation's (Caltrans) Information Technology (IT) network, Internet, and Intranet connections will be governed by the Caltrans Computer Network and Internet Access Guidelines as published by Headquarters Information Technology (HQ-IT).

DEFINITION/ BACKGROUND

Caltrans HQ-IT has established connections to the Internet via the services of the Caltrans HQ-IT Wide Area Network. This access allows Caltrans users to connect to all the services of the Internet from the browser client installed on their assigned workstation. Additionally, Caltrans HQ-IT has installed and maintains internal web services that are available only to its internal network users. The effectiveness of the departmental computing environment and shared information resources depends on the responsible behavior of all authorized users, managers, and administrators of these resources.

RESPONSIBILITIES

The Director of Caltrans and the Chief Information Officer (CIO) are responsible for the development of appropriate use guidelines for IT.

Deputy Directors, District Directors, Division Chiefs (including Program Manager), Office Chiefs, all District, Program and Traffic Management Center managers and supervisors will direct their staff to observe and adhere to the attached guidelines.

All Caltrans employees, contractors, and vendors have a responsibility to understand and follow the acceptable usage guidelines and seek guidance in areas for which policy and procedural clarification is needed.

Deputy Directive
Number DD-54R
Page 2

APPLICABILITY

This Directive will apply to all users of Caltrans computers, network systems and/or Internet/Intranet services regardless of their physical location or the entity to which they are assigned.



GILBERT TAFOYA
Acting Chief Information Officer

April 30, 2001

Date Signed

Department of Transportation Computer Network and Internet Access Guidelines

(Attachment to DD-54R)

Disclaimer

The Internet is a worldwide network of computers that contains millions of pages of information. Users are cautioned that many of these pages include offensive, sexually explicit, and inappropriate material. In general, it is difficult to avoid at least some contact with this material while using the Internet. Even innocuous search requests may lead to sites with highly offensive content. Additionally, having an e-mail address on the Internet may lead to receipt of unsolicited e-mail containing offensive content. Users accessing the Internet do so at their own risk and the Department of Transportation (Department) is not responsible for material viewed or downloaded by users from the Internet. To minimize these risks, users of the Internet at Caltrans are governed by the following guidelines:

Permitted Use of the Internet and The Department Computer Network

The computer network is the property of the Department and is to be used for legitimate business purposes consistent with Bargaining Unit Memoranda of Understanding (MOUs). Users are provided access to the computer network to assist them in the performance of their jobs. Additionally, users may also be provided with access to the Internet through the computer network. All users have a responsibility to use The Department computer resources and the Internet in a professional, lawful and ethical manner. Abuse of the computer network or the Internet may result in disciplinary action, including possible termination, and civil and/or criminal liability.

Computer Network Use Limitations

Prohibited Activities. Without prior written permission from the Department's Chief Information Officer (CIO) or his/her designee, the Department computer network may not be used to disseminate, view, or store personal advertisements, solicitations, promotions, destructive code (e.g., viruses, trojan horse programs, etc.) or any other unauthorized materials.

Illegal Copying. Users may not copy material protected under copyright law or make that material available to others for copying. Users are responsible for complying with copyright law and applicable licenses that may apply to software, files, graphics, documents, messages, and other material that can be downloaded or copied. Users may not agree to a license or download any material for which a fee is charged without first obtaining the express written permission of their manager.

Communication of Trade Secrets. Unless expressly authorized by the Users' Branch Chief or their designee, users are prohibited from sending, transmitting, or otherwise distributing proprietary information, data, trade secrets or other confidential information belonging to The Department, its vendors or contractors. Unauthorized dissemination of such material may result in severe disciplinary action, as well as substantial civil and criminal penalties under state and federal Economic Espionage laws.

Duty Not to Waste or Damage Computer Resources

Accessing the Internet. To ensure security and avoid the spread of viruses, users accessing the Internet through a computer attached to Caltrans network must do so through an approved Internet firewall or other security device. Bypassing Caltrans computer network security by accessing the Internet directly via modem or other means is strictly prohibited unless the computer you are using is not connected to the Caltrans network.

Frivolous Use. Computer resources are not unlimited. Network bandwidth and storage capacity has finite limits, and all users connected to the network have a responsibility to conserve these resources. As such, the user must not deliberately perform acts that waste computer resources or unfairly monopolize resources to the exclusion of others. These acts include, but are not limited to, sending mass mailings or chain letters, spending excessive amounts of time on the Internet, playing games, engaging in online chat groups, uploading or downloading large files, accessing streaming audio and/or video files, or otherwise creating unnecessary loads on network traffic associated with non-business-related uses of the Internet.

Virus detection. Files obtained from sources outside Caltrans, including disks brought from home, files downloaded from the Internet, newsgroups, bulletin boards, or other online services; files attached to e-mail, and files provided by customers or vendors, may contain dangerous computer viruses that may damage the Caltrans computer network. Users should never download files from the Internet, accept e-mail attachments from outsiders, or use disks from non-Caltrans sources, without first scanning the material with Caltrans-approved virus checking software. If you suspect that a virus has been introduced into the Caltrans network, notify Information Technology Programs' desktop support immediately.

No Expectation of Privacy. Employees are provided computers and Internet access to assist them in the performance of their jobs. With the exception of certain privileges relating to confidentiality ("Privilege Exception"), employees should have no expectation of privacy in anything they create, store, send or receive using Department equipment. The computer network is the property of the Department and may be used only for Department purposes. The Department reserves the right to access and review all materials created, stored, sent or received by the user through any Departmental computer, network or Internet connection. The Department also reserves the right to monitor and log any and all aspects of its computer system including, but not limited to,

Continuation of DD-54R

monitoring Internet sites visited by users, monitoring chat and newsgroups, monitoring file downloads, and all communications sent and received by users. Finally, the Department reserves the right to utilize software that makes it possible to identify and block access to Internet sites containing sexually explicit or other material deemed inappropriate in the workplace.

Privilege Exception. The foregoing would not apply to confidential communications protected by certain recognized privileges (e.g., attorney/client privilege) and which are created for legitimate state business purposes.

Notice to Users

Users will be informed of their responsibility to comply with the policies governing use of the Caltrans computer network via warning banners that have been placed ubiquitously on all network connection devices. These warnings will inform all users that their access to the network is subject to monitoring and that connection to, and use of, the system implies consent to monitoring and agreement to abide by the rules posted on the Information Security and Operational Recovery web site and published in the Information Security Manual.

Deputy Directive

Number: DD-56-R3
*Refer to
Director's Policy:* DP-02
Ethics
Effective Date: 6/25/2013
Supersedes: DD-56-R2 (12-19-11)

TITLE Use of Overtime

POLICY

The California Department of Transportation (Caltrans) will consider the use of overtime when necessary and appropriate to accomplish planned and emergency work. All Caltrans managers and first line supervisors are responsible for the effective management and careful use of this method of compensation consistent with existing laws, rules, and Memorandums of Understanding (MOUs). Employees must obtain authorization in advance before overtime hours are worked, except in an emergency. Proper documentation is required in *all* situations where overtime is utilized, including emergencies.

DEFINITION/BACKGROUND

Government Code section 19851, subdivision (a), provides that it is the policy of the State to avoid the necessity for overtime work by its employees whenever possible.

Overtime is defined as authorized time in excess of the regularly scheduled work week per Section 599.700 of the California Code of Regulations.

Per the California Code of Regulations section 599.702 and the State Administrative Manual (SAM) Chapter 8540, all agencies must maintain complete and accurate records of all compensable overtime worked by its employees, even in cases of emergencies.

Emergency exceptions include situations where overtime is utilized to:

- Provide mandatory coverage or required public services.
- Provide work to prevent unsafe conditions for the public or employees, to manage and reduce the economic impact to an area, or reduce damage to public or private property.

Overtime Documentation is specific evidence demonstrating pre-approval of overtime, overtime hours worked, reason for overtime, and product produced as a result of overtime. Examples of acceptable documentation to support overtime include: time sheets supported by sign in/out logs, weekly attendance logs, overtime logs, daily diaries, or contractor's work hours and must contain the required elements cited above. All designated supervisors approving time worked must comply with all of Caltrans guidelines for the recording of time worked directed in Deputy Directive 108, Timely Submission and Approval of Timesheets.

A link to these guidelines may be found at:
http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/dd/dd_108.pdf

Payment of overtime must adhere to the requirements of the Fair Labor Standards Act (FLSA), MOU for represented employees, and/or the California Department of Human Resources (CalHR) policies for non-represented employees. If the provisions of the FLSA are in conflict with the provisions of an MOU or CalHR policies, the FLSA provisions shall be controlling unless the MOU or CalHR policies provide a greater benefit to the employee.

RESPONSIBILITIES

Chief Deputy Director:

- Establishes the statewide policy on the use of overtime.

Deputy Director, Administration:

- Monitors timely delegation of and authorization of overtime.
- Ensures that the approval to use overtime is not subdelegated below the first-line supervisor.
- Encourages managers and supervisors to carefully evaluate the use of overtime when workload and work conditions warrant.
- Ensures that all managers and supervisors are aware of this policy and Caltrans guidelines on the use of overtime.

Chief, Office of Labor Relations, Safety and Staff Development:

- Advises managers of the requirements of the State and federal laws, regulations, MOUs and Caltrans policy regarding the use of overtime.

Managers and Supervisors:

- Carefully evaluate and consider the use of overtime, when appropriate for planned work or in cases of emergency.
- Ensure that overtime is preauthorized and documented prior to any overtime work hours being accrued by their employees, except in cases of emergency.
- Ensure that documentation communicates the reason for overtime worked and is retained for five years.

- Ensure that overtime hours claimed were actually worked.
- Monitor that employees working overtime hours do not exceed the maximum cap amount of overtime.
- Ensure that authorization of overtime does not exceed the specific hour limitations.
- Complete the proper preauthorization documentation for any overtime that will exceed the specific fiscal overtime hour limitations established by the FLSA, MOUs, and CalHR policies.
- Review all of the overtime documentation procedures and time keeping requirements with employees prior to granting preauthorization.
- Report any misuse of overtime and be willing to support any legal efforts that may occur as a result of an investigation in to the alleged misuse of overtime.

All Caltrans Employees:

- Must comply with all policies, guidelines and procedures related to the proper use of overtime.
- Must seek preauthorization from their designated supervisor *before* any hours in excess of their established time-base are worked.
- Submit an accurate recording of any authorized overtime worked according to Caltrans time-reporting guidelines.
- Must be willing to comply with any investigation of misuse of overtime.

APPLICABILITY

All Caltrans employees, including civil service, temporary, emergency, limited-term, seasonal, exempt, special employment, retired annuitants, and civil service student assistants paid through the State Controller's Office payroll system.

Original Signed By:

6/25/2013

NORMA ORTEGA
Acting Chief Deputy Director

Date Signed

Deputy Directive

Number: DD-89

*Refer to
Director's Policy:* DP-17-R1
Information Technology

Effective Date: June 2006

Supersedes: NEW

TITLE Security of Portable Computing Devices and Portable Electronic Storage Media

POLICY

The California Department of Transportation (Department) requires State data, which is confidential, sensitive, or personal to be encrypted and password protected when stored in portable computing devices and portable electronic storage media.

In order to comply with applicable security and confidentiality requirements, the Chief Information Security Officer will approve the Department's mandatory security requirements for all portable computing and portable electronic storage media.

Prior to storing confidential, sensitive, or personal data on portable computing and portable electronic storage media, the Department's mandatory security requirements must be met.

DEFINITION/BACKGROUND

The Department of Finance Budget Letter 05-32, dated November 14, 2005, requires the encryption of State data that is confidential, sensitive, or personal when stored on portable computing devices and/or portable electronic storage media. This budget letter announces new policy codified in the State Administrative Manual (SAM) at sections 4841.2 through 4841.7.

SAM section 4841.3 defines the information classifications that must be given protection. Confidential, sensitive, or personal data includes, but is not limited to, the combination of a first name or first initial and last name in combination with at least one of the following: 1) social security number, 2) driver's license number or California identification card number, 3) account number, credit or debit card number, in combination with any required security code, access code, or password. Personal information includes health information.

Theft or loss of portable computing devices and/or portable electronic storage media compromises confidential, sensitive, or personal State data, which in turn can lead to privacy violations and costly follow-up activities. California Civil Code section 1798.29 requires that State departments disclose breaches in which electronically stored unencrypted personal information may have been acquired. SAM section 4845(2) addresses the Department's responsibilities under these circumstances.

This Deputy Directive is designed to protect the State data stored on all portable computing devices or portable electronic storage media, including equipment owned by employees, vendors, contractors, volunteers, or researchers. This policy applies to any portable computing or portable electronic storage media that contains Department data or connects to the Department's network.

RESPONSIBILITIES

Director:

- Approves Information Technology (IT) policies.
- Approves Information Security policies.
- Sign and submit Security Incident Report pursuant to SAM section 4845(2)(b).

Chief Information Officer:

- Develops IT security standards, procedures and guidelines.
- Implements Information Security standards, procedures, and guidelines.

Chief Information Security Officer:

- Develops Information Security policies.
- Approves IT security standards, procedures and guidelines.
- Signs and submits Security Incident Report pursuant to SAM section 4845(2)(b).

Deputy Directors, District Directors, Division Chiefs, Program Managers, Office Chiefs, Managers, and Supervisors:

- Ensure staff adheres to Information Security policies.
- Ensure staff adheres to IT security standards, procedures, and guidelines.
- Immediately report loss or theft of portable computing or portable electronic storage media or access to confidential, sensitive, or personal data to the Department's Chief Information Security Office at (916) 651-8483 or e-mailed to CTISO@dot.ca.gov.

Employees, contractors, volunteers, and all other users of State data that is confidential, sensitive, or personal:

- Adhere to IT security standards, procedures, and guidelines, including the Department's Information Security standards, procedures, and guidelines.
- Immediately report loss or theft of portable computing or portable electronic storage media or access to confidential, sensitive, or personal data to the employee's supervisor.

APPLICABILITY

All departmental employees, contractors, volunteers, and all other users of State data that is confidential, sensitive, or personal.

Original Signed By

RANDELL H. IWASAKI
Chief Deputy Director

Date Signed

Deputy Directive

Number: DD-108

*Refer to
Director's Policy:* DP-02-R2
Ethics
DP-10
Department Commitments

Effective Date: 06-30-10

Supersedes: NEW

TITLE Timely Submission and Approval of Timesheets

POLICY

The California Department of Transportation (Department) requires all employees to submit timely and accurate timesheets in the Online Time Reporting System. Timesheets must be submitted to Supervisors weekly at the close of business Friday or on the last day scheduled to work in the week. The reporting of personal services is essential in meeting project management and budgeting goals. The Department is committed to maintaining timely, accurate, and complete information at every level. This directive supports the Department's mission and commitment to effectively manage and account for its resources. Violations of this policy may result in disciplinary action.

BACKGROUND

Authority: The State Administrative Manual (SAM) Chapter 8500, Section 8539 requires that, "Agencies maintain complete records of attendance and absences for each employee during each pay period. These records will be properly certified." Staff Central was approved by the Department of Information Technology (Office of Technology Services) and the Department of Finance as the method by which the Department would complete and maintain these attendance records. Submission of timesheets by all employees will ensure that the Department is in compliance with SAM requirements.

Staff Central transmits information on hours worked, activities and projects charged, and leave usage to accounting and personnel systems. Timely submittal and approval ensures the following:

- Accurate leave balances on payroll warrants;
- Prompt delivery of supplemental pay (pay differentials, overtime, premium pay);
- Prompt delivery of intermittent pay;
- Accurate pay recording (pay docks); and
- Accurate expenditure projections.

The Department's commitment to accurately account for resources should be adapted by all levels of employees throughout the Department. Unsubmitted and/or unapproved timesheets result in uncaptured labor expenditures and inaccurate leave balances and pay. Additionally, personal services' expenditures are not reflected accurately when timesheets are submitted late. This results in a negative overall program allocation balance.

RESPONSIBILITIES

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

- Ensure that all employees submit timesheets in a timely manner as noted below.

Managers and Supervisors:

- Ensure that all timesheets are reviewed and approved no later than Tuesday of the week following the week the time was worked.
- Delegate an alternate to approve timesheets in their absence.
- Utilize the Unrecorded Labor Expenditure Report (ULER) within Staff Central to monitor ongoing timesheet status.
- Ensure that timesheets of employees who are out on extended absences are approved and submitted.
- Request a ULER, by division, from their Staff Central Liaison, if needed. A list of Staff Central Liaisons may be found at:
<http://staffcentral.dot.ca.gov/contact/search.shtml>

Note: Regional Maintenance employees' time is reported via the Integrated Maintenance Management System (IMMS) which is transmitted to Staff Central.

Staff Central Liaisons:

- Monitor the ULER weekly.

Employees:

- Submit a complete and accurate weekly timesheet to their supervisor for approval by the last working day of each calendar week, including any leave time used in the week.
- Report future leave by the last day worked prior to leaving on vacation.
- Submit time sheets from the last day physically worked through the actual date of retirement, if running out annual leave or vacation prior to retirement. *(Note: The exception to this is if the actual date of retirement is in the next fiscal year. Any leave used after the fiscal year must be reported on a paper timesheet from the first day of the new fiscal year (July 1) through the date of retirement.)*
- Make arrangements with supervisor to submit timesheets in the event of an extended absence.

- Immediately make corrections, as needed and promptly submit the corrected timesheet.

APPLICABILITY:

All Department employees, including civil service, temporary, emergency, limited-term, seasonal, exempt, special employment, retired annuitants, and civil service student assistants, paid through the State Controller's Office payroll system.

Original Signed by,

June 30, 2010

MALCOLM DOUGHERTY
Interim Chief Deputy Director

Date Signed

Deputy Directive

| | |
|--|---|
| <i>Number:</i> | DD-110-R1 |
| <i>Refer to Director's Policy:</i> | DP-02-R2 Ethics |
| <i>Deputy Directive:</i> | DD-09-R3 Incompatible Activities and Conflict of Interest DD-56-R3 Use of Overtime DD-108 Timely Submission and Approval of Timesheets |
| <i>Effective Date:</i> | 8/4/14 |
| <i>Supersedes:</i> | DD-110 (5-5-2014) |
| <i>Responsible Program:</i> | Administration |

TITLE Secondary Employment Outside of the California Department of Transportation

POLICY

California Department of Transportation (Caltrans) employees may not engage in outside employment or any other outside activity that conflicts with the employee's official duties or that would violate a law or regulation. When there may be a conflict with the employee's official duties, the employee will be required to obtain approval from their supervisor or manager before engaging in those specific outside activities. Employees may not use state resources to engage in activities associated with outside employment. Employees must devote their full time and attention to their state duties during their normal work schedule. Employees shall avoid actions that create the appearance of impropriety.

DEFINITION

Outside Income and Employment includes, but is not limited to:

- Working as an employee for any employer, including another state agency.
- Owning a business.
- Contracting to provide services for a fee.
- Serving as a consultant for a fee or being self-employed.
- Holding any elected or appointed public office, whether federal, state, or local.

- Operating a fund-raising business, formal or informal, in the workplace, including vending services and regardless of purpose.

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

State resources include, but are not limited to, vehicles, supplies, property, equipment, state-compensated time, funds, travel and facilities.

BACKGROUND

The intent of this policy is to ensure that an employee's outside employment does not have an adverse affect on the employee's employment with Caltrans, is compliant with applicable laws, policies and regulations, and does not create a conflict of interest.

Conflict of Interest is a situation in which any official action taken by an employee is, may be, or appears to be influenced by considerations of personal financial gain rather than the general public good. This includes using the prestige or influence of the state for private gain, and receiving compensation or other considerations from anyone other than the state for performance of state duties. (Political Reform Act of 1974, as amended. California Government Code sections 1126 and 19990.)

Employees of Caltrans may not use state resources, including, but not limited to, vehicles, supplies, property, equipment, state-compensated time (not including leave time,) funds, travel and facilities, for personal purposes or gain, or other purposes not authorized by law; employees may not use state resources to perform functions of outside employment. (California Government Code sections 1126, 8314 and 19990.)

Employees of Caltrans may not engage in employment or activities that are inconsistent, incompatible, in conflict with, or inimical to his or her duties as a state employee. (California Government Code sections 1126 and 19990.)

Employees of Caltrans may not engage in outside employment activities that could require the inspection, review, audit or control by that same employee in his or her capacity as an employee of Caltrans. (California Government Code sections 1126 and 19990.)

Employees of Caltrans may not engage in any employment, activity, or enterprise from which the employee receives compensation or in which the employee has a financial interest and which is sponsored or funded by any state agency or department through a state contract. (Public Contract Code section 10410.)

Employees must submit a complete and accurate weekly timesheet to their supervisor for approval, including any leave time used in the week. (California Code of Regulations, Title 2, section 599.665.)

Post employment activities of former state officials and employees are restricted under one-year bans. Banned activities include acting as an agent against Caltrans in governmental proceedings, and certain contract, sales, permit, license and communication activities. Some activities are permanently banned, such as representing a party other than the State of California in legal proceedings against the State of California when the individual previously participated in the proceedings in his/her official capacity as an employee or officer of the State of California. (California Government Code sections 87406, 87406.1, and 87406.3.)

Employees of Caltrans may only accept concurrent appointments in California State Civil Service with appropriate approvals from the Caltrans Division of Human Resources. Managers and supervisors shall not be appointed to concurrent positions. The intent of a concurrent appointment must not be to circumvent overtime restrictions or the full-time appointment process. (California Department of Human Resources (CalHR) Memorandum 2013-007, "Additional Appointments," and 2013-15, "Additional Appointments for Managers and Supervisors," CalHR's Personnel Management Policy and Procedures Manual section 350, "Additional Appointments".)

Since all employees must refrain from engaging in employment activities that interfere with his or her work assignment or satisfactory performance of Caltrans duties, while an employee is on sick leave or a medical leave of absence, supervisors or managers may require written assurance from an appropriate medical authority stating the secondary employment activity will not aggravate the injury nor prolong the employee's recovery and ability to return to his or her Caltrans job without limitations or restrictions.

Caltrans employees exempt from Fair Labors Standards Act (FLSA) must maintain a minimum average of 40 hours per work week. An employee's secondary employment cannot interfere with the employee's ability to conduct their Caltrans duties.

Caltrans employees are prohibited from the following types of secondary employment activities. Caltrans employees shall not participate directly or indirectly as a principal, agent or employee in any of the businesses or secondary employment activities identified below:

- Engaging in the private practice of law for the purpose of representing Department employee(s) before state administrative tribunals or bodies or departmental administrative inquiries.

- Engaging in private Real Estate activities as a broker, salesperson, appraiser, or investor when dealing with properties which are subject to, or might reasonably be considered as affected by, the real estate functions of the Department. Also prohibited would be speculating in real estate using knowledge of programs or projects to the Department.
- Contracting on your own behalf with a State agency as an independent contractor.
- Any other type of work that would be in conflict with or have an adverse impact on your ability to complete the duties to which you are assigned as a Caltrans employee.

Employees should also refer to DD-09, Incompatible Activities and Conflict of Interest for further relevant information.

RESPONSIBILITIES

Deputy Director, Administration:

- Sets policy for Outside Employment and ensures broad compliance statewide.

Chief, Division of Human Resources:

- Ensures appropriate CalHR approvals, if necessary, are obtained prior to appointing employees to concurrent civil service positions.

Chief, Division of Safety and Management Services:

- Ensures this policy does not conflict with applicable bargaining unit Memoranda of Understanding (MOU) provisions.

Chief, Office of Enterprise Risk Management:

- Ensures that Conflict of Interest, Ethics, and Risk Management policies, processes and communications reflect Caltrans policies for Outside Employment.

Managers and Supervisors:

- Ensure that their subordinate employees are informed of and comply with Caltrans policy and federal and state laws, regulations, and policies regarding outside employment, ethics, conflict of interest, and incompatible activities.
- Caltrans employees exempt from FLSA must maintain a minimum average of 40 hours per work week. An employee's secondary employment cannot interfere with the employee's ability to conduct their Caltrans duties.

- Consult with the Office of Enterprise Risk Management when employees notify them of any actual or potential conflict of interest related to outside employment activities as soon as possible.
- Initiate prompt investigatory, corrective and/or disciplinary actions for violations of the policy.
- Consult with and acquire appropriate approvals from the Division of Human Resources before offering additional appointments to current civil service employees.
- Ensure appropriate time reporting.

Employees:

- Use state resources, information, and positions only for the work of Caltrans and not for private gain, or other personal use.
- Caltrans employees exempt from FLSA must maintain a minimum average of 40 hours per work week. An employee's secondary employment cannot interfere with the employee's ability to conduct their Caltrans duties.
- Notify manager/supervisor of any actual or potential conflict of interest related to outside employment activities as soon as possible.
- Engage in concurrent employment only outside of their normal work schedule, or request permission in advance to use leave credits to cover time spent away from scheduled Caltrans work functions.
- Refrain from undertaking any employment or service which might reasonably be expected to impair objectivity and independence of judgment in the exercise of official duties.
- Refrain from engaging in any business, transaction, or professional activity that is in substantial conflict with the proper discharge of duties in the public interest.
- Refrain from using state resources, including but not limited to, vehicles, supplies, property, equipment, state-compensated time, funds, travel and facilities for private gain, or other personal use.
- Refrain from engaging in employment activities that interfere with his or her work assignment or satisfactory performance of Caltrans duties.
- Obtain prior approval for leave time.
- Submit a complete and accurate weekly timesheet to their supervisor for approval by the last working day of each calendar week, including any leave time used in the week.
- Disclose (if in a designated conflict of interest position) secondary employment income on Fair Political Practices Commission Form 700, Statement of Economic Interest.

- Comply with restrictions on post employment activities in accordance with the Political Reform Act of 1974, as amended.
- Employees who violate this policy are subject to disciplinary action, ranging from formal written reprimand to termination.

APPLICABILITY

This policy applies to all employees.



NORMA ORTEGA
Acting Chief Deputy Director

8/4/2014

Date Signed

Deputy Directive

Number: DD-112

*Refer to
Director's Policy:* DP-02-R2, Ethics
DP-14, Quality in Caltrans
DP-25, Best Practices
DD-09-R3, Incompatible
Activities & Conflict of
Interest

Effective Date: March 13, 2014

Supersedes: NEW

*Responsible
Program:* Administration

TITLE Contract Manager Responsibilities

POLICY

The California Department of Transportation (Caltrans) ensures delivery of quality transportation products and services by administering contracts in the most thorough, effective, and ethical manner. Contract Managers are required to abide by the highest professional and ethical standards when administering a contract and monitoring, evaluating, documenting, and reporting the contractor's performance to ensure compliance with all contract provisions. Contract Managers ensure the efficient use of public funds to produce the maximum value for taxpayers.

DEFINITION/BACKGROUND

A Contract Manager is an authorized representative of the State of California responsible for administering a contract and monitoring the contractor's performance. Pursuant to Public Contract Code section 10348.5, every Contract Manager shall have knowledge of legal contractual arrangements. Specific responsibilities of a Contract Manager can be found in the State Contracting Manual Volume 1, section 9.04.

RESPONSIBILITIES

Deputy Directors, District Directors, Division Chiefs:

- Provide leadership to implement sound contract management practices.
- Provide clear direction and guidance on a Contract Manager's roles and responsibilities.
- Ensure Contract Managers and appropriate staff complete mandatory annual Contract Manager training and the required Ethics training.
- Ensure resources are available for staff to be knowledgeable and trained in sound contract management practices.

- Monitor and maintain control of the contractor's progress and performance to ensure compliance with all contract provisions including, but not limited to, quality, schedule, scope, and appropriate compensation.
- Ensure appropriate personnel are notified of equipment purchases, if applicable, and ensure property is tagged and inventoried before approving cost reimbursement.
- Ensure there are sufficient funds to pay for all services rendered as required by contract, consistent with the contract terms and conditions.
- Identify and resolves disputes with contractor in a timely manner.
- Communicate significant or sensitive contractor problems, issues, conflicts, or changes with supervisors and DPAC.
- Approve or dispute invoices for payment in a timely manner to avoid penalties under the California Prompt Payment Act.
- Verify the contractor has fulfilled contractual obligations as itemized on the invoice before approving invoice payments.
- Evaluate contractor's performance and services provided and complete the Contractor Evaluation form if applicable.
- Maintain records and logs for contract file documentation.

APPLICABILITY

All Caltrans employees.

Original signed by:

3/13/2014

RICHARD D. LAND
Chief Deputy Director

Date Signed



Hiring

Smart

Guide



For MANAGERS and SUPERVISORS



Division of Human Resources
Serving the People of Caltrans

Updated: December 2014

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INTRODUCTION

The purpose of this guide is to provide managers and supervisors with a step-by-step, merit-based, process to hire the most qualified candidates for vacant positions. The provided steps outline the hiring process, from funding approval to supervising probationary employees. The steps herein are to be followed by all supervisors and managers at Headquarters and in the Districts. A list of forms and links referenced throughout the guide can be found at the end of this document.

SUPERVISOR/MANAGER HIRING REVIEW TOOL

The hiring supervisor should review staffing ratios and the level of a position before filling a vacancy. The *Hiring Considerations Form* (PM-1006) was developed to assist managers and supervisors in maximizing the use of their existing staff and to consider other options available prior to filling a vacancy. The *Hiring Considerations Form* may be accessed on Caltrans intranet: <http://cefs2.dot.ca.gov:8080/v2Forms/servlet/FormRenderer?frmid=PM1006&distpath=adminsvcctr&brapath=personnel>.

Manager and Supervisor Ratios

Supervisors and managers should strive to maintain the appropriate supervisor to employee ratio for that classification. The Division of Human Resources (DHR) Analyst will review the hiring package to ensure staffing ratios are correct. The following factors will be considered by DHR when evaluating appropriate staffing ratios:

- Job complexity and duties
- Similarity of subordinate jobs
- Physical proximity of subordinates
- Levels and abilities of employees
- Subordinate managers and supervisors

Information regarding current staffing ratios can be found on DHR's website at: http://admin.dot.ca.gov/PDFs/SupRatioGuidelines_090513.pdf.

To assist in this effort, each district/division is required to electronically submit current signed organizational charts March 1st and October 1st, respectively. DHR will meet annually with each division and district to discuss and evaluate the appropriateness of their ratios and assess any necessary changes. DHR will also prepare a summary of the department-wide span of control ratios and a summary of each district and division's ratios for the Caltrans Executive Board.

Appropriate Classification Use

To achieve efficient and appropriate hiring within Caltrans supervisors and their chain of command should candidly assess the requirements of each position

when a vacancy occurs. An evaluation of the vacant position should be conducted by the hiring supervisor/manager prior to submitting a PARF package to DHR. The *Hiring Considerations Form* may be accessed on Caltrans intranet: <http://cefs2.dot.ca.gov:8080/v2Forms/servlet/FormRenderer?frmid=PM1006&distpath=adminsvcctr&brapath=personnel>.

INITIATING THE HIRING PROCESS

To initiate the hiring process, the supervisor must complete a *Position Action Request Form (PARF)* (PM-0141) and create a PARF package to be submitted to DHR. The form may be accessed via the DHR website at: <http://cefs2.dot.ca.gov:8080/v2Forms/servlet/FormRenderer?frmid=PM0141&distpath=adminsvcctr&brapath=personnel>.

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 (see sample: Appendix A)
- Division's organizational chart that clearly identifies the affected position(s)
- Completed *Hiring Considerations Form* and proposed duty statement & proposed organizational chart (if requesting to reclassify a position)

The duty statement must thoroughly describe the actual tasks (duties) required for the position, indicate the percentage of time that will be required to perform these duties, the organizational setting and major functions of the unit. For assistance with creating a duty statement, the "Supervisor's Guide to Developing Duty Statements" is available on DHR's website in the *Supervisors' Resources*: http://admin.dot.ca.gov/hr/SUPERVISORS_RESOURCE/DutyStatements/GuideToDutyStatements.html.

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

A completed *Hiring Considerations Form* should accompany a PARF package involving position reclassification and those that require Department of Finance approval. The form should be prepared by the hiring supervisor or the division liaison and provide a brief explanation of why the position needs to be filled or reclassified. If the position is being reclassified, explanation should include what

duties have changed, why the changes are necessary, and the impact of the changes on the division or unit.

OBTAINING APPROVALS

All appointing documents require approval from the Deputy or Division Chief, District Resource Manager, Organizational Management, and Classification and Hiring Services. Other approvals, such as Department of Finance (DOF), may be required depending on the nature of the hire. The *Hiring Considerations Form* must accompany a PARF package for all position reclassifications that require DOF approval. The following guidelines apply to the approval process:

- DHR has delegated authority to reclassify positions and to move positions between functions/programs.
- DOF review is required for position upgrades/downgrades with a monthly maximum salary of \$7,152 or above, and for upgrade or downgrade transactions affecting Career Executive Assignment (CEA) positions.

Budget Approval

The Position Action Request Form (PARF) is sent to the Program Resource Manager for review and approval of funding for all requested hires. Once the funding for a vacant position is approved by the Program Resource Manager, the PARF package is forwarded to DHR's Organizational Management email box: Posmgmt.PARF@dot.ca.gov.

DHR Organizational Management Approval

In an effort to maintain authorized position levels, DHR's Organizational Management staff must verify the validity of the proposed position number. The staff will track the authority to use a position number, as well as any changes to the number that are reflected in the PARF package. Upon approval, the request is forwarded to the Classification & Hiring Analyst.

DHR Classification and Hiring Review

The Classification & Hiring Analyst reviews the duties of a position to ascertain whether they are appropriate for the classification. The analyst will review the duty statement, position explanation memo, organizational charts, and screening criteria submitted with the PARF package to determine that the duties and criteria are consistent with the class specification. If it is determined that the PARF package submitted cannot be approved, the analyst will provide options and alternatives to the supervisor.

The Classification & Hiring Analyst will also review and approve the allocation level for positions with new and revised duties. This review is based on hiring policies, class specifications, and allocation standards. Exceptions to these standards may require additional approvals at higher internal and/or external levels.

In addition to DHR approval, the Director's Office approves all requests for Career Executive Appointments. Consult your Classification & Hiring Analyst for a full description of the process, documentation requirements, and the various position levels affected.

After the PARF has received Resource Management, Organizational Management, and Classification and Hiring approval, the supervisor enters the recruitment phase of the hiring process.

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 California Department of Human Resources' (CalHR) web-based Vacant Positions Database (VPOS) 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. Your Classification & Hiring Analyst is available to assist in the development of advertisement verbiage.

The following types of appointment do NOT require advertisement:

- Conversion of 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)

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. For BU 12, please refer to Appendix F.

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. The Classification & Hiring Analyst can provide additional information regarding this process.

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 extraordinary circumstances, telephone contacts may be utilized in lieu of sending contact letters to candidates. Please contact the Classification & Hiring Analyst to verify qualifying circumstances and procedures for this process.

Prior to using any of these methods, the Classification & Hiring 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 must complete 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. This form is available at: <http://admin.dot.ca.gov/CEFS/>.

The completed *Confirmation Notice Regarding Eligibility for Appointment form* should be attached to the PARF package. Completing this form will document 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.

Note: Many examinations are offered online as self-rated Training and Experience evaluations. Though a candidate may be "reachable" on a certified eligible list, he/she has subjectively assessed their own experience. Therefore, the hiring supervisor and Classification and Hiring Analyst must validate the candidate's qualifications prior to appointment.

METHODS OF FILLING POSITIONS

There are a variety of appointment methods that 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
- Retired Annuitant – see Personnel Information Bulletin (PIB) No. 14-04 (http://admin.dot.ca.gov/hr/INFO_CENTER/PIBS/PIB14_04.pdf)

Other methods of appointment should be discussed with the Classification & Hiring Analyst.

PRIORITY PLACEMENTS

All employees who incur work or non-work related disabling illnesses or injuries must be provided with employment options that may enable them to return as productive State employees. If an injured or ill employee is unable to return to his/her usual and customary position, Caltrans is required to place that employee in a medically appropriate vacant position. Deputy Directive 61, *Return to Work*, can be accessed at:

http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/dd/dd_61.pdf.

Whenever priority placement considerations exist, recruitment efforts may be placed on hold until all attempts to return the impacted employee to work have been resolved. A vacancy does not need to be advertised and interviews are not required; however, supervisors should consult with DHR regarding other required clearances.

HARDSHIP TRANSFERS

Represented employees in BUs 1, 4, 9, 11, 14 and 15 *may* request hardship transfers pursuant to their collective bargaining contracts. Employees experiencing a verifiable hardship (e.g., domestic violence, mandatory job transfer of a spouse or domestic partner as defined in Family Code Section 297, family illness, serious health condition, or injury/death of a family member[s]), may request a transfer to another geographic area to mitigate the impact of their hardship.

The Hardship Transfer Committee, a panel comprised of upper-level management will review the request. The candidate must be able to laterally transfer, TCIC, or voluntarily demote to the identified position. If the request is denied, the Classification & Hiring Analyst will notify the requestor of the denial. If the request is approved, the receiving district/division's Classification & Hiring Analyst will identify potential positions in which to place the candidate. Only positions currently available, where interviews have not been conducted, will be considered. If multiple positions exist, the Classification & Hiring Analyst will assess the candidate's skill set with the assigned duties of the position to determine the best fit.

Once a position is identified, a Branch Chief from Classification and Hiring will contact the receiving District Deputy Director of Administration or Division Chief to advise him/her of the employee's placement.

CANDIDATE SELECTION

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

1. Screen Applications
2. Select the Interview Panel
3. Develop Interview Questions
4. Conduct Interviews
5. Check Candidate's References and Official Personnel File (OPF)
6. Verify Candidate's Eligibility for Appointment

The hiring supervisor should identify another person (who has no intention of applying for the position) to receive all employment applications. This person should date-stamp or manually indicate receipt by legibly signing and dating the application and remove the *Equal Employment Opportunity Questionnaires* if included with a candidate's application prior to any screening (the EEO Questionnaire is the last page of the employment 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 along with all applications received. For an overview of the Maintenance Hiring Process, please refer to Appendix G.

Step 1: Screen Applications

The hiring supervisor should screen applications prior to scheduling interviews to reduce the candidate pool to only those most qualified. Desirable qualifications can be included in the job announcement. Screening criteria samples can be found on DHR's website at:

http://admin.dot.ca.gov/PDFs/Screening_Criteria_Samples.pdf. Should the hiring supervisor elect not to screen applications, they must interview all applicants.

To screen applications, the supervisor should:

- 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. Keep in mind that the criteria must be something you can determine by reviewing the completed job application. Screening criteria should be established before any applications are viewed or received.
- Consult with the Classification & Hiring Analyst prior to conducting interviews to confirm that all potential interviewees are eligible for appointment. The hiring supervisor should interview only those candidates who are eligible for appointment.
- When interviews have concluded, supervisor must review employee's Official Personnel File (OPF), check references, and complete the *Authorization to Release Personnel Information* (form PM-0078). It is recommended to complete this review for at least the top two candidates.
- Once a final candidate is selected, the hiring supervisor must provide a completed copy of the screening criteria indicating all applicants and their screening rating, and the completed *Authorization to Release Personnel Information*. This will accompany the ARF that's submitted to the Classification & Hiring Analyst.
- Supervisors should send letters to applicants who were not selected for an interview thanking them for their interest in the position and inviting them to apply for future vacancies (see Appendix B).

Step 2: Select the Interview Panel

State and Federal law mandates 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.

To ensure Caltrans is in compliance with the law, hiring supervisors should select panel members from their district or program who are familiar with the job requirements, interview practices, and Caltrans' Equal Employment Opportunity (EEO) policies/directives. Supervisors are encouraged to contact the EEO Office for assistance regarding applicable regulations. Current contact information for EEO can be found at: <http://admin.dot.ca.gov/hr/eo/>.

A minimum of two panel members shall be present to ensure equity in the interview process. Panel members should be in a higher classification than the position being filled. Questions regarding interview panels should be directed to your Classification and Hiring Analyst.

Step 3: Develop 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 should develop and utilize interview questions that cover the scope of the duty statement, including critical job requirements and essential job functions that were posted in the VPOS announcement. All candidates should be 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 be successful in the position.

The district/program EEO Officer is available to assist the hiring supervisor with preparing nondiscriminatory interview questions. The Classification and Hiring Analyst is also available to assist in the construction of job-related interview materials.

The hiring supervisor should develop 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.

The following are examples of critical job-related criteria that should be considered in the development of interview questions and scoring criteria:

- Skills/Abilities: Numerical, reading, speaking, writing, operating equipment, etc.
- Job Knowledge: Technical laws and rules, pertinent training received, experience in similar positions.
- Supervision: Planning, instructing, organizing, leading, motivating, and disciplining.
- Self-Development: Evidence of interest in the field's formal course study.
- Interpersonal Skills: Tact, persuasion, creativity, flexibility, communication, and maturity.
- Analytical Skills: Problem solving, evaluating alternatives, developing new procedures.

(a) 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 the development of 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.

(b) How to Ask Questions

Learn the proper use of direct questions, open questions, leading questions, and situational questions. Following are the forms of questions most commonly used:

- The Direct Question: Often starts with the "w" words: "What are the most important duties in your present position?" "When did you first act as a supervisor?" "Who takes the chief's place in his/her absence?" "Why did you leave your last position?"
- The Open Question: Allows the candidate to select the material to include in the answer. Example: "Tell us about your experience with the Landscape Company." "Describe your qualifications for this position?" Behavior based questions about past experiences are the best predictor of future performance.
- The Leading Question: Generally used to confirm some information the interviewer already has. Leading questions can typically be answered "yes" or "no".
- The Situational Question (also called "hypothetical"): Often begins, "What do you think you would do if...?" Describe a situation in which the applicant is the central figure and ask how he/she would proceed. Examples: "You are a Maintenance Supervisor in charge of a work detail and one of your employees refused to work; how would you address

this?" "You are an Auditor checking a contractor's records and you find evidence of embezzlement; how would you address this?"

- Other Information: Candidates should be given the opportunity to offer additional information.

(c) What Not to Ask

The interviewer should 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
- 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

Step 4: Conduct Interviews

The hiring supervisor should decide the following before interviews begin:

- Setting
 - Privacy
 - Comfort for applicant
 - Pencil and paper for panel members to take notes
 - Applications and related documents
- Interview Format
 - Sample work activity (Example: have the applicant perform a writing exercise)
 - Questions
 - Copy of questions for applicant to read along
- Time allowance
 - To complete interview
 - To record additional notes
 - To complete scoring
 - To prepare for the next interview

Predetermine rating method (additional information on this subject is provided under the heading “Assign Ratings” on page 14).

When conducting an interview, the hiring supervisor should:

- Review the application before the candidate enters the interview room, noting any items that may require follow-up.
- Greet applicant and state purpose of interview.
 - Be open and friendly; establish and maintain rapport.
 - Introduce yourself and the rest of the panel.
 - Go over the interview format.
 - Explain evaluation process, including file review and reference checking.
 - Describe time frames/process for making a decision.
- Describe the job and organization.
 - Briefly describe where the job fits into the organization (organizational charts).
 - Briefly describe the unit/program responsibilities.
 - Allow candidate to review the job duty statement, and answer any questions he/she may have.
- Verify information on application/resume.
 - All candidates should have completed and signed an *Examination/Employment Application* (STD 678).
 - Review relevant experience/education.
 - Ask about any gaps in employment; clarify discrepancies.
- Ask structured questions.
 - Limit the content of the interview to job-related knowledge, skills, and abilities.
 - Use open-ended, behavioral-based questions.
 - Ask same questions of all candidates; follow up questions are permitted if the same opportunity to provide clarification is offered to all candidates.
- Ask yes/no questions about unchangeable working conditions:
 - Working hours/schedule
 - Mandatory overtime
 - Travel requirements
- Allow applicant the opportunity to ask questions or make comments.

- Thank the applicant for participating in the interview.
- Reminders:
 - Use fair and impartial criteria to rate each candidate.
 - Cover the same issues and subject matter with each applicant.
 - Take notes to support ratings.
 - Do not solicit waivers!
- Review notes and record score.

During the interview, the panel must inform candidates of the intent to contact previous supervisors and that the Official Personnel File (OPF) will be reviewed. During the interview process, a hiring supervisor must have the applicant sign an *Authorization for Release of Information Form* (PM-0078), which grants the hiring supervisor approval to contact references and review their OPF. The form can be accessed on Caltrans' Forms Management website at: <http://cefs.dot.ca.gov/jsp/forms.jsp>.

Note: Panel members should take notes on the applicant's qualifications during the interview (see Appendix C). The hiring supervisor must maintain 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.

(a) Discuss Candidate's Qualifications

After the interview, panel members should objectively discuss each competitor's qualifications. It is best to delay any mention of specific scores until after each applicant's strengths and weaknesses have been identified. The discussion can 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. This can be done using a series of questions:
 - Who in this group seems most competent? Why?
 - Which one seems least competent?

- In what order would you rank the applicants? In what way is one applicant more qualified than the other?
- Would all of them be able to handle the job satisfactorily?
- On our rating scale, how do you rate the top competitor? The lowest?
- Are there applicants of equal competence who should be given the same rating?

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

(b) Assign Ratings

Ratings should 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 should consider critical job requirements 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.

Step 5: Check References

It is very important that supervisors check references provided by candidates they are interested in hiring in an effort to learn as much as possible about the applicant’s previous work history, performance and other job related information. Reference checks must include the current and previous supervisor if they are available. Hiring supervisors may contact anyone indicated on the application, as well as those provided on the *Authorization to Release Personnel Information* form (PM-0078). Sample reference check questions can be found in the Appendix of this guide (see Appendix E).

Note: Managers or supervisors shall not ask questions during the interview or reference checking process that may prompt disclosure of a disability or medical condition. The manager or supervisor may ask questions related to attendance if it is related to an essential function of the job. If you are unsure, please consult with your Classification & Hiring Analyst for assistance.

Step 6: Review Official Personnel File

During the interview process, a hiring supervisor must have the applicant sign an *Authorization for Release of Personnel Information* form (PM-0078), which grants the hiring supervisor approval to contact references

and review their OPF. The form can be accessed on Caltrans' Forms Management website at: <http://cefs.dot.ca.gov/jsp/forms.jsp>. The hiring supervisor must review the candidate's OPF to look for items that may impact the hiring decision.

To request a copy of an employee's OPF, an email must be sent to DHR's Office of Transaction Services through an email account dedicated to this process: OPF@dot.ca.gov. The email must include the following information:

- Copy of signed *Authorization for Release of Personnel Information* form (PM-0078).
- Name of employee(s).
- District # where hiring supervisor works; this will assist DHR to know where to send the information.
- If in a district location, be sure to copy the District HR Liaison with your request so they may contact you when the file arrives.

The District HR Liaison will schedule an appointment for the hiring supervisor to review the OPF documents. The supervisor will not be permitted to take the materials with them, so they should be prepared to take notes. The materials will be destroyed by the liaison after the review is complete.

The hiring supervisor may also choose to schedule an appointment to view the OPF at DHR, located in Sacramento at Farmers Market Plaza III. An email is still sent to OPF@dot.ca.gov, indicating the date(s) of the supervisor's potential visit. The supervisor will receive a response indicating if the requested date(s) can be accommodated.

If the employee currently works for the hiring supervisor and the hiring supervisor has completed a performance review of that employee within the last year, the OPF does not have to be viewed. The hiring supervisor can indicate this on the PM-0078 by checking the appropriate box, sign and date the form and then provide the completed form to the Classification & Hiring Analyst.

Step 7: Eligibility Check Prior to Job Offer

Once the interview process is complete and a candidate is selected, the hiring supervisor must contact the Classification & Hiring Analyst to confirm eligibility for appointment prior to making a conditional or final job offer.

The hiring supervisor should provide the Classification & Hiring Analyst with the following information for the selected candidate:

- Name
- Current civil service classification (if applicable)

- Signed and dated *Examination/Employment Application* (STD 678)
- Completed *Authorization to Release Personnel Information* (PM-0078) indicating Official Personnel File review has been done and references have been checked.
- Additional qualifying information such as transcripts, licenses, etc.

The Classification & Hiring Analyst will contact the district or program HR liaison with approval to extend the conditional or final job offer.

Note: It is professional courtesy and a good business practice to notify those candidates interviewed that are not selected for the job (see Appendix D).

JOB OFFER

It is very important to know the distinction between a *conditional job offer* and an *official* or *final job offer* to avoid confusing or disappointing the selected candidate.

Conditional Job Offer

A conditional job offer is any job offer requiring further information about or from the selected candidate. When extending this type of offer, the hiring supervisor must clearly explain that the offer is *conditional and dependent* upon DHR approval. The candidate should be instructed not to resign from his/her current job until the job offer is finalized, and that the final job offer and negotiation of a start date will follow after all approvals are obtained from DHR.

The following pre-employment considerations should be discussed with the Classification & Hiring Analyst and considered prior to making a final job offer:

- I-9 documentation (required of all employees new to Caltrans)
- Audiogram
- Medical exam
- Drug screening test
- License/certificate/education
- Oath of Allegiance
- Signed duty statement

Specific clearances required depend on the classification of the position. The Classification & Hiring Analyst will provide assistance on the particular clearance requirements associated with each classification.

Salary

California State Civil Service has very strict rules regarding an employee's salary. Salaries are set via contract between various unions and CalHR. These contracts are ratified by the Legislature and signed into law by the Governor.

Generally, new State employees begin at the minimum salary level identified for their civil service classification. Salaries cannot be negotiated and specifics are not to be discussed by the hiring supervisor with the selected candidate. You may refer the candidate to the Classification & Hiring Analyst. Limited exceptions to this rule are described below:

Deep Class/Range Placements: A deep class can contain multiple salary ranges. Each deep class has specific Alternate Range Criteria (ARC) a candidate must meet to be placed above the first range. ARC may consist of additional experience, education, or licensing for each range. The employee appointed to an alternate range begins at the minimum salary for that range. Supervisors must request the Classification & Hiring Analyst evaluate the application of their potential hire to determine the appropriate range *prior* to making a conditional job offer.

Hiring Above Minimum (HAM): A HAM allows Caltrans to authorize a starting salary that is above the minimum rate in a salary range. HAMs may be authorized to facilitate hiring candidates with extraordinary qualifications, prior experience, and/or competing salary for classifications with documented recruitment difficulty.

HAM salaries are authorized for initial appointments only, and must be requested and approved **before** a candidate accepts employment. Supervisors who are considering offering a HAM salary should discuss eligibility requirements with their Classification & Hiring Analyst prior to making a conditional job offer. You may access the *HAM Request Form* by using the following link: <http://cefs.dot.ca.gov/>.

Final Job Offer

Once pre-employment requirements and other DHR approvals have been authorized by the Classification & Hiring Analyst, an official job offer may be extended to the selected candidate. A start date can be established at this point.

Roles and responsibilities of the hiring supervisor and Classification & Hiring Analyst in the final job offer are:

Classification & Hiring Analyst

- Contacts supervisor and authorizes him/her to make final job offer.
- Advises supervisor about length of probationary period for new hire.
- Requests completed *Appointment Request Form* (PM-0142) from liaison or hiring supervisor.

Hiring Supervisor

- Makes the final job offer.
- Negotiates a start date with the candidate's current supervisor.
- Obtains a signed and dated duty statement from the candidate.

- Contacts the Classification & Hiring Analyst to provide the start date of the hire.

COMPLETING THE HIRE

Duty Statement

Caltrans requires that a signed duty statement must be maintained on file for all employees. It is the supervisor's responsibility to secure the signature on the duty statement for all new hires or transfer employees. Once the signature is obtained, the supervisor should submit the signed duty statement to the Classification & Hiring Analyst. The duty statement will be maintained with the complete PARF package and a copy will be placed in the employee's Official Personnel File.

Moving and Relocation Expenses

Relocation benefits may be appropriate when a permanent State employee is required by an appointing power to change his/her place of residence because of a change in assignment, promotion, or other duty-related reason(s). These employees may be eligible to receive relocation benefits in accordance with CalHR regulations or bargaining unit contracts. These conditions and provisions are found in the *Caltrans Travel and Expense Guide* located at:

<http://www.dot.ca.gov/hq/asc/travel/>.

Note: Relocation assistance is available to new engineering and surveying out-of-state hires. Relocation reimbursement is limited to \$1,000 and requires verification. Please refer to the *Caltrans Travel and Expense Guide* for additional information.

On-boarding New Employees

Employees who are new to State service receive a New Employee Orientation binder from the HR Liaison during the first week of employment. The hiring supervisor is responsible for scheduling the new employee for formal orientation with the Learning and Development Office. The hiring supervisor must meet with the new employee to discuss expectations (in writing), as well as Caltrans directives and policies. Online New Employee Orientation training can be accessed at:

http://admin.dot.ca.gov/tr/ldo/new_emp_orient_e_learning.shtml.

The hiring supervisor must give new employees the appropriate Expectations Memo available at

http://admin.dot.ca.gov/Safety_and_Management_Services/Labor_Relations/Expectations_Memos.html.

Each hiring supervisor must retain a copy of the Expectations Memo signed and dated by the new employee and the supervisor. A signed copy of this memo shall be placed in the Official Personnel File of each new employee.

SUPERVISING PROBATIONARY EMPLOYEES

The probationary period is considered the last phase of the hiring process. As such, it is crucial that supervisors provide new employees with coaching, training, and feedback on their performance during the probationary period. Efforts to communicate expectations, provide adequate training, and recognize successes and positive performance are important aspects of supervision. It is equally important to document all significant aspects of performance, including any serious problems with employee performance or behavior.

For comprehensive information on the probationary process, the Supervisor may refer to the *Guide to Supervising Probationary Employees* available at: http://admin.dot.ca.gov/hr/PDFs/Guides/Prob_Guide_012999.pdf.

The Office of Discipline Services (ODS) is available to answer questions related to the probationary period, and advise the supervisor should serious employee performance problems arise. The ODS website can be accessed at: http://admin.dot.ca.gov/Safety_and_Management_Services/Discipline_Services/

The Report of *Performance for Probationary Employee Form* (STD 636) (for non-supervisors or managers), *Supervisory Annual/Supervisory & Managerial Probationary Report* (PM-0944), and *CEA, Managerial Annual Performance Plan, Contract and Review Form* (PM-0945), may be accessed on Caltrans Electronic Forms at: <http://cefs.dot.ca.gov/>.

When a candidate is appointed, DHR's Office of Transaction Services will provide a notice of "Probation Report Due Dates" to the supervisor with a copy of the appropriate probationary report form. The supervisor is then responsible for completing the probationary reports according to the identified dates, and providing copies of those reports to the appropriate Personnel Specialist in the Office of Transactions Services to be placed in the employee's OPF.

FORMS

Forms below may be accessed at Caltrans Electronic Forms System (CEFS):
<http://admin.dot.ca.gov/CEFS/>

(Note: Remove the dash from the Form # when searching forms by number online.)

| FORM# | FORM NAME |
|--------------|---|
| STD-678 | Application for State Employment |
| PM-0142 | Appointment Request Form |
| PM-S-0003 | Audiometric Evaluation Form |
| PM-0078 | Authorization to Release Personnel Information |
| PM-0183 | Confirmation Notice Regarding Eligibility for Appointment |
| PM-0083 | Corrective Action Plan (CAP) Form |
| ASC-3001 | Employee Relocation Fact Sheet |
| PM-1006 | Hiring Considerations Form |
| PM-0070 | Hiring Checklist - Supervisors |
| ASC-255 | Moving Service Authorization |
| PM-0068 | Out of Class |
| PM-0141 | Position Action Request Form (PARF) |
| STD-636 | Report of Performance for Probationary Employees |
| PM-0058 | Request to Transfer List Eligibility |
| PM-0009 | Training and Development Assignment |
| FA-0302 | Travel Expense Claim |

ONLINE RESOURCES

The following links are listed alphabetically by subject.

Accounting

<http://accounting.onramp.dot.ca.gov/>

CalHR Free Training for Managers and Supervisors (Various Subjects)

<http://www.calhr.ca.gov/Training/Pages/main.aspx>

Caltrans Travel & Expense Guide

<http://www.dot.ca.gov/hq/asc/travel/index.htm>

CEFS for all Official Departmental Forms

<http://admin.dot.ca.gov/CEFS>

Duty Statement Guidelines

http://admin.dot.ca.gov/hr/SUPERVISORS_RESOURCE/DutyStatements/GuideToDutyStatements.html

Employment Reference Checking

http://admin.dot.ca.gov/hr/SUPERVISORS_RESOURCE/WordFiles/referencecheckspml9360_071502.pdf

Exam Announcements

<http://www1.dot.ca.gov/hq/jobs/examinat.htm>

Family Medical Leave Act – FMLA

<http://admin.dot.ca.gov/hr/FMLA/fmla.html>

On-line Accreditation

<http://www.chea.org/>

Probationary Employees- Supervisors Guide

http://admin.dot.ca.gov/hr/PDFs/Guides/Prob_Guide_012999.pdf

Post and Bid

<http://www.dot.ca.gov/hq/jobs/postandbid/postandbidmain.htm>

Workers Compensation/ Return to Work/ Reasonable Accommodation

http://admin.dot.ca.gov/hr/WC_RA/wc/wcomp.html

SPB Job Search (WVPOS)

<http://www.jobs.ca.gov>

SROA/Surplus

<http://www.calhr.ca.gov/employees/Pages/state-restriction-of-appointments.aspx>

Vacancy Advertisement Form (PM-0907)

<http://cefs.dot.ca.gov/>

APPENDICES

| APPENDIX | TITLE |
|-----------------|--|
| A | Screening Criteria Sample |
| B | “No Interview” Sample Letter |
| C | Interview Notes Sample |
| D | “Post Interview” Sample Letter |
| E | Employment Reference Questions |
| F | Bargaining Unit 12 Post & Bid Guidelines |
| G | Maintenance Hiring Process |
| H | Maintenance Hiring Process Flow Chart |
| I | Caltrans Hiring Process Flow Chart |

APPENDIX B

DEPARTMENT OF TRANSPORTATION

DIVISION OF HUMAN RESOURCES
P.O. BOX 168037 MS-90
SACRAMENTO, CA 95816-8837
PHONE (916) 227-7800
FAX (916) 227-4921
TTY 711
www.dot.ca.gov



*Serious drought
Help save water!*

<Date>

<Mr./Ms.><First Name><Last Name>
<Title>
<Organization>
<Address>
<City, ST ZIP>

Dear <Mr./Ms.><Last Name>:

Thank you for your interest in the Classification Title position in Caltrans' Division/District Name. The candidate group was extremely competitive. While you were not selected to be interviewed for the position, we hope you will consider our organization for future employment considerations.

We wish you well in your future career endeavors.

Sincerely,

NAME
Title
Division

APPENDIX C

Interview Notes

Position: _____
Date: _____
Panel Member: _____

Question:

Candidate's Response:

| OVERALL RATING | | |
|--------------------------|--------------------------|--------------------------|
| Did Not Meet | Successful | Exceptional |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

APPENDIX D

DEPARTMENT OF TRANSPORTATION

DIVISION OF HUMAN RESOURCES
P.O. BOX 168037 MS-90
SACRAMENTO, CA 95816-8837
PHONE (916) 227-7800
FAX (916) 227-4921
TTY 711
www.dot.ca.gov



*Serious drought
Help save water!*

<Date>

<Mr./Ms.><First Name><Last Name>
<Title>
<Organization>
<Address>
<City, ST ZIP>

Dear <Mr./Ms.><Last Name>:

Thank you for participating in the interview for the Classification Title position in Caltrans' Division/District Name. The candidate group was extremely competitive and selecting from among them was difficult. At this time, you have not been chosen to fill the position.

We appreciate your interest in our organization and wish you well in your future career endeavors. If you would like to discuss your interview, I can be reached at (XXX) XXX-XXXX or email.address@dot.ca.gov.

Sincerely,

NAME
Title
Division

Is this correct? If not, please explain.

3. How long did you supervise the candidate?

From _____ to _____.
BEGINNING DATE ENDING DATE

4. What is/was the quality of the candidate's work in comparison to others in the unit?

5. Describe what strengths the candidate would bring to the Unit/Department?

6. Describe any shortcomings.

7. What personal characteristics would you suggest could be worked on to improve overall performance?

8. Describe the candidates working relationship with peers.

With management?

9. Please comment on the following:

(a) Attendance? Does he/she follow attendance procedures?

(b) Ability to follow instructions:

(c) Willingness to take on responsibility:

(d) Degree of supervision needed:

(e) Level of detail and accuracy in work:

(f) Organization of work:

(g) Ability to communicate in writing/verbally:

(h) Ability to prioritize work:

(i) Ability to meet deadlines:

(j) Ability to accept constructive criticism:

10. Have you ever taken disciplinary/adverse action against this employee? Please elaborate.

11. Do you have any reservations about recommending the candidate for this job?

If yes, please explain.

12. Would you rehire he/she if you had the opportunity?

If no, please explain.

13. Are there any other work related factors that we should consider in making a decision to hire this Candidate?

APPENDIX F

BARGAINING UNIT 12 CLASSES POST AND BID HIRING REQUIREMENTS ALL POSITIONS

In accordance with Memorandum of Understanding, Article 17, all vacant R12 positions shall be offered under the provision of the Post and Bid (P&B) process. Vacant positions are defined as a permanent – full time position which is unoccupied as a result of retirement, transfer, termination, resignation, reassignment, new position, promotion, change in tenure to permanent, or new funding.

For all positions a Bid announcement must be placed both at the work site and online at http://admin.dot.ca.gov/hr/post_and_bid/index.html. The Division of Human Resources (DHR) and the Division of Safety and Management Services (DSMS) will be available to Regions' Supervisors and Managers that have questions related to this process.

POST AND BID ELIGIBILITY

In accordance with P&B, there is no “selection process”. This means there will be no interviews or other criteria taken into consideration other than the negotiated contract terms that define an eligible bidder:

1. An employee having permanent full time status at the work location in the classification of the posted position. This means having passed probation. Seniority for eligible candidates who have completed an apprenticeship program is calculated back to the date of indenture.
2. The employee must possess the requisite skills and abilities required of the vacant position.
3. An employee who has any documented substandard performance (formal sustained discipline or improvement needed on their IDP) within the last 12 months may not be considered for transfer.
4. An employee who has accepted 2 post and bid positions locally in the last 12 months is not eligible until 12 months after their first position start date to post and bid locally. An employee who has accepted 2 post and bid positions as outside transfers in the last 12 months is not eligible until 12 months after their first position start date to post and bid as outside transfers.

POST AND BID PROCESS

Overview of the P&B Procedures:

- Program prepares the P&B advertisements and sends them to LR.
- LR forwards all Bid ads to the District Statewide Coordinators on a weekly basis. These ads are required to be posted at the District work locations for a minimum of 7 days. They are also forwarded to DHR to post online for all employees.
- At the close of the P&B process, 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 (MOU) interpretation to LR. If no bids were received, program notifies their C&H analyst.
- Once the bidder has accepted the job offer, program must scan the ARF and all Bid Applications to their C&H analyst for audit purposes.
- C&H Analyst will ensure the transaction is keyed as a 120 within the Region, or an A02 between Regions and/or Districts.

POSITION HAS NO BIDS

If no bidders apply, per the MOU “management may fill (the position) by any means at its disposal”, including the following actions:

- If the position will be advertised under the normal recruitment process and filled at the current level, a BU12 P&B Form must be attached to the PARF and clearly indicate that no bids were received.
- If the position will be downgraded the position will need to be P&B at that new level and the same process applies as indicated above.

PROMOTION IN PLACE

Promotion in place can only occur under the following circumstances:

- If no bids are received for a vacant position that is bid at the higher level and at the lower level, the position can be filled at the lower level and upgraded in place in the future.

For example:

A CEO II vacancy has no bids, the program then downgrades the position to a CEO I and has no bids; the position can be filled at the CEO I level and later upgraded in place once the current incumbent is eligible and reachable on a certification list. The Bid package for both levels will need to be included with the PARF package as documentation.

- Promotions in place **shall** not occur under any other circumstances.

For those regional offices that no longer have an RAO available to facilitate the Post and Bid process, the hiring supervisors or managers must work directly with their assigned Classification and Hiring analyst in the Division of Human Resources to obtain the information needed to award a bid or with their assigned LRO for MOU questions and interpretation. In addition, it is important that all Post and Bid position advertisements and bid applications be included with the PARF packages.

APPENDIX G

MAINTENANCE HIRING PROCESS ALL POSITIONS

OVERVIEW

In an effort to standardize hiring for the Division of Maintenance, the following process shall be implemented for all Maintenance hires. The Division of Human Resources (DHR) Office of Classification & Hiring Services staff will now receive all applications submitted for an advertised vacancy. The hiring supervisor (or other appropriate staff) will be the point of contact for questions related to duties of the position. All Post and Bid requirements will remain in place for Bargaining Units 11 and 12.

APPLICATION PROCESS

- Submit PARF with appropriate approvals and attachments along with the VPOS advertisement and Screening Criteria to the PARF email account: PosMgmt.PARF@dot.ca.gov. The hiring supervisor/RAO/district staff person may be identified by name and phone number in the VPOS ad to answer questions related to the position.
- Once approved, the DHR analyst will post the VPOS advertisement and receive all applications.
- All applications must be **postmarked** by the final filing date (FFD) and mailed to either DHR's Southern California or Headquarters Office. Late applications will only be accepted with proof of mailing prior to the final filing date.
- DHR will enter all applicants' names into the Screening Criteria form originally provided with the PARF package. All applications and the Screening Criteria form indicating all applicants will be forwarded to the hiring supervisor for screening.
- Hiring supervisors may choose to interview all applicants without screening. If this is the case, the hiring supervisor must sign the Screening Criteria form provided by DHR that lists all applicant names (no scores needed) certifying that all applicants were interviewed and provide that signed copy to the DHR analyst.
- If the hiring supervisor chooses to screen the applications, they will do so and then establish a pass point. The names of those applicants scoring at or above the pass point should be sent to the DHR analyst for a preliminary eligibility check. In turn, the analyst will provide the hiring supervisor with the names of those that are eligible for interview.

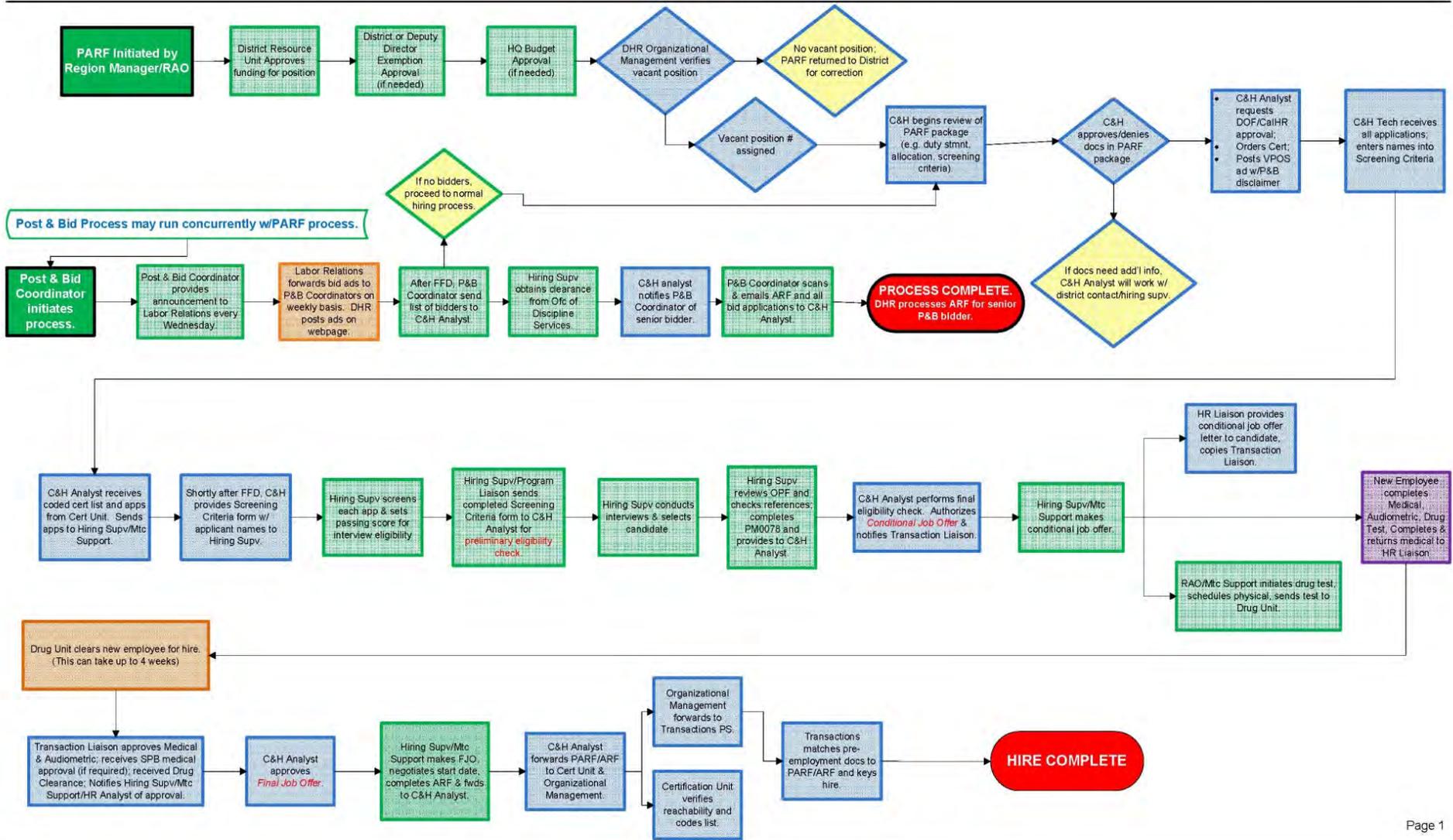
- After interviews are held, the hiring supervisor must complete the *Authorization for Release of Personnel Information* form (PM-0078) by checking references and reviewing the Official Personnel File (OPF) of the top candidates. If the employee(s) currently works for the hiring supervisor and the hiring supervisor has completed a performance review of that employee within the last year, the OPF does not have to be viewed. However, the PM-0078 must still be completed and provided to the Classification & Hiring Analyst with the PARF package indicating references were checked, etc.
- Once a final candidate is selected, the hiring supervisor will provide the completed PM-0078 to the DHR analyst to confirm the selection and a final eligibility check will be completed at that time.
- The HR Liaison will prepare the pre-employment notice and send it to the selected candidate in coordination with the Hiring Supervisor.
- Once pre-employment clearance is approved by DHR, the Hiring Supervisor may move forward with the hire and make a final job offer.

APPENDIX H

MAINTENANCE HIRING PROCESS

OCTOBER 2014

- MAINTENANCE
- LR/DRUG UNIT
- HQ DHR
- NEW EMPLOYEE

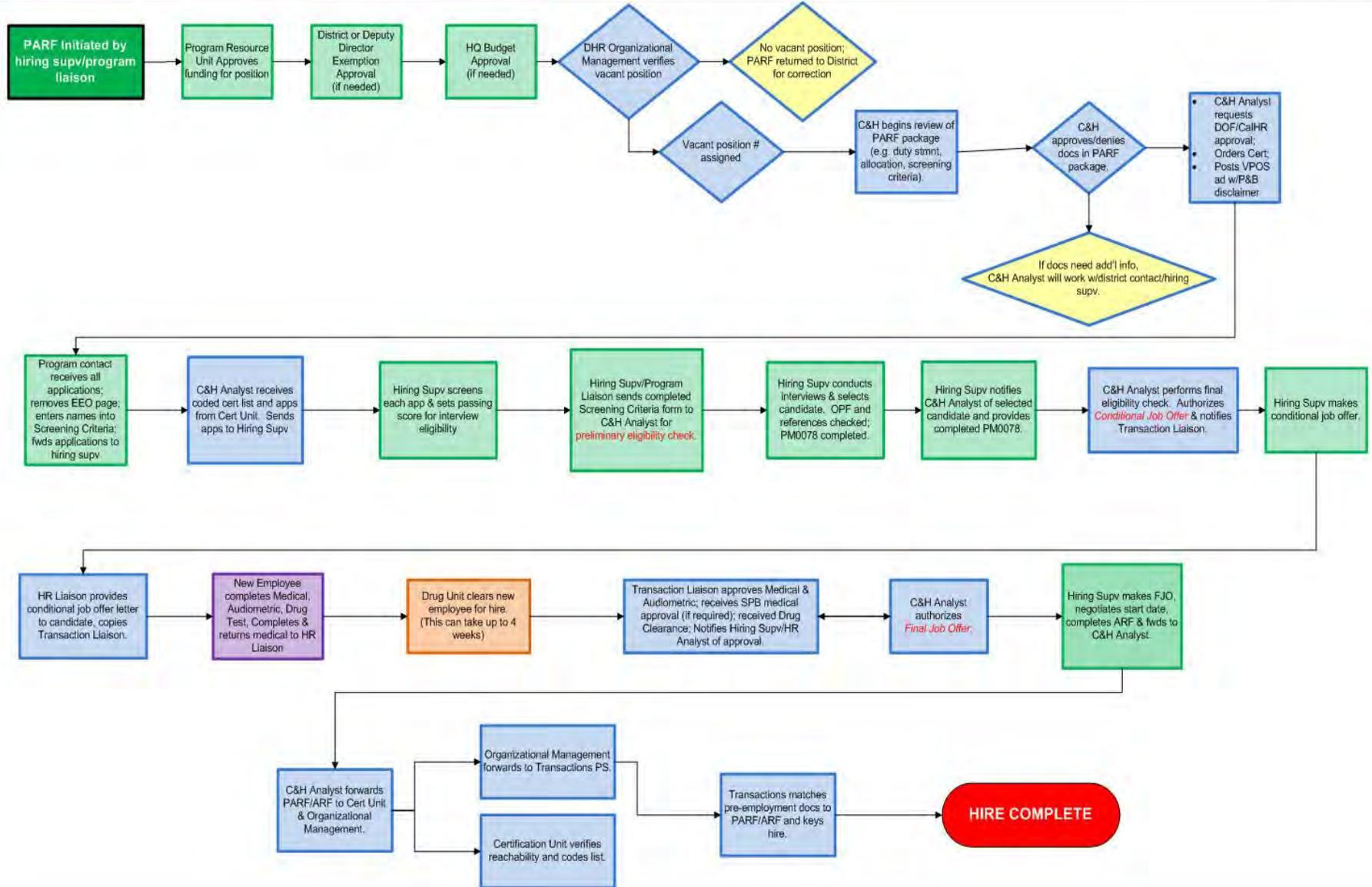


APPENDIX I

CALTRANS HIRING PROCESS

DECEMBER 2014

- PROGRAM
- LR/DRUG UNIT
- HQ DHR
- NEW EMPLOYEE



GUIDE TO SUPERVISING PROBATIONARY EMPLOYEES AND PREPARING INDIVIDUAL DEVELOPMENT PLANS



Division of Safety & Management Services
Office of Discipline Services
November 2012

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THE PROBATIONARY PERIOD: AN INTRODUCTION

The probationary period is considered the last phase of the hiring process. As such, it is crucial that you take special care and effort during an employee's probationary period to communicate your expectations to the employee, provide adequate training, recognize successes and positive performance, document all significant aspects of performance, and alert a member of the Office of Discipline Services if you observe any serious problems with the employee's performance.

Typically, for employees performing at or above an acceptable level, the reports are spaced evenly (every two months for a six month probationer; every four months for a twelve month probationer). This is your opportunity to share with the employee examples of their successful performance. Make sure you are specific with praise and encouragement.

If there happens to be unacceptable or deficient performance, suggestions for improvement should be brought to the employee's attention immediately, both verbally and in writing. For an employee performing at less than an acceptable level, the timing of these reports should be accelerated. As soon as you observe unacceptable behavior, you should prepare a report documenting the behavior and identifying your expectations regarding the employee's performance. Although this is not required of you, it is recommended (See page 18 of this guide for suggestions on how to communicate your expectations to your employee successfully).

When preparing a probationary report for an employee who is not meeting the performance standards, you should include specific examples of unsatisfactory performance to inform the employee of all items which need improvement. You should allow a reasonable period of time for the employee to bring his/her performance up to a satisfactory level.

You may prepare a supplemental probationary report at any time during the probationary period to recognize improvement or to define specific deficiencies and recommend corrective action.

When terminating a probationer, the burden of proof when appealing that rejection before the State Personnel Board (SPB), is on the employee. Once an employee passes probation and achieves permanent status, there is no longer an option to proceed with a rejection. Due to that status change, an employee is subject to adverse action, and the burden of proof shifts back to the employer to prove the charges in any adverse action appeal at a SPB Hearing.

Keep in mind, if an employee is rejected from probation, they should be treated with dignity and respect. It is the final phase of the selection or hiring process, and usually results when there has been a mismatch between the individual's abilities, and the requirements of the job.

PERFORMANCE APPRAISAL: PROBATIONARY REPORTS

Appraising employee performance is an important and continuous responsibility of supervisors at every level. Supervisors should ensure that each of their employees understands the requirements and expectations that are used to evaluate success or failure in their job. It is imperative that performance appraisals be conducted as scheduled. It can delay initiating a rejection, or a disciplinary action against an employee, if performance appraisals were not completed in a timely manner - or if completed, those performance appraisals failed to accurately document performance problems.

1. Essentials for Effective Performance Appraisals

- A. **An understanding of what is expected.** If clear, measurable performance standards can be identified, they should be written and discussed. (Prior to initiating or modifying standards, contact the Office of Labor Relations for assistance, as unions may need to be notified before performance standards can be adopted or modified.) In the absence of such standards, each supervisor should strive to achieve the best understanding concerning what is expected and how it will be measured, and effectively communicate this information to their employees. The employee should have a current duty statement.
- B. **Frequent feedback to the employees concerning performance.** Supervisors must keep their employees informed of the level of their performance. This is just as important in the case of standard performance, as it is for poor or outstanding performance. When employees fail to receive feedback, they have a tendency to reduce work efforts. When feedback is received, the tendency is to improve.
- C. **A willingness to communicate honestly and factually about job performance.** This applies to both the supervisor and the subordinate. Supervisors should be willing to state their honest opinion about job performance, and subordinates should be willing to express their opinion in this area. Effective communication results when both parties are willing to hear what the other has to say.

2. Conducting the Performance Appraisal Meeting

The supervisor should bear in mind that the principal purpose of the appraisal discussion is to improve communications between the supervisor and the employee.

Employees should not be surprised by the information shown on the appraisal form. It is the supervisor's responsibility to see that all employees receive

feedback on their performance on a continuous basis. There are no hard and fast rules for conducting appraisal discussions, but the following general guidelines should be considered by the supervisor.

- A. Be a good listener and keep the discussion focused on job performance. Some employees may tend to side-track the conversation.
- B. Don't criticize the person. Talk about what was, or what was not, done in the area of performance. Avoid any discussion of personal characteristics unless you feel they adversely affect the employee's performance.
- C. Never discuss any other individual's performance. Focus on the performance of the employee being appraised.
- D. Don't become emotional. Maintain a calm, professional attitude during the interview even if the employee cannot.
- E. Encourage the employee to discuss their own performance, objectives, and plans for the future.

3. Report of Performance for Probationary Employee – STD 636

A. Responsibility of the Supervisor

The Report of Performance for Probationary Employee is the supervisor's report to the employee concerning their performance abilities (see Appendix A). Supervisors should observe the probationer's job performance, work habits, attitude, relationships with other people, etc., on an ongoing basis to prepare for completing the report. A discussion should be held with every probationary employee regarding his/her work performance and progress. The appraisal interview provides an excellent forum for the supervisor to review any problems relating to the employee's work, to answer any questions the employee may have, to discuss office objectives, supervisory expectations, and develop better supervisor-employee understanding.

The employee's performance while on probation should not be measured against the performance of an employee with several years' experience in that classification. The supervisor should measure the employee's performance against the performance expected at that stage of the probationary period. As previously stated, it is important that the supervisor initiate the performance appraisal on a timely basis.

B. Preparing the Report

1) Rating Factors

The supervisor should complete Items 1 through 9 that are necessary for evaluation of the performance of the duties pertaining to the employee's position. At least the first six factors must be rated.

"X" marks are used to indicate the rating under the appropriate column.

All factors *not rated as standard* must be substantiated in the "Comments to Employee" section. If comments do not fit on the form, attach a separate sheet to the report.

2) Overall Rating

The Overall Rating must be checked, and should be reflective of the ratings of each individual factor and the comments. For example, five ratings of "standard" and one rating of "unsatisfactory" normally results in an overall rating of "standard." However, unsatisfactory ratings in just one or two areas of a critical nature may result in an overall unsatisfactory rating. If this is the case, then it is extremely important that the comments justify such a rating.

If the first and/or second probationary reports have an overall rating of "Improvement needed" or "unacceptable," they must be submitted to Personnel as quickly as possible in the event a rejection during probation is to be considered. If the supervisor is considering rejecting the employee during probation, it is the supervisor's responsibility to inform his/her supervisor and the Office of Discipline Services *well in advance* (preferably 6-8 weeks), of the completion of the employee's third probationary period.

In the "Comments to Employee" section, the supervisor should include specific comments on work especially well, or poorly done. If appropriate, specific suggestions should be given on how performance can be improved. Both the employee and supervisor should sign and date the report. If for any reason the employee refuses to sign the report, the supervisor should indicate so in the employee's signature block. Any changes made on the report subsequent to the signing by the employee must be initialed by the employee and the supervisor. Employees may be allowed to request a discussion of the report with the reviewing officer.

C. Responsibility of the Reviewing Officer

The reviewing officer is obligated to:

- 1) Ensure reports are promptly and thoroughly prepared.

- 2) Maintain uniformity in the application of standards and the consideration of Equal Employment Opportunity (EEO), by raters under his/her direction.
- 3) Take corrective action when bias or misinterpretation of rating standards is evident in the ratings.
- 4) Discuss the report with the rater or employee when requested or when otherwise appropriate.
- 5) Check the statements made in support of ratings that are not "standard" to ensure that the reasons are specific, substantial, and pertinent.

The Reviewing Officer may discuss a report with the Rater or employee if he/she does not agree with the Rater. If the Reviewing Officer recommends changes and the Rater agrees, the Rater may either make the changes or complete a new form. If the Rater does not concur with the Reviewing Officer's recommendations, the two parties should come to a mutual agreement. Changes made after discussing the report with the employee are not valid unless the employee is notified, the changes recorded on all copies, and all parties re-sign the report.

PROBATION CHECKLIST

You may use this checklist as a guide while your employee is serving a probationary period. Retain a copy in the file you keep regarding the employee.

Employee's Name: _____

Probation Reports Due: 1st _____
2nd _____
3rd _____

Remember that the probationary period is considered to be the last phase of the hiring process – this is the period in which to evaluate your new employee's individual abilities and how well those abilities match the requirements of the position.

As a supervisor, it is your responsibility to monitor your new employee during the probationary period to observe the probationer's job performance, work habits, attitude, relationships with other people and other relevant factors. You are not limited to only three probationary reports on your employee; you can prepare a supplemental report on a monthly or weekly basis as well, if necessary.

SETTING GROUND RULES WITH YOUR NEW EMPLOYEE

- Review any expectations you may have as a supervisor that goes beyond the duty statement (such as being to work on time, courtesy, and other good work habits).
- Go over the orientation checklist with the employee to make sure he/she has read and understands the Department's policies (i.e., Workplace Violence, Equal Employment Opportunity, Incompatible Activities, etc.).
- Be available to your new employee to discuss workplace issues.
- Keep track of formal and informal training offered to and completed by the employee, including on-the-job-training.
- Keep track of any counseling sessions you've had with the new employee and make a note of when they occurred and what was discussed.

FIRST REPORT OF PERFORMANCE FOR PROBATIONARY EMPLOYEE

- Begin documenting any work deficiencies and successes from the very start.
- Make sure not to measure the probationary employee's performance against the performance of an employee with several years of experience.
- Keep examples of good work products. Share with the employee why you think they are good examples, and express encouragement that he/she continues this level of performance.
- Keep examples of poor work products. Keep documentation on any other type of poor work performance. You will need to include this information if a rejection on probation occurs. List all of this information in the probation report itself. List the facts and dates supporting the reasons for your evaluation marks.
- It is important to conduct performance appraisals in a timely manner. The timing of the evaluation reports can be accelerated if necessary. Weekly or bi-monthly supplemental reports should be used if performance is below standard.
- All factors not rated as standard (*both* above and below standard) in the probationary report must be substantiated in the comments section. Be specific and accurate.
- If your report indicates any "improvement needed" or "unacceptable" ratings, call the Office of Discipline Services for an opportunity to have ODS review it before giving the report to the employee. Keep in mind if employee's work performance is poor, and you state it is standard, you cannot later use this to document poor performance.
- Suggest methods for improvement, if necessary.
- Although you may reject a probationary employee early in the probationary period, you should have documentation to support that the employee is performing substantially less satisfactorily than the average employee, or when there has been an outrageous incident of misconduct. **Contact the Office of Discipline Services if you are contemplating a rejection at this point.**
- If the probationary report contains ratings below standard, make sure to alert the employee to the fact that if improvement is not made, it may affect their ability to pass probation.

- If the probationary report contains ratings below standard, and you believe there may be contributing reasons outside of work that may be addressed by the Employee Assistance Program (EAP), you may provide EAP information to your employee – in a separate document. Do not include EAP information in the probationary report.

SECOND REPORT OF PERFORMANCE FOR PROBATIONARY EMPLOYEE

- Take this opportunity to review the previous probationary report, and any supplemental reports, acknowledge any progress that has been made or any new problems which may have surfaced. Note these observations on the 2nd probationary report.
- Suggest methods for improvement, if necessary.
- Keep examples of good work products. Share with the employee why you think they are good examples, and express encouragement that he/she continues this level of performance.
- If applicable, continue to keep examples of poor work products and documentation on any other type of poor work performance. List all of this information in the probationary report. List the facts and dates supporting the reasons for your evaluation ratings.
- If the probationary report's overall rating is below standard, make sure to alert the employee to the fact that if improvement is not made, it may affect his/her ability to pass probation.
- If your report indicates any "improvement needed" or "unacceptable" ratings, call the Office of Discipline Services for an opportunity to have ODS review it before giving the report to the employee; **OR if you are contemplating a rejection at this point.**
- If the probationary report contains ratings below standard, and you believe there may be contributing reasons outside of work that may be addressed by the Employee Assistance Program (EAP), you may provide EAP information to your employee – in a separate document. Do not include EAP information in the probationary report.

THIRD REPORT OF PERFORMANCE FOR PROBATIONARY EMPLOYEE

- Take this opportunity to review the previous probationary reports, and any supplemental reports. Acknowledge any progress that has been made or any new problems which may have surfaced. Note these observations on the probationary report.

- Keep examples of good work products. Share with the employee why you think they are good, and express encouragement that they continue this level of performance.
- If applicable, continue to keep examples of poor work products and documentation on any other type of poor work performance. List all of this information in the probationary report. List the facts and dates supporting the reasons for your evaluation marks.
- If the probationary report's overall rating is below standard, make sure to alert the employee that you are not going to recommend that he/she pass probation. Note this on the report. Gather all materials, previous probationary reports, your notes, examples of work products, and forward to the Office of Discipline Services along with a completed 'Request for Review and Recommendation of Disciplinary Action' form to start rejection (see Appendix B). Contact the Office of Discipline Services if you are contemplating a rejection at this point. You should notify the Office of Discipline Services **at least four weeks** (preferably six to eight weeks), before the end of the probationary period if you wish to pursue a rejection.

FREQUENTLY ASKED QUESTIONS
REGARDING THE PROBATIONARY PERIOD

➤ **Can a probationary period be extended?**

As a general rule, a probationary period can not be extended. Two exceptions to this rule are: (1) if the employee has been absent for a *considerable* period of time during his/her probation, impeding your ability to rate them (check with your Personnel Specialist to determine the exact number of hours to qualify for an extension); and (2) allowing proper time for service of a notice of rejection and additional time for the employee to respond to the notice.

➤ **How often should I prepare a probationary report?**

Typically, for employees performing at or above an acceptable level, the reports should be spaced evenly (every two months for a six month probationer and every four months for a twelve month probationer). If you are uncertain as to the length of the employee's probationary period, contact your Personnel Specialist.

➤ **What are the reasons to reject an employee on probation?**

Government Code §19173 states that a probationary employee may be rejected during the probationary period for reasons relating to:

- Qualifications,
- The good of the service, or
- Failure to demonstrate merit, efficiency, fitness and moral responsibility.

➤ **What if I don't receive the correct form to complete a probationary report?**

If you have not received any blank report forms from Human Resources, you can visit Caltrans E-Forms System at <http://cefs.dot.ca.gov/forms/index.html> to access and print a blank form. You can also contact your Personnel Specialist. Remember it is your responsibility to evaluate the employee whether you receive the forms or not.

➤ **Can I vary where I place the 'X' in the rating box?**

You may. The location of the 'X' in the rating column may be varied to give the employee a more precise indication as to his/her qualifications. When this is done, the farther the 'X' is placed to the right, the stronger the rating.

➤ **What types of things should I document?**

- Performance problems (dates, facts)
- Seriousness of the problem
- Frequency and nature of the problem
- Surrounding/extenuating circumstances
- Facts revolving around any incident
- Interviews with others (statements from complainants)
- Pertinent records and equipment
- Steps taken to resolve problems including:
 - Coaching sessions
 - Training classes

➤ **What resources are available to me to ensure I am doing all I can to make my employee successful during probation?**

- Your Chain of Command
- Division of Human Resources
http://admin.dot.ca.gov/hr/SUPERVISORS_RESOURCE/index.shtml
- Office of Discipline Services
http://admin.dot.ca.gov/hr/SUPERVISORS_RESOURCE/ODS/index.shtml
- Office of Driver Certification and Substance Testing (ODCAST)
- Employee Assistance Program
- Office of Labor Relations
- Guide to Supervising Probationary Employees and Individual Development Plans
- Training Office

➤ **What if I have less-than-desirable documentation, but I still want to reject the employee?**

Contact the Office of Discipline Services to discuss possible options.

➤ **What if employee refuses to sign the probationary report?**

Make a note of this on the report where the employee's signature should be. Use words to the effect "employee refuses to sign", and sign and date your name near that phrase.

➤ **When does a probationary period have to be served?**

The service of a probationary period is required when an employee enters or is promoted into State civil service by permanent appointment from an employment list; upon reinstatement after a break in continuity of service resulting from a permanent separation; or after any other type of appointment situation not specifically excepted from the probationary period requirement by statute or by

board rule. (Such as a transfer to a civil service classification which the employee has not held before.)

➤ **Is the employee entitled to representation during a performance review?**

In Robinson vs. State Personnel Board (1971) the Third District Court of Appeals found that:

“A State employee has a right to union representation at a meeting with his superiors held with a significant purpose to investigate facts to support disciplinary action and may not be dismissed (or interviewed) for attempted exercise of that right.”

A probationary review is not a disciplinary action.

Employees are not entitled to have a representative present during routine business communications that occur between a supervisor and employee, such as performance appraisals, training, job audits, counseling sessions and work-related instructions.

For more information, please consult with the Office of Discipline Services or the Office of Labor Relations Services.

➤ **If I have to give a negative evaluation, how do I avoid the situation from becoming tense when I meet with my employee to discuss these performance issues?**

- ✓ Focus on behavior and not the person.
- ✓ Speak calmly.
- ✓ Listen to what the employee is saying.
- ✓ Control your emotions.
- ✓ Show empathy and sympathy for the employee.
- ✓ Do not make sarcastic or personal remarks.
- ✓ Don't argue with the employee.
- ✓ Explain to the employee what you can do to help them.

CREATING A POSITIVE WORK ENVIRONMENT

The actions described below, when taken by the supervisor in a timely manner, should minimize the need for corrective actions and ideally foster self-discipline. Self-discipline is a force within an individual or group that drives an employee to do what is expected, not because of an expected reward or fear of punishment, but for self-satisfaction. Most people have the capacity for self-discipline, and it is the supervisor's goal to activate that potential.

1. Motivate Employees

In the preventive phase, motivating techniques are used to produce particular feelings towards the job. The following chart lists particular actions that tend to produce particular feelings.

| <u>ACTION:</u> | <u>LEADS TO:</u> |
|---|---|
| Interesting work | Accomplishment |
| Praise | Confidence |
| Promotion/Raise | Security/Financial Growth |
| Lead/Supervision of Others | Responsibility/Importance |
| Permissive Supervision | Responsibility/Confidence |
| Involvement and open discussion of unit's role/ goals and team work | Importance/Recognition support, understanding of expectations, cohesion, motivation |

The above chart lists several conditions and events that occur on the job and are effective in motivating employees. *Permissive supervision* is letting employees do a job their way. It contributes to the reinforcement of feelings of accomplishment. Also, giving an employee the opportunity to oversee the work of others reinforces both situation-oriented people and those with money/status motivations. The interesting thing about all of the above conditions is that they *are under the direct control of the supervisor*. Even when the supervisor cannot promote employees or give them a raise, it is within the power of the supervisor to arrange employees' work so they have autonomy, so that tasks assigned to them are challenging, yet within the scope of their capabilities, and so that they have an opportunity to oversee the work of other people.

2. Let Employees Know What is Expected

One of the most basic responsibilities of a supervisor is to ensure that employees know and understand what is expected of them. Expectations should be clearly communicated to employees and should be presented to employees verbally and in writing. You should develop expectations for your section/unit, and see that all employees (particularly new employees) discuss, sign, and receive copies. Establishing standards of conduct and ensuring employee understanding will greatly help in preventing instances of misconduct, thus reducing the need for corrective action.

A. Verbal Instruction

It is not necessary, nor is it practical to set all expectations in writing. Think of the consequences if a manager or supervisor were required to commit everything in writing. During the course of a day, a supervisor may have many occasions to give verbal direction to employees. Instructions should be given in a calm, concise manner and the supervisor should check to see that the employee understands the instruction.

When supervisors know that follow up will be required due to the significance of the instruction, they should follow up with the employee in writing to ensure instructions are being executed properly.

When corrective action is being considered due to an employee's failure to carry out a verbal instruction, the supervisor should consider:

- 1.) Who gave the instruction?
- 2.) If not given by the supervisor, what authority did the person have?
- 3.) What was the instruction?
- 4.) Did the employee understand the instruction?
- 5.) What was the situation?
- 6.) What did the employee do? Why?

B. Written Expectations

Acceptable standards of conduct and performance should be placed in writing when they are not self-evident (i.e., it is not necessary to tell employees they should not violate laws). Written expectations take many forms:

- 1.) Department, Office, Branch, desk, and technical manuals
- 2.) Duty statements
- 3.) Performance standards
- 4.) Management memos
- 5.) Training materials
- 6.) Department memos
- 7.) Records of work improvement discussion
- 8.) Director's Policies and Deputy Directives
- 9.) Performance evaluations (i.e. probations reports and IDPs)

It is the supervisor's responsibility to ensure that employees receive the information from these various sources. A comprehensive duty statement and office/desk manual should include relevant rules and expectations, thus centralizing the information for the employee.

Supervisors should also discuss new rules or policies with employees to ensure that employees understand the rules, and that it is clear to the employees how the changes will impact the office's operations. Supervisors also have the obligation to provide feedback to management when the employee has a problem complying with established rules or policies.

Employees should be included in the development of policies and procedures that will impact them. Employee participation may result in more realistic expectations and smoother implementation.

When supervisors are considering taking corrective action with an employee for failure to meet a written expectation, the supervisor should use a copy of the expectation for reference. Be sure to have a copy of your expectations that has been signed and dated by the employee.

3. Provide Training

Unless a particular skill is required to obtain a job [e.g., typing for an Office Assistant (Typing)], it may be necessary to provide training before you can expect the employee to perform up to expectations. Supervisors should ensure that employees receive necessary training and then closely monitor the employee's performance in those areas to see if the employee can properly apply the training to the job. When skills or knowledge are not used regularly, refresher training may be necessary. Often, refreshers can be provided on the job by the supervisor.

4. Create a Favorable Work Environment

A good work environment encourages employees to want to do their best work. Creating such an environment involves not only physical conditions, but also interpersonal relationships. An act of encouragement and praise for a job well done can be as conducive to maintaining good discipline as is correcting an employee who has been guilty of some act of misconduct.

Employees should feel free to offer suggestions for improvement in working methods and to bring problems to your attention. The existence of problems amongst your staff is not necessarily a reflection of your skills as a supervisor. You can encourage employees to bring their problems and suggestions to you by being open-minded and fair in handling their problems and evaluating their suggestions. Keep employees interested and involved by letting them know what the goal(s) is and how they are contributing towards attaining the goal.

As a supervisor, you should be ready to:

- A. Employ active listening skills when employees bring problems to you. By doing so, you can assist employees to work through their problems and find an acceptable solution.
- B. Adjust to a situation whenever necessary and when you are in a position to do so.
- C. Be familiar with the formal grievance and complaint procedure under the MOU (bargaining unit contract) for your employees, and be able to provide them with the proper forms or, if needed, assisting the employee in obtaining the proper forms.
- D. Refer to a higher authority those cases you cannot satisfactorily resolve. When this occurs, do not deny employees the opportunity to discuss a problem with a higher level authority as long as they follow the established lines of authority/chain of command. Use your internal resources such as the Office of Labor Relations Services, Office of Discipline Services, etc.

5. Set a Good Example

Proper conduct starts with you, the supervisor. Whether you are aware of it or not, your employees watch and evaluate you. You set the pattern of acceptable conduct and performance for your employees by what you do and what you don't do. While poor conduct by a supervisor will not excuse unacceptable performance of their employees, it will certainly complicate obtaining acceptable performance.

6. Maintain Impartial Control

One of the most common complaints by employees against their supervisor is that the supervisor does not apply work and accountability expectations equitably. Employees often feel they are being unfairly harassed by their supervisor and that rules are not applied equally and fairly.

Fair and impartial control creates respect. It is important not to let infractions go unnoticed; otherwise, employees will come to regard such infractions as acceptable practices. Stop infractions that have become accepted practice by issuing a statement of the change followed by impartial enforcement.

Never allow infractions to accumulate and become so aggravated that as the first corrective act you want the employee dismissed or want to impose severe punishment not in line with the infraction that triggered the aggravation.

Nothing will do more to undermine the morale of your employees and their confidence in you than the feeling that you are being arbitrary, unfair, or partial in the handling of your employees. Exhibit restraint when strong feelings make it difficult for you to handle the situation objectively. At such times, it may be best to delay any action and review the situation when you have regained your composure.

7. Establish Open Communications

Communication begins in the hiring interview and the need for it continues as long as the work relationship continues. The following guidelines will help the supervisor establish and maintain open communications.

- A. Discuss progress with probationary employees on a regular, planned basis. You can do more evaluations than the required minimum number of scheduled probation reports, if necessary.
- B. Make yourself available to all employees. If separated by location or shift, supervisors should make a point to contact employees face-to-face on a regular basis.
- C. Frequently provide employees with formative or motivational feedback as appropriate.

- D. Listen to and encourage employees to come to you with suggestions, concerns, and problems.
- E. Do not criticize employees in front of their peers.
- F. Keep employees informed of changes and news in the department.
- G. Follow up on employee concerns. Let them know what is or is not being done and why.

8. Manage Diversity

Caltrans is dedicated to providing a work environment that is free from discrimination and harassment. To be a successful supervisor depends on your ability to effectively manage the diverse talent that characterizes Caltrans workforce. Managing diversity successfully is achieved by establishing a work environment built upon fairness, acceptance, mutual respect, cooperation, and understanding among employees who are diverse in experience, education, age, gender, ethnic origin, physical abilities, religious/political beliefs, sexual orientation, or other perceived differences.

The concept of managing diversity reflects equal employment opportunity perspective and practices. Your EEO office can provide you with additional information and training to manage a diverse workforce.

9. Resolve Conflicts

Unresolved conflicts often lead to a need for formal action on the part of the supervisor as disputes evolve into deep splits among employees and, in some cases, physical confrontations. As a supervisor, you can take the following steps to resolve conflicts:

- A. Bring the involved parties together to discuss the problem.
- B. Hear all sides of the issue.
- C. Decide on a solution. If the solution involves a policy decision or other office employees, postpone making the decision until the appropriate setting can be achieved (e.g., team meeting, discussion with program management). If the solution involves only the disputants, the supervisor should mediate a solution between them.

10. Monitor Employee Performance

Supervisors are directly responsible for and therefore must have a monitoring system that tells them whether the necessary work is being performed, and being performed correctly. Although direct observation is often the best method, it is not always practical, so other methods may be employed, such as:

- A. Observation by other supervisors or lead staff.
- B. Reviewing written output.
- C. Feedback from users.
- D. Comparison of output to established workload indicators.

The monitoring system is the way the supervisor can tell if the work is being done. Ongoing monitoring can identify problems in their infancy, thereby preventing serious incidents from occurring. New employees or those having work problems, require increased monitoring. When new rules or procedures are implemented, supervisors should closely monitor their employees and provide feedback to the appropriate program about any problems that have occurred because of the changes.

11. Employee Assistance Program

The Employee Assistance Program (EAP) is a benefit to help employees and supervisors resolve problems which may affect work performance through referral of the employee to a counselor. The EAP assists with problems including performance issues, marital or family concerns, and alcohol and drug problems.

An employee, his/her spouse, and dependent children, are eligible for three (3) counseling sessions per fiscal year. An employee can obtain assistance through 1) self-referral, 2) informal referral by the supervisor and 3) formal supervisory referral to EAP. Supervisors should consult with an EAP counselor if an employee's performance does not improve and initiate a "Formal Supervisory Referral". The EAP counselor is able to assist with the referral and the meeting with the employee. The employee will be given Administrative Time Off (ATO) for the first counseling session. The supervisor will be notified by EAP if the employee has or has not attended the first session.

Information obtained during an EAP session is confidential, and may be released only with the written consent of the employee. **Participation in the EAP is voluntary and confidential.** Contact your Headquarters or District Office of Health and Safety for further information.

Performance Appraisals – Permanent Employees

An employee who has passed his or her probationary period is defined within the State of California, as a permanent employee. Permanent employees with the State of California receive Individual Development Plans (IDPs) annually in the same month as their birthday. The IDP is a tool utilized by both the employee and the supervisor in order to provide both the performance objectives and plans of the employee as well as an annual performance appraisal by the supervisor. The IDP is the supervisor's tool to communicate continued expectations to the employee, review employee's training needs, recognize successes and positive performance, document all significant aspects of performance, and provide valuable feedback to the employee in a formal manner.

1. **The Individual Development Plan Process**

The IDP form (STD. 637) is now automated and should be completed electronically on Staff Central (Appendix C shows a sample of the original paper version of an IDP). The IDP needs to be completed by both the employee and the supervisor and each individual has steps in the process that they need to complete. Each individual's responsibilities in completing the IDP process are as follows:

A. **Supervisor's Responsibilities:**

- 1.) Have your employees complete the IDP process a minimum of once a year.
- 2.) Assist and coach the employee in the IDP planning process.
- 3.) Provide information on training opportunities and departmental policy.
- 4.) Teach employees new skills and techniques and ensure that the employee has access to the training tools necessary for successful job performance.
- 5.) Promote the use of both traditional and non-traditional career development opportunities. These include both department sponsored training, as well as rotational and mentoring assignments, job shadowing, training and development assignments.
- 6.) Review the employee's IDP and provides feedback on the attainability of the plan and availability of funding for training.
- 7.) Review and approve/disapprove training requests using the IDP as a reference guide.
- 8.) Schedule and provide regular progress reviews with the employee.

9.) Complete the Performance Appraisal Summary portion of the IDP utilizing the scale provided:

I = Improvement needed for performance to meet expected standards

M = Performance fully meets expected standards

E = Performance consistently exceeds expected standards

*****NOTE:** Comments in conjunction with the annual performance summary review should not be the *first* time an employee is made of aware of performance issues.

B. Employee's Responsibilities:

1.) Identify Objectives

- Identify competencies and skills needed to perform current duties.
- Plan future career and personal development goals.
- Include both short-term goals (those to be completed during the current fiscal year) and long-term goals (more than one year) career goals.

2.) Collect all relevant materials

- Review a copy of your current job description.
- Obtain a copy of any recent performance appraisals.
- Identify training and development opportunities to include in the IDP.

3.) Conduct a competency and skills evaluation

- Review job description and identify any needed job skills or enrichment training.

4.) Prepare a list of developmental activities

- Identify developmental opportunities to assist you in meeting your goals, taking into consideration both internal traditional training and non-traditional development assignments.
- Include performance objectives and action plans on your IDP. The performance objectives and action plans should be specific, quantifiable, attainable and realistic. They should also include completion dates.

5.) List the performance objectives in order of priority

6.) Meet with your supervisor to discuss your IDP

7.) Make any necessary adjustment to the DIP after approval by your supervisor

8.) Initiate training requests and complete evaluations

2. Useful Tools Resulting from Completing IDPs

There are several useful tools created by completing the IDP process:

- An action plan for an employee's career development that allows the employee and the supervisor to effectively utilize the talents and skills of the employee resulting in greater career satisfaction and employee retention.
- Documented communication of job performance and expectations.
- Logical and structured framework for assessing the needs of both the individual and the organization.
- Method of identifying group training for work units.
- Opportunity to review and schedule mandated training such as Ethics, Sexual Harassment, Supervisory, and Defensive Drivers Training.
- The ability to track enrollment in and completion of staff training.

APPENDIX A: Report of Performance for Probationary Employee

STATE OF CALIFORNIA -- PERSONNEL ADMINISTRATION

REPORT OF PERFORMANCE FOR PROBATIONARY EMPLOYEE

STD 638 (REV 8/2002)

RATER — Before marking this report, read instructions on the back.

- FIRST
 SECOND
 THIRD

| | | | | |
|---------------------|-----------------|---------|-------------------------|---------------------|
| NAME (Last) | First | Initial | SOCIAL SECURITY NUMBER | REPORT DATE |
| CIVIL SERVICE TITLE | | | POSITION NUMBER | DATE PROBATION ENDS |
| DEPARTMENT NAME | DIVISION / UNIT | | EMPLOYEE'S HEADQUARTERS | |

YOUR WORK PERFORMANCE WILL DETERMINE WHETHER YOU OBTAIN PERMANENT CIVIL SERVICE STATUS

| QUALIFICATION FACTORS | RATINGS ARE INDICATED BY "X" MARKS | | | |
|--|------------------------------------|--------------------|----------|-------------|
| | UNACCEPTABLE | IMPROVEMENT NEEDED | STANDARD | OUTSTANDING |
| 1. SKILL —Expertise in doing specific tasks; accuracy, precision, completeness, neatness, quantity. | | | | |
| 2. KNOWLEDGE —Extent of knowledge of methods, materials, tools, equipment, technical expressions and other fundamental subject matter. | | | | |
| 3. WORK HABITS —Organization of work; care of equipment; punctuality and dependability; industry; follows good practices of vehicle and personal safety. | | | | |
| 4. RELATIONSHIPS WITH PEOPLE —Ability to get along with others; effectiveness in dealing with the public, other employees, patients or inmates. | | | | |
| 5. LEARNING ABILITY —Speed and thoroughness in learning procedures, laws, rules and other details; alertness; perseverance. | | | | |
| 6. ATTITUDE —Enthusiasm for the work; willingness to conform to job requirements and to accept suggestions for work improvement, adaptability. | | | | |
| 7. COMMUNICATION —Exhibits aptitude toward good writing and verbal skills, can give concise information in working situations. | | | | |
| 8. ABILITY AS SUPERVISOR —Proficiency in training employees and planning, organizing, assigning and expediting work; leadership; understanding of and effectiveness in implementing departmental and SPB personnel management policies including equal employment opportunity and affirmative action. | | | | |
| 9. ADMINISTRATIVE ABILITY —Promptness of action; soundness of decision, application of good management practices; understanding and effective implementation of departmental and SPB personnel management policies related to equal employment opportunity and affirmative action. | | | | |
| 10. FACTORS NOT LISTED ABOVE (Use additional sheets if more space is needed.) | | | | |
| OVERALL RATING —The overall rating must be consistent with the factor ratings and comments, but there is no prescribed formula for computing the overall rating. | | | | |

COMMENTS TO EMPLOYEE—(Supervisor should include factual examples of exceptional or poor work and give suggestions as to how performance can be improved. Factor and overall ratings of unacceptable and overall ratings of outstanding must be substantiated. Use additional sheets if more space is needed.)

Rater discussed report with employee YES NO

I RECOMMEND YOU BE GRANTED PERMANENT CIVIL SERVICE STATUS

(To be checked only on Final Report. If the probationer is rejected, notification must be given as prescribed by Government Code Section 19173.)

YES NO

| | | |
|-------------------|-------|-------------|
| RATER'S SIGNATURE | TITLE | DATE SIGNED |
|-------------------|-------|-------------|

In signing this report I do not necessarily agree with the conclusions of the rater.

| | | |
|----------------------|-------------|--|
| EMPLOYEE'S SIGNATURE | DATE SIGNED | <input type="checkbox"/> I would like to discuss this report with the reviewing officer. |
|----------------------|-------------|--|

| | | |
|-------------------------------|-------------|--|
| REVIEWING OFFICER'S SIGNATURE | DATE SIGNED | AS REQUESTED, REVIEWING OFFICER DISCUSSED REPORT WITH EMPLOYEE ON DATE |
|-------------------------------|-------------|--|

DISTRIBUTION Copies: 1— Departmental Files 2— Employee 3— Supervisor 4— Miscellaneous

APPENDIX A continued: Report of Performance for Probationary Employee

STATE OF CALIFORNIA - PERSONNEL ADMINISTRATION

REPORT OF PERFORMANCE FOR PROBATIONARY EMPLOYEE

STO. 636 (REV 8/2002) (REVERSE PAGE 2)

INFORMATION ON PROBATIONARY REPORTS OF PERFORMANCE

1. The Report of Performance system is based on the principle that an employee should be kept informed of his/her supervisor's evaluation of his/her work. When a person is appointed as a probationary employee he/she is considered to be capable of Standard performance, and is presumed to have an initial overall performance rating of Standard. Thereafter, changes in his/her level of performance are shown by the Report of Performance. A probationary period of not less than six months or more than one year is required before permanent civil service status is attained, and reports must be prepared at the end of each one-third portion of the period. Additional reports may be prepared at any time during the probationary period.
2. The purpose of the Report of Performance is to help the supervisor and employee measure how well the employee is adapting to his/her job, and to provide a tool for guidance in training assignments, and granting of permanent civil service status.
3. The qualifications of each probationary employee, as demonstrated by his/her work performance, are rated on not less than five of the factors listed. Factors that do not apply are not rated. For example, Administrative Ability is not rated if the position does not have regular administrative responsibility. Any important qualification factors not listed in items 1 through 9 are described by the Rater and rated under item 10.
4. To indicate the rating on any factor, an "X" mark is placed in the appropriate rating column. (The location of the "X" in the rating column may be varied to give the employee a more precise indication as to his/her qualifications. When this is done, the farther the "X" is placed to the right the stronger the rating.)
5. If some significant aspect of the work is above or below the level indicated by the factor ratings, this may be pointed out by a statement in Comments to Employee. Where feasible, comments will also include suggestions as to how performance can be improved and suggestions regarding desirable training.
6. When the necessary skills or knowledge to do thoroughly satisfactory work have to be acquired on the job, a rating of Improvement Needed on factors 1 or 2 on the First and Second report does not definitely indicate progress is not satisfactory unless a statement as to unsatisfactory progress is made in Comments to Employee. On the Final Report, any rating of Improvement Needed indicates progress has not been satisfactory.
7. Any rating of Unacceptable or an overall rating of Improvement Needed indicates progress has been unsatisfactory.
8. The Rater will discuss the report with the employee and give the employee a copy. In signing the report, the employee merely acknowledges that he/she has seen it. If his/her signature does not indicate agreement, if he/she wishes to add a written statement concerning any part of the report, he/she uses the Comments space. His/her comments are not considered a formal appeal from the report.
9. After the report is prepared, it is considered by the Reviewing Officer. If the Rater and Reviewing Officer do not reach agreement on the report, it is referred to the appointing authority or his/her representative. If any changes are made, the report is not valid unless they are reported to the employee and recorded on his/her copy.
10. It is the duty of the appointing authority to reject any probationary employee who fails to demonstrate fitness for the position. In this event the appointing authority must give the employee written notice as prescribed in Government Code Section 19173. A Final Report of Performance may be prepared at that time.

DEFINITIONS OF RATINGS

OUTSTANDING—Performance on the job indicates qualifications are definitely superior—performance by the end of the probationary period can be expected to be well above the standard required of a competent permanent employee in that job. (If the overall rating is Outstanding, the Rater must give a written statement of factual substantiation for the rating. General statements such as "Outstanding in skill and knowledge" are not acceptable.)

STANDARD—Performance on the job indicates qualifications are thoroughly satisfactory—performance by the end of the probationary period can be expected to be up to, or somewhat above, the standard required of a competent permanent employee in that job.

IMPROVEMENT NEEDED—Performance on the job indicates qualifications are somewhat inadequate—to reach the standard required of a competent permanent employee by the end of the probationary period, greater effort or training is needed.

UNACCEPTABLE—Performance on the job indicates qualifications are very inadequate—special training, reassignment, or rejection may be advisable. (Any factor or overall rating of Unacceptable must be substantiated by the Rater's written statement of specific reasons for each such rating.)

THESE DEFINITIONS MUST BE USED IN MARKING THE PERFORMANCE FACTORS AND IN ARRIVING AT THE OVERALL RATING.

APPEAL PROCEDURE

If the employee believes his/her rating is improper, he/she should discuss it with the Rater. If still not satisfied, he/she should sign the report and place an "X" in the space provided by his/her signature to indicate he/she wishes to discuss the report with the Reviewing Officer. An employee who wishes consideration in addition to the review by the Reviewing Officer and Rater should follow the grievance procedure of his/her agency.

An appeal to the Personnel Board for a formal hearing on a Report of Performance can be made only on the basis that it has been used to abuse, harass, or discriminate against the employee and only after the departmental grievance procedure has been exhausted. Such appeal must be filed with the Personnel Board in writing within thirty days after the employee receives the departmental decision.

APPENDIX A continued: Report of Performance for Probationary Employee

STATE OF CALIFORNIA - PERSONNEL ADMINISTRATION

REPORT OF PERFORMANCE FOR PROBATIONARY EMPLOYEE

STD 838 (REV 8/2002) (REVERSE PAGE 4)

RATING THE QUALIFICATIONS OF A PROBATIONARY EMPLOYEE (INFORMATION FOR RATERS, REVIEWERS, AND APPOINTING AUTHORITIES)

PURPOSE OF THE RATING

This is a progress report to the employee. In addition to letting the employee know how well he/she is doing his/her job, and helping the employee orient his/her efforts, it should be helpful to supervisors in:

- (a) Making careful analysis of the employee's work.
- (b) Making work assignments that will be to the best advantage of the employee and the organization.
- (c) Determining the additional training needs of the employee.
- (d) Determining whether the employee should be granted permanent status.

DOING THE RATING

Soon after he/she comes to work, the probationer should be given a sample copy of this report and told of the standards of performance upon which his/her qualifications will be rated.

A Report of Performance may be prepared at any time during the probationary period. A report must be prepared for each probationary employee within ten days after the end of each one-third portion of his/her probationary period. If the employee is rejected during probation a final report may be prepared at that time.

Each department designates the Raters. Usually the immediate supervisor does the rating. Two or more supervisors may prepare the report together. All Raters sign the report. The Rater gives the employee his/her copy, and discusses it with the employee.

Only the qualification factors necessary for success in doing the duties of the position are rated. At least five factors must be rated. The examples listed after each factor are for illustration and explanation. They do not include every element that may properly be considered in rating the factor.

A person appointed with civil service status is presumed to have an initial overall performance rating of Standard. Thereafter, changes in his/her level of performance are shown by the Report of Performance. Probationary employees are rated on those factors that are of greatest significance in predicting success in the work, and on progress toward fully competent performance.

The ratings are defined as follows:

OUTSTANDING—Performance on the job indicates qualifications are definitely superior—performance by the end of the probationary period can be expected to be well above the standard required of a competent permanent employee in that job. (If the overall rating is Outstanding, the Rater must give a written statement of factual substantiation for the rating. General statements such as "Outstanding in skill and knowledge" are not acceptable.)

STANDARD—Performance on the job indicates qualifications are thoroughly satisfactory—performance by the end of the probationary period can be expected to be up to, or somewhat above, the standard required of a competent permanent employee in that job.

IMPROVEMENT NEEDED—Performance on the job indicates qualifications are somewhat inadequate—to reach the standard required of a competent permanent employee by the end of the probationary period, greater effort or training is needed.

UNACCEPTABLE—Performance on the job indicates qualifications are very inadequate—special training, reassignment, or rejection may be advisable. (Any factor or overall rating of Unacceptable must be substantiated by the Rater's written statement of specific reasons for each such rating.)

COMMENTS—Minimum requirements as to the use of comments to support Outstanding or Unacceptable ratings are explained above. Agencies may establish additional requirements. Comments should be made on any aspect of the employee's performance which has a significant influence on his/her effectiveness. Suggestions which may help the employee improve his/her performance should be made. They should be specific, and not merely refer to previous discussion or comments on previous reports.

EMPLOYEE DISCUSSION—Constructive discussion with an employee regarding his/her work performance and progress is an essential element of good supervision. The Report of Performance interview provides an excellent opportunity to review with the employee problems relating to his/her work, answer his/her questions, explain departmental or unit objectives or plans, and to develop better supervisor-employee understanding.

THE REVIEWING OFFICER

The responsibilities of the Reviewing Officer include:

1. Keeping uniformity in the application of standards by the Raters under his/her direction.
2. Securing corrective action when bias or a misinterpretation of rating standards is evidenced in ratings.
3. Making sure reports are thoroughly and promptly prepared.
4. Discussing the report with the Rater or employee when requested, or otherwise appropriate.
5. Checking the statements made in support of Unacceptable or Outstanding to see that the reasons are specific, substantial and accurate.

The Reviewing Officer may discuss a report with the Rater and employee, but cannot change the report. If the Reviewing Officer recommends changes with which the Rater agrees, the Rater either makes the changes or prepares a new report. The changes are not valid unless the employee is notified and the changes are re-recorded on the employee's copy of the report.

If the Rater and the Reviewing Officer do not reach agreement, the matter is forwarded to the head of the department for decision. The department head may designate a different Rater and/or Reviewing Officer. The official report as finally effective must be signed by at least two persons who have been designated officially as the "Rater" and "Reviewing Officer," and who agree on all statements and ratings made in the report.

The Reviewing Officer signs the reports in which he/she concurs. All signed reports are transmitted as directed by the department. General reviews are made by administrative officials to see whether results in different units of the agency are logical and consistent.

FILING OF REPORTS

Each agency files reports within the agency in the manner prescribed by the appointing authority of that agency. A report should be retained for three years if there is indication of punitive action.

APPENDIX B: Request for Review and Recommendation of Disciplinary Action

State of California
DEPARTMENT OF TRANSPORTATION

Business, Transportation and Housing Agency

Memorandum

*Flex your power!
Be energy efficient!*

To: JULIE DUNNING
Assistant Division Chief
Division of Labor Relations
Office of Discipline Services

Date: <Month, Day, Year>

From: _____ (name of individual drafting request)
DIVISION OF _____

Subject: **Request for Review and Recommendation of Disciplinary Action**

The Division of _____, District _____ requests that the Office of Discipline Services provide a recommendation to management for potential disciplinary action based on the information provided below:

As the requestor of this action, I have discussed the issues below with my chain of command and have concurrence from _____ to make this request.
(Division Chief or Deputy's name)

Supervisor Information

Name: _____
Work Phone: _____
Cell: _____
Work Address: _____

Employee Information

Name: _____
Classification: _____
Bargaining Unit: _____
Residential Address: _____

The reasons supporting this request are based on the following description of acts and/or omissions. This description should include specific dates, times, locations, names of witnesses, and prior evidence of progressive discipline.

SAMPLE:

1. *On January 2, 2005, at approximately 6:30 a.m. in the locker room at the Caltrans maintenance facility located at 2222 Caltrans Road, Sacramento, California, Jane Doe struck her co-worker John Deer in the jaw with her fist.*

CRITICAL BACKGROUND INFORMATION: *Ms. Doe's actions were witnessed by Sunny Day and Dolores Red. Jane Doe was counseled on September 4, 2004 and received a letter of warning on November 11, 2004 for workplace violence. Additionally, Jane Doe attended workplace violence training on August 3, 2004 and several safety meetings on April 10, 2004 and October 2, 2004 where the Equal Employment*

APPENDIX B continued: Request for Review and Recommendation of Disciplinary Action

*Opportunity, Workplace Violence, Ethics and Sexual Harassment policies were reviewed and discussed.**

(Enclosed Supporting Documents for Charge 1: Workplace Violence Report; Witness Statements from Sunny Day and Dolores Red; Copy of supervisor's calendar documenting Sept. 4, 2004 verbal counseling; Copy of Letter of Warning dated Nov. 11, 2004; Jane Doe's training history; Copy of Safety Meeting Reports for April 10, 2004 and October 2, 2004)

Supporting Documents: Please also provide a list and copies of the documents that support the description of the acts or omissions indicated above. Examples of these documents may be found on the attached Supervisors' Checklist for Supporting Documents.

**If there is a pending investigation, indicate the entity conducting the investigation, the investigator if known and an estimate of when the investigation will be complete.*

If this is a probationary employee please indicate the date that the probationary period ends.

SUPERVISORS CHECKLIST OF SUPPORTING DOCUMENTS

The supervisor/manager should use the following checklist as a reference for determining the appropriate documentation to submit in support of the acts and/or omissions described in the Request for Disciplinary Action.

DOCUMENTATION OF PRIOR PROGRESSIVE DISCIPLINE

- Letter of Expectations
- Documentation of verbal warnings/e-mail warnings
- Documentation of corrective interviews
- Letters of Warning
- Other counseling memos
- Prior adverse actions
- Probationary reports
- Individual Development Plans (IDP's)

OTHER SUPPORTING EVIDENCE

- New employee orientation checklist
- Training records
- Safety meeting minutes
- Timesheets
- Department Policies/Directives that were provided to employee
- Witness statements, dated and signed
- E-mails

APPENDIX B continued: Request for Review and Recommendation of Disciplinary Action

- | | |
|---|--------------------------|
| Investigative reports | <input type="checkbox"/> |
| Photographs | <input type="checkbox"/> |
| Meeting notes | <input type="checkbox"/> |
| Handwritten or typed notes | <input type="checkbox"/> |
| Copy of computer hard drive – CD/DVD | <input type="checkbox"/> |
| Printed copies of images on computer hard drive | <input type="checkbox"/> |
| Program administrative policies, rules, or procedures | <input type="checkbox"/> |
| Audio/Video Tapes | <input type="checkbox"/> |
| Other Physical Evidence | <input type="checkbox"/> |

As of 9/4/2012

APPENDIX C: Individual Development Plan

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
INDIVIDUAL DEVELOPMENT PLAN
 PM-0637 (REV 4/2010) CT#7541-1137-5

CONFIDENTIAL
This document contains personal information and pursuant to Civil Code 1798.21 it shall be kept confidential in order to protect against unauthorized disclosure.

| | | |
|---|-----------------------|--------------------------------|
| EMPLOYEE NAME (LAST, FIRST, MIDDLE INITIAL) | CIVIL SERVICE TITLE | CALTRANS EMPLOYEE ID |
| STATE DEPARTMENT | EMPLOYEE HEADQUARTERS | S SUBDIVISION OF DEPARTMENT |

ENTER RATING CODE FOR EACH OF THE NUMBERED ITEMS LISTED BELOW

I - IMPROVEMENT NEEDED M - MEETS EXPECTED STANDARDS E - EXCEEDS EXPECTED STANDARDS

- 1. **QUALITY OF WORK:** Consider the extent to which completed work is accurate, neat, well-organized, thorough, and effective.
- 2. **QUANTITY OF WORK:** Consider the extent to which the amount of work produced compares to to quantify standards for the job.
- 3. **WORK HABITS:** Consider the employee's effectiveness in organizing and using work tools and time, in caring for equipment and materials, in following good work practices of vehicle and personal safety, etc.
- 4. **RELATIONSHIPS WITH PEOPLE:** Consider the extent to which employee recognize the needs and desires of other people, treats others with respect and courtesy, inspires their respect and confidence, etc.
- 5. **TAKING ACTION INDEPENDENTLY:** Consider the extent to which the employee shows initiative in making work improvements, identifying and correcting errors, initiating work activities, etc.
- 6. **MEETING WORK COMMITMENTS:** Consider the extent to which employee completes work assignments, meets deadlines, follows established policies and procedures, etc.
- 7. **ANALYZING SITUATIONS AND MATERIALS:** Consider the extent to which the employee applies consistently good judgement in analyzing work situations and materials, and in drawing sound conclusions.
- 8. **SUPERVISING THE WORK OF OTHERS:** Consider the employee's effectiveness in planning and controlling work activities, motivating and developing subordinates, improving work methods and results, encouraging and supporting employee suggestions for work improvements, applying policies, selecting and developing subordinates in accordance with State Personnel Board and departmental affirmative action policies.
- 9. **PERSONNEL MANAGEMENT PRACTICES:** Consider the extent to which the employee understands and applies good personnel management practices including affirmative action and upward mobility. Does the employee contribute effectively to the implementation of State Personnel Board and Departmental equal employment opportunity policies and to the attainment of affirmative actions goals?
- 10. **EFFECTIVENESS OF SUPERVISORS SAFETY PRACTICES:** Consider the extent to which the employee (as a supervisor) contributes effectively to the Department's Injury and Illness Prevention Program. Has there been a reduction in accidents and injuries, are safety meetings being held, are all accidents investigated, have subordinates received the appropriate safety training, are work areas being periodically inspected, have safety hazards and safety violations by employees been corrected, and is the documentation available for review?

NOTE TO THE SUPERVISOR: Some employees are required to obtain or retain a specific license, certification, registration or other professional qualification, education or eligibility for continued employment or advancement within a particular class series (Government Code 19585). Please check one of the following boxes for this employee.

- Not Applicable.
- G.C. 19585 applies to this employee and requirements are met.
- REQUIREMENTS are not met** for the following reason/s: _____

PERFORMANCE OBJECTIVES: *Goals for further improvements in job performance during the next year in order to meet or exceed standards for the employee's present job or to develop employee skills.*

(Please enter objectives on reverse side of sheet.)

PLANS FOR ACHIEVING OBJECTIVES: *Specific methods by which the employee can work toward accomplishing his or her performance objectives (in-service training courses, college courses, rotation, special work assignments for training purposes, etc.).*

(Please enter plans for achieving objectives on reverse side of sheet.)

COMMENTS: *Supervisor should include factual examples on work especially well or poorly done and give suggestions as how performance can be improved. Factor and overall rating of unacceptable and overall ratings of outstanding must be substantiated. Use reverse if more space needed.*

| THE SIGNATURES BELOW INDICATE EMPLOYEE PARTICIPATION IN A DISCUSSION OF OVERALL JOB PERFORMANCE. | | | |
|--|------|-------------------------|------|
| SIGNATURE OF EMPLOYEE | DATE | SIGNATURE OF SUPERVISOR | DATE |
| SIGNATURE OF REVIEWING OFFICER | | | DATE |

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-8410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

APPENDIX C continued: Individual Development Plan

INDIVIDUAL DEVELOPMENT PLAN

PM-0637 (REV 4/2010) CT#7541-1137-5

PERFORMANCE OBJECTIVES:

PLANS FOR ACHIEVING OBJECTIVES:

ATTACHMENT 11

Staff/Supervisor/Manager Expectations

Memo

Memorandum

*Serious drought.
Help save water!*

To: EMPLOYEE'S NAME
Employee's Classification

Date: Month Day, Year

File:

From: SUPERVISOR'S NAME
Title
Area of responsibility

Subject: STAFF EXPECTATIONS

As a valued member of the Caltrans team, you make it possible for the Department to provide a safe, sustainable, integrated, and efficient transportation system to enhance California's economy and livability by being innovative and flexible; working cooperatively with team members and others; and treating others fairly, honestly, and with respect. Your efforts are important to each member of the team, as well as those we serve. In an effort to ensure the Department's goals and values are met, I am providing the following expectations:

1. All Caltrans employees are to be courteous and professional to all Caltrans staff, members of other agencies, and members of the public.
2. It is your responsibility to read and adhere to all Departmental policies and directives available on Staff Central at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/. Specific policies and directives attached to this memo are:
 - a) Director's Policy 1, Equal Employment Opportunity;
 - b) Director's Policy 2, Ethics;
 - c) Director's Policy 3, Health and Safety;
 - d) Director's Policy 18, Workplace Violence Prevention;
 - e) Director's Policy 29, Communication and Entertainment Devices in the Work Zone;
 - f) Director's Policy 31, Intellectual Property Policy;
 - g) Deputy Directive 8, Drug-Free Workplace;
 - h) Deputy Directive 9, Incompatible Activities and Conflict of Interest;
 - i) Deputy Directive 22, Weapons Prohibited on Caltrans Buildings, on Caltrans Property and in Caltrans Vehicles;
 - j) Deputy Directive 49, Sexual Harassment Prevention;
 - k) Deputy Directive 54, Information Technology Use Standards;
 - l) Deputy Directive 56, Use of Overtime;
 - m) Deputy Directive 89, Security of Portable Computing Devices and Portable Electronic Storage Media;
 - n) Deputy Directive 108, Timely Submission and Approval of Timesheets;

- o) Deputy Directive 110, Employment Outside of the California Department of Transportation;
- p) Deputy Directive 112, Contract Manager Responsibility.

Please discuss with me any questions pertaining to any policies and/or directives that you do not understand or require clarification.

- 3. Working Hours and Breaks: Your normal work hours are X:XX a.m. to X:XX p.m. [For use for WWG 2 employees: As we agreed, your lunch must be taken between ____ a.m. to ____p.m.] Please notify me in advance of any changes to this schedule as they must be approved in advance by me, or in my absence, Alternate Supervisor, at (XXX) XXX-XXXX, to avoid potential incidences of Absence Without Leave (AWOL) which may cause your pay to be docked.
- 4. [For WWG 2 employees, Overtime should be worked in accordance with the attached Deputy Directive 56, Use of Overtime (DD-56-R2), which requires that any overtime worked must have prior approval by me.]
- 5. All non-sick leave should be approved by me, or in my absence, Alternate Supervisor, at (XXX) XXX-XXXX, at least (specified reasonable time period) in advance of the date for which you are requesting as this will allow for workload planning and increase the opportunity for approval. (SUPERVISORS: REMEMBER YOU ARE PROHIBITED FROM DENYING A LEAVE REQUEST MERELY BECAUSE AN EMPLOYEE HAS FAILED TO PROVIDE YOU ADVANCED NOTICE. LEAVE REQUESTS MUST ALWAYS BE EVALUATED ON A CASE BY CASE BASIS AND BE SUBJECT TO OPERATIONAL NEED. PLEASE CONSULT THE APPLICABLE MOU.)

Please contact me no later than X:XX a.m. when unexpected circumstances or illnesses prevent you from coming to work at the beginning of your shift and require you to request leave. (SUPERVISORS: YOU COULD SET A TIME, SUCH AS 9:00 A.M., OR ESTABLISH A WINDOW OF TIME TO CALL IN, SUCH AS WITHIN 1 HR OF THE EMPLOYEE'S START TIME – AS AN EXAMPLE) If you are unable to speak to me personally, please leave a message with a phone number where you can be reached.

If you will not be at work because either you or a family member is sick, please notify me at least thirty minutes before the start of the workday. If you are unable to speak with me personally, please follow up with a call to, Alternate Supervisor, at (XXX) XXX-XXXX.

Please note that it is your responsibility to obtain approval for your time off. Leaving a voicemail message is not considered sufficient, nor does it relieve you of your requirement to obtain approval. Emergency situations will be evaluated on a case by case basis.

Absences due to non-Family Medical Leave Act qualifying illness for you or your qualifying family member may require substantiation in writing by the treating physician or healthcare provider consistent with any applicable MOU provision. I will inform you

on a case by case basis if such substantiation is required. All substantiation should include the following:

- your name;
- the date treated by the health care provider;
- if absence is required, the full period of any required absence and the date you can return to work;
- if necessary, any specific restrictions that prevent you from performing the full range of your duties;
- the treating healthcare provider's name, telephone number, address, and signature;
- must be legible.

In the case of illness of a qualifying family member, please include the following information in the substantiation: the qualifying family member's name; the qualifying family member's relation to you (i.e., spouse, child); the date treated by the health care provider; and that your attendance was required.

Please note that obtaining a physician's substantiation is your responsibility. If substantiation has been required, the substantiation should reflect that you were unable to work for the entire period of your absence. Failure to provide substantiation to extend your absence may be considered Absence Without Leave (AWOL). You may, however, request the use of additional leave credits to be considered. When extending the date of substantiation, the new substantiation or request for additional leave credits should be provided to me within three (3) days of the previous substantiation's expiration.

In instances that you are removed from full work duty but wish to return prior to the date provided in the initial substantiation, please provide revised substantiation. The revised substantiation should specify the revised dates and be provided to me prior to, or at the beginning of, your first shift upon returning to full work duty.

If your leave request is approved but you do not have sufficient leave credits, your pay will be docked accordingly and your time will be noted as Absence Without Pay (AWOP).

6. All property owned by the State is intended to be used for work related activities. All employees are responsible to use the Department's computer resources and the internet in a professional, lawful, and ethical manner. Please refer to the attached Deputy Directive 54, Information Technology Use Standards (DD-54) for a complete description regarding computer usage.

Your signature below indicates you have read, understand, and will adhere to all of the policies identified in the Staff Expectations Memorandum and included in this binder.

SUPERVISOR'S NAME
Title

Date

EMPLOYEE'S NAME
Employee's Classification

Date

cc: Supervisory File
Official Personnel File

Memorandum

*Serious drought.
Help Save Water!*

To: Supervisor (Employee with "S" Designation)

Date: Month Day, Year

File:

From: NAME
Title
Area

Subject: **Supervisor Expectations**

As a valued member of the California Department of Transportation (Caltrans) team, you make it possible for Caltrans to provide a safe, sustainable, integrated, and efficient transportation system to enhance California's economy and livability by being innovative and flexible; working cooperatively with team members and others; and treating others fairly, honestly, and with dignity and respect. Your efforts are important to each member of the team, as well as those we serve. Supervisors have direct contact with the employees who they supervise. Supervision helps establish order in the workplace. Supervisors report to managers in the organization hierarchy. Effective supervision is a foundation of a successful organization.

Supervisors bear significant responsibility, accountability, and authority within the organization. In an effort to ensure Caltrans' goals are being met while adhering to our values of Integrity, Commitment, Teamwork, and Innovation, you are being provided the following expectations:

1. All Caltrans employees are to be courteous and professional to all Caltrans staff, members of other agencies, and members of the public.
2. It is your responsibility to read, adhere to and enforce all Departmental policies and directives available on the Department's intranet at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/.

Specific workplace-related policies and directives (included in the New Supervisor and Manager Handbook) you are expected to read, adhere to and enforce include the current versions of the following:

- a) Director's Policy 1, Equal Employment Opportunity;
- b) Director's Policy 2, Ethics;
- c) Director's Policy 3, Health and Safety;
- d) Director's Policy 18, Workplace Violence Prevention;
- e) Director's Policy 29, Communication and Entertainment Devices in the Work Zone;
- f) Director's Policy 31, Intellectual Property Policy;

Supervisor Expectations

(DATE)

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- g) Deputy Directive 8, Drug-Free Workplace;
- h) Deputy Directive 9, Incompatible Activities and Conflict of Interest;
- i) Deputy Directive 22, Weapons Prohibited in Caltrans Buildings, on Caltrans Property and in Caltrans Vehicles;
- j) Deputy Directive 49, Sexual Harassment Prevention;
- k) Deputy Directive 54, Information Technology Use Standards;
- l) Deputy Directive 56, Use of Overtime;
- m) Deputy Directive 89, Security of Portable Computing Devices and Portable Electronic Storage Media;
- n) Deputy Directive 108, Timely Submission and Approval of Timesheets
- o) Deputy Directive 110, Employment Outside of the California Department of Transportation;
- p) Deputy Directive 112, Contract Manager Responsibility.

The most current versions of the policies and directives are available at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/. Please discuss with your manager any Director's Policies and/or Deputy Directives which you do not understand or require clarification.

Program Management

- You are expected to establish strategies, objectives and action items to achieve the Program's/Division's/District's/Department's/Agency's goals, seek to improve current processes, use work plans for assigned tasks and project management, and meet established due dates.
- You are required to hold regular staff meetings, to clearly communicate goals and objectives, to manage workload, and to keep your staff apprised of information they need to perform their jobs.
- When you submit a project, document, or other assignment for review, you and your staff are required to perform the analysis and completed staff work. Documents submitted for your manager's review must make use of business writing rules, be free of typographical errors and utilize proper grammar.
- You are responsible for keeping your chain of command informed of issues and problems as soon as you are aware that they may have a broad impact on a program, the department, involved control agencies or management at an executive level. Examples include issues that may result in litigation, issues that have department-wide impact, are the subject of investigations or those that are politically sensitive. If you are seeking assistance with resolution of a problem, you should be prepared to provide one or more sound alternative solutions to the problem.

Supervisor Expectations

(DATE)

Page 3 of 7

- You must work with your chain of command to establish reasonable deadlines and then to effectively meet them. If there is an unanticipated reason preventing you from meeting a deadline, you must notify impacted staff, including your chain of command, in advance. This applies to project deadlines as well as requests for information. Occasionally, when timeframes are very short due to external requirements or unforeseen circumstances, you must take the necessary steps, including utilizing overtime and redirection of resources, to meet those deadlines. [See Deputy Directive 56, Use of Overtime.]
- As a supervisor, you are expected to manage your allocation of resources and work within that allocation. It is incumbent upon you to keep your chain of command informed if the program for which you are responsible is exceeding its assigned resources as soon as you are aware of the problem.
- As a supervisor, you must ensure that any new employee you or your reports hire is given the New Employee Handbook containing their appropriate Letter of Expectation along with workplace policies and directives contained in that Letter of Expectation. You will make sure the new employee signs the acknowledgement form that accompanies the New Employee Handbook. If the employee is a new supervisor or Manager, please provide the New Supervisor and Manager Handbook to that employee and have them sign the acknowledgement form that accompanies the New Supervisor and Manager Handbook. The New Supervisor and Manager Handbook will include information found in the New Employee Binder, but it will also contain the Caltrans Hiring Guide and the Guide to Supervising Probationary Employees and Preparing Individual Development Plans.
- As a supervisor, you must ensure that all the supervisors reporting to you have received supervisory training and that all new employees receive the New Employee Orientation class.

Employee Relations

- You are expected to lead by example, consistently ensuring your communications and actions fit within the Caltrans Mission and Vision, and demonstrate Caltrans values of Integrity, Commitment, Teamwork, and Innovation.
- You must proactively manage employees by providing them the training, coaching, and skill development necessary for them to be successful. Employee duty statements should be current, discussed with, and signed by the employee. You should ensure that your employees have the tools necessary to perform their jobs, including reasonable accommodation as necessary. Information regarding reasonable accommodation is available at the Division of Human Resources website: http://admin.dot.ca.gov/hr/WC_RA/ra/ra.shtml.
- You are expected to cultivate a team-oriented and positive working environment for your staff, fostering creativity, innovation, and initiative and rewarding accomplishments that are of exceptional value to the program.

Supervisor Expectations

(DATE)

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- Supervisors are to ensure compliance with safety policies, procedures, and work practices, to promote best safety practices, and to respond promptly and appropriately to safety concerns. Information regarding Health and Safety may be found at The Division of Safety and Management Service's website:
http://admin.dot.ca.gov/Safety_and_Management_Services/Health_and_Safety/
- Supervisors are responsible for monitoring the working hours of their staff to ensure adequate office coverage. When staff is absent, you must have access to information on issues that may be brought to executive or senior management attention during their absences. This requires that you ensure file documentation is adequate and that knowledge transfer strategies are in place.
- Supervisors must ensure that annual Individual Development Plans (IDP) are provided to each employee. Included in the IDP should be objectives for the coming year and a training plan. Probation reports must be provided to all probationary employees, as required per the term of their probationary period. Failure to provide timely IDPs and probationary reports will be documented and placed in the supervisor or manager's official personnel file.

Dealing with Misconduct and Poor Performance

Employee Misconduct

“Misconduct” refers to behavior that is contrary to the nature of the job or state rules. Threatening violence against a coworker, stealing and dishonesty are a few examples of misconduct.

- As a supervisor it is your duty and responsibility to supervise the work and activities of employees within your unit, division, district, etc. You are to ensure that staff comply with the aforementioned Director's Policies and Deputy Directives and to address staff issues as quickly as possible. You must keep your chain of command informed about significant issues that will result in informal or formal disciplinary actions, grievances, and/or Equal Employment Opportunity, workplace violence, safety complaints, reasonable accommodation, FMLA or leaves of absence.
- All instances of alleged employee misconduct must be addressed in the most expeditious manner possible. It is your duty as a supervisor to acknowledge and document each alleged instance of misconduct. This documentation shall include the following information:
 - a.) Name, classification and identification number of the employee(s) involved.
 - b.) Date(s) of the alleged incident, and the date on which you became aware of the incident.
 - c.) Summary of the alleged misconduct.

Supervisor Expectations

(DATE)

Page 5 of 7

- Each supervisor must notify the next person up their chain of command of the alleged incident(s) of misconduct and report the incident(s) to the Office of Discipline Services (ODS) at http://admin.dot.ca.gov/Safety_and_Management_Services/Discipline_Services/. You will work with ODS to determine whether the alleged incident requires an internal investigation to be conducted by Caltrans Audits and Investigations (A&I). The Department shall investigate allegations of misconduct when there is a nexus (or connection) between the act(s) and the individual's employment with the Department. Such a nexus is necessary to establish a basis for disciplinary or corrective action. Nexus is established in the following circumstances:
 - a.) The act(s) occurred while the employee was on duty, regardless of location or assignment.
 - b.) All criminal acts by employees, either on or off duty, which constitute a felony or other misdemeanor involving moral turpitude, which result in a conviction.
 - c.) While off duty, an employee attempts to use his or her status as an employee with the Department in an effort to gain favor or advantage.
 - d.) Any off-duty misconduct with a clear connection to the employee's continued ability to effectively perform the duties of the employee's position. For example, an employee with a suspended driver license cannot perform duties that require a valid license.
 - e.) The misconduct is of such a nature that it could bring discredit to the Department.
- If an internal investigation occurs, it is your responsibility to monitor the progress of the investigation. You must make yourself available to provide whatever information the A&I may need. Once the investigation concludes, you must ensure that any adverse disciplinary action determined in consultation with ODS is administered properly.
- As the supervisor, you will be held accountable if you fail to take appropriate, timely action on reports of alleged employee misconduct. Consequences of failure to act appropriately in these instances may include progressive discipline actions ranging from a formal written reprimand to dismissal.

Employee Poor Performance

Poor performance refers to the problem behaviors that are repeated over time, undermine the employee's value to the organization and burden coworkers. For example, an employee who is always late, or leaves without notifying anyone; the employee who can't seem to work cooperatively with his peers; the employee whose work is never on time or complete; and the employee who just doesn't seem to do anything very well or is not performing satisfactorily. All of these types of problems are performance issues.

For assistance regarding poor performance by an employee, please contact ODS and/or refer to the Supervisor's Guide to Employee Conduct and Discipline available at <http://www.calhr.ca.gov/training/Pages/supervisors-guidebook.aspx>.

Work Hours

- As a supervisor you are expected to be present in the office, or engaged in work-related activities, during your established work hours. You are also expected to understand that sometimes you will have to work longer hours to ensure your work or the work of the unit is completed.
- If you need to deviate from your regular work schedule (appointments, vacation, time off, etc.) you must notify your manager, in advance. If your manager is out of the office for vacation, please direct all leave requests to the designated person acting in their absence.
- Voicemail messages, e-mail and Outlook calendars must be updated with an "out of office" message when you are away from the office also indicating who is acting in your place. In your absence, you must ensure that whoever is acting for you is informed about pending issues that may arise during your absence. Never provide a backup who will not be available to respond to callers and email in your absence.

Office Coverage

- For those staff working in office setting, supervisors shall ensure that there is office coverage in their assigned program areas between the core business hours of 8 a.m. to 5 p.m. (Government Code section 11020.)

Outlook Calendars

- Outlook calendars must be kept current to reflect your availability. Personal appointments should be marked as "private" on your calendar. Be mindful of attachments on a calendar entry and never attach personal or medical information or other sensitive information to a calendar invitation.

Phone and Email

- If you are at work, you are expected to return calls or respond to emails as soon as possible, preferably by the next business day.

Security of Personal Information- laptops/memory sticks

- Supervisors are responsible for complying with the Information Practices Act (IPA) by protecting employees' confidential information, including, but not limited to, personal information and social security numbers, medical history, employment history, education,

Supervisor Expectations

(DATE)

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financial transactions, discipline issues, or similar information. Failure to protect Departmental employees' confidential information may result in employee grievances, lawsuits, and pursuant to California Civil Code section 1798.55, in disciplinary action, including termination of employment.

- When you are working in and or away from the office, it is your responsibility to ensure that all confidential information in your possession is secure. This includes personal information contained in documents, laptops, and memory sticks. A security breach, theft or loss of personal information shall be reported within 24 hours.

Your signature below indicates you have received a copy, and have read and understood the expectations contained in this memorandum.

Dated: _____

Dated: _____

Supervisor Signature

Manager

Memorandum

*Serious drought.
Help Save Water!*

To: Manager (Employee with “M” Designation)

Date: Month, Day Year

File:

From: NAME
Title
Area

Subject: **Manager Expectations**

As a valued member of the California Department of Transportation (Caltrans) team, you make it possible for Caltrans to provide a safe, sustainable, integrated, and efficient transportation system to enhance California’s economy and livability by being innovative and flexible; working cooperatively with team members and others; and treating others fairly, honestly, and with dignity and respect. Your efforts are important to each member of the team, as well as those we serve. Managers plan, organize implement, direct, monitor and evaluate the work programs and functions for which they are responsible.

Managers bear significant responsibility, accountability, and authority within the organization. In an effort to ensure Caltrans’ goals are being met while adhering to our values of Integrity, Commitment, Teamwork, and Innovation, you are being provided the following expectations:

1. All Caltrans employees are to be courteous and professional to all Caltrans staff, members of other agencies, and members of the public.
2. It is your responsibility to read, adhere to and enforce all Departmental policies and directives available on the Department’s intranet at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/.

Specific workplace-related policies and directives (included in the Supervisor and Manager Handbook) you are expected to read, adhere to and enforce include the current versions of the following:

- a) Director’s Policy 1, Equal Employment Opportunity;
- b) Director’s Policy 2, Ethics;
- c) Director’s Policy 3, Health and Safety;
- d) Director’s Policy 18, Workplace Violence Prevention;
- e) Director’s Policy 29, Communication and Entertainment Devices in the Work Zone;
- f) Director’s Policy 31, Intellectual Property Policy;

- g) Deputy Directive 8, Drug-Free Workplace;
- h) Deputy Directive 9, Incompatible Activities and Conflict of Interest;
- i) Deputy Directive 19, Media Relations/Public Information;
- j) Deputy Directive 22, Weapons Prohibited in Caltrans Buildings, on Caltrans Property and in Caltrans Vehicles;
- k) Deputy Directive 49, Sexual Harassment Prevention;
- l) Deputy Directive 54, Information Technology Use Standards;
- m) Deputy Directive 56, Use of Overtime;
- n) Deputy Directive 89, Security of Portable Computing Devices and Portable Electronic Storage Media;
- o) Deputy Directive 108, Timely Submission and Approval of Timesheets
- p) Deputy Directive 110, Secondary Employment Outside of the California Department of Transportation;
- q) Deputy Directive 111, Use of State Vehicles;
- r) Deputy Directive 112, Contract Manager Responsibilities.

The most current versions of the policies and directives are available at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/. Please discuss with your manager any Director's Policies and/or Deputy Directives which you do not understand or require clarification.

Program Management

- You are expected to establish strategies, objectives and action items to achieve the Program's/Division's/District's/Department's/Agency's goals, seek to improve current processes, use work plans for assigned tasks and project management, and meet established due dates.
- You are responsible for keeping your chain of command informed of issues and problems as soon as you are aware that they may have a broad impact on a program, the department, involved control agencies or management at an executive level. Examples include issues that may result in litigation, issues that have department-wide impact, are the subject of investigations or those that are politically sensitive. If you are seeking assistance with resolution of a problem, you should be prepared to provide one or more sound alternative solutions to the problem.
- As a manager, you are expected to manage your allocation of resources and work within that allocation. It is incumbent upon you to inform the appropriate District Director, Deputy Director and the Chief Financial Officer if the program for which you are responsible is exceeding its assigned resources as soon as you are aware of the problem.
- As a manager, you must ensure that all the supervisors and managers reporting to you have received supervisory training and that all new employees receive the New Employee Orientation class. You must also ensure all employees, supervisors and

managers reporting to you receive the appropriate expectations memos and handbooks. These are available on the intranet at: <http://admin.ca.gov>.

Employee Relations

- You are expected to lead by example, consistently ensuring your communications and actions fit within the Caltrans Mission and Vision, and demonstrate Caltrans values of Integrity, Commitment, Teamwork, and Innovation.
- You are expected to cultivate a team-oriented and positive working environment for your staff, fostering creativity, innovation, and initiative and rewarding accomplishments that are of exceptional value to the program.
- Managers are to ensure compliance with safety policies, procedures, and work practices, to promote best safety practices, and to respond promptly and appropriately to safety concerns. Information regarding Health and Safety may be found at The Division of Safety and Management Service's website:
http://admin.dot.ca.gov/Safety_and_Management_Services/Health_and_Safety/

Dealing with Misconduct and Poor Performance

Employee Misconduct

“Misconduct” refers to behavior that is contrary to the nature of the job or state rules. Threatening violence against a coworker, stealing and dishonesty are a few examples of misconduct.

- As a manager, it is your duty and responsibility to manage the work and activities of employees within your unit, division, district, etc. You are to ensure that staff comply with the aforementioned Director's Policies and Deputy Directives and to address staff issues as quickly as possible. You must keep your chain of command informed of significant issues that will result in informal or formal disciplinary actions, grievances, Equal Employment Opportunity issues, workplace violence and/or safety complaints, reasonable accommodation, Family and Medical Leave Act (FMLA) leave or leaves of absence.
- As a manager, you will be held accountable if you fail to take appropriate, timely action on reports of alleged employee misconduct. Consequences of failure to act appropriately in these instances may include progressive discipline actions ranging from a formal written reprimand to dismissal.

Employee Poor Performance

Poor performance refers to the problem behaviors that are repeated over time, undermine the employee's value to the organization and burden coworkers. For example, an employee who is always late, or leaves without notifying anyone; the employee who can't seem to work cooperatively with his peers; the employee whose work is not on time or complete; or an employee not performing satisfactorily. All of these types of problems are performance issues.

For assistance regarding poor performance by an employee, please contact the Office of Discipline Services and/or refer to the Supervisor's Guide to Employee Conduct and Discipline available at <http://www.calhr.ca.gov/training/Pages/supervisors-guidebook.aspx>.

Your signature below indicates you have received a copy, and have read and understood the expectations contained in this memorandum.

Dated: _____

Dated: _____

Employee's Signature

Manager