1996-1998

U.S. Department of Transportation
Federal Highway Administration

MULTI-YEAR AFFIRMATIVE EMPLOYMENT PROGRAM PLAN

FOREWORD

On July 3, 1996, a work group was established by the FHWA Executive Director to develop the FHWA Affirmative Employment Program Plan. The work group was composed of the following representatives:

Chair: Tommy Beatty, Delaware Division Administrator
FHWA, Delaware Division Office

Members: Cynthia Bobik, Executive Officer
Federal Lands Highway Office

Gladys Cole, National Training Center Team Leader
Office of Motor Carrier Planning and Customer Liaison

James Daves, Senior Engineer
Office of Engineering

The work group reviewed existing statistical information that was provided by the Office of Personnel and Training to evaluate the current Equal Employment Opportunity posture of FHWA and to determine hiring priorities.

U.S. Department
of Transportation
**Federal Highway
Administration**

MULTI-YEAR AFFIRMATIVE EMPLOYMENT PROGRAM PLAN

1996-1998

FHWA Affirmative Employment Program for Minorities and Women

Multi-Year Affirmative Employment Program Plan

Policy Statement
Delegation of Authority
Organizational Chart
Certification of Qualifications
Plan for the Prevention of Sexual Orientation
Statement of Adequate Monitoring/Evaluation
Program Analysis
Problem/Barrier Identification
Report of Objectives and Action Items

Name and Address of Organization:

Federal Highway Administration
400 7TH Street, S.W.
Washington, D.C. 20590

Organizational Level:

X Agency	____MOC	____Region
____Command	____Installation	____Headquarters

Number of Employees Covered by Plan: Total 3,549

Professional	1,502	Administrative	1,226	Technical	435
Clerical	336	Other	4	Blue Collar	9

Name of Contact Person Preparing Form	Phone
Linda J. Brown	202-366-1593

Name and Title of Principal EEO Official	Phone
Edward W. Morris, Director, Office of Civil Rights	202-366-0693

Signature of Principal EEO Official Certifies that this plan is in compliance with EEO-MD-714	Date
Edward W. Morris	6/18/97

Name and Title of Head of Organization or Designated Official
Jane F. Garvey, Acting Federal Highway Administrator

Signature of Head of Organization or Designated Official Certifies that this plan is in compliance with EEO-MD-714	Date
J F Garvey	7/10/97

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DEFINITIONS

This section defines many of the terms used in this report.

Action Item - Clearly identified step to attainment of an objective.

Audit - Enforcement tool to be used when there are sufficient deficiencies in an agency's program operations.

Barrier - Personnel principle, policy, or practice that restricts or tends to limit the representative employment of applicants and employees, especially minorities, women, and individuals with handicaps.

Civilian Labor Force (CLF) - Persons 16 years of age or over, excluding those in the Armed Forces, who are employed or seeking employment.

Conspicuous Absence - Particular EEO group that is virtually or totally unrepresented in a particular occupation or grade level in the work force.

EEO Groups - Black males, Black females, Hispanic males, Hispanic females, Asian-American/Pacific Islander males, Asian-American/Pacific Islander females, American Indian/Alaskan Native males, American Indian/Alaskan Native females, White males and White females.

Employee - Permanent, full-time, or part-time members of the Agency work force, including those in excepted service positions. Does not include temporary or intermittent individuals.

Employment Category - The major occupational categories for the White Collar pay system and Wage Board pay system, including: Professional, Administrative, Technical, Clerical, and Other, and Blue-Collar (PATCOB).

Fiscal Year (FY) - Reporting period from October 1 of one year to September 30 of the following year.

Major Occupation - Mission-oriented occupations or other occupations with 100 or more employees.

Major Operating Component (MOC) - Organizational sub-unit directly below the Agency (Department) level.

Manifest Imbalance - Representation of EEO groups in a specific occupational grouping or grade level in the Agency's work force that is substantially below its representation in the appropriate CLF. For this plan, 2 percent or greater was used.

Numerical Objectives (Goals) - Quantifiable objective designed to eliminate a manifest imbalance or conspicuous absence of EEO groups.

Objective - Statement of a specific end product or condition to be attained by a specific date. Accomplishment of an objective will lead to elimination of a barrier or other problem.

Onsite Program Review - Visit by EEO representatives to an Agency installation for the purpose of reviewing program areas such as program management, data collection, monitoring and evaluation, personnel practices, barrier analysis, prevention of sexual harassment, training and recruitment.

Problem - A situation in which one or more EEO groups do not have full equal employment opportunity.

PATCOB - Acronym for Professional, Administrative, Technical, Clerical, and Other White-Collar occupational categories, and the Blue-Collar occupational category.

Program Analysis - Review of entire Agency Affirmative Employment Program.

Program Element - Prescribed program areas for assessing where agencies should concentrate their Affirmative Employment Program analysis and plan development.

Responsible Official - Executive, Manager, or Supervisor who is accountable for accomplishing an action item.

Technical Assistance - Onsite visit to provide assistance and training.

Unit Manager - Associate Administrators, Regional Administrators, Staff Office Directors, and Federal Lands Program Administrators.

CIVIL RIGHTS POLICY STATEMENT

The Federal Highway Administration (FHWA) provides oversight for the construction and operation of the world's most extensive network of public highways. As we make decisions that affect the daily lives of millions of Americans, our decisions must be free of discrimination and bias. The quest for equality is every American's birthright, and its attainment is critical to the well-being of our Nation. The basic cornerstone of our civil rights policy is that the FHWA is an agency free of discrimination of any kind. No one will be denied an opportunity to share in our programs because of his or her race, color, national origin, religion, sex, age, or disability.

To this end, the FHWA will actively administer its policies, procedures, and operations to ensure nondiscrimination at all levels of the Motor Carrier, Federal Lands, and Federal-aid highway programs. We must ensure that no one affected by or participating in programs or activities of the FHWA, its recipients, or contractors is subjected to discrimination in terms of impacts, access, benefits, treatment, or employment.

As Federal Highway Administrator, I am committed to ensuring that nondiscrimination, affirmative action, and equal employment opportunity requirements applicable to the FHWA and its recipients are in full compliance with the letter, intent, and spirit of the law. Where discrimination, fraud, or abuse is found, I will ensure that applicable requirements are vigorously enforced.

None of us are free unless we all are free to do and be our best. The strengths and future of our Nation depend on all of us working together to ensure that constitutional ideals of fair treatment are a reality. I solicit your support and assistance in this endeavor.

Rodney E. Slater
Federal Highway Administrator

June 30, 1993

POLICY STATEMENT AGAINST SEXUAL HARASSMENT

Sexual harassment is a violation under Section 703 of Title VII of the Civil Rights Act of 1964. As Administrator for the Federal Highway Administration (FHWA), I want to ensure that all of our employees clearly understand what constitutes this form of harassment and that it is totally unacceptable in our workplace. In recent years, the issue of sexual harassment has been the subject of management attention and the topic of training sessions throughout the Department of Transportation (DOT). I am confident that this heightened awareness will contribute positively to the quality of work life in the FHWA.

Sexual harassment includes many unwelcome acts or conduct of a sexual nature. It could, for example, be deliberate physical contact, repeated unsolicited comments or gestures, pressure for sexual favors, or even putting an offensive picture on the wall of your office. Sexual harassment occurs when (1) submission to this conduct is made either explicitly or implicitly a term or condition of an individual's employment, (2) submission to or rejection of this conduct by an individual is used as the basis for employment decisions affecting that individual, or (3) this conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment. It does not matter that the person responsible does not think that the behavior is unwelcome or of a sexual nature. It is how it is perceived by the recipient or by others who feel affected by it.

Whether subtle or overt, sexual harassment is an offensive and unlawful form of behavior which cannot be tolerated. Where it is known or found to exist, actions must be taken to rid our agency of this disruptive and distasteful practice. Appropriate corrective action, including disciplinary measures when justified, will be taken to remedy all violations of this policy. All allegations may be pursued through the discrimination complaint procedures. Sexual harassment is also a prohibited personnel practice, and violations may be reported to the Special Counsel of the Merit Systems Protection Board and/or DOT's Inspector General.

I expect each manager and supervisor to exercise his or her responsibility to enforce the standards of conduct that prevent sexual harassment and to act promptly to eliminate such behavior if and when it occurs. I also expect all employees to be able to distinguish between appropriate and inappropriate behavior and to conduct themselves in a manner that will reflect positively on the FHWA.

I am confident that you will work with me to make the FHWA a model employer.

Rodney E. Slater
Federal Highway Administrator

June 30, 1993

DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT

As Administrator of the Federal Highway Administration (FHWA), I affirm my commitment to diversity and equal employment opportunity in the work force. The words and actions of the President and the Secretary reflect the importance of a government that promotes diversity and is free from discrimination. Diversity in the workplace plays a crucial role as we prepare our work force to meet the challenges of moving into the 21st century. To foster diversity, we must assure that no one is denied opportunities because of his or her race, color, religion, sex, age, national origin, disability, or sexual orientation.

Diversity represents the very essence of America. We are a Nation of nations, and in that, we find our greatest strength. As our work reaches the far corners of the United States and beyond, our ability to work together as a team is more critical than ever. The concept of work force diversity recognizes the great value in our differences and the benefits gained when people of different backgrounds share their ideas, abilities, and experiences. Diversity reflects the inclusion of individuals of every background. It means providing all employees with an opportunity to reach their full potential and to participate fully as valued members of the FHWA team. The best way to ensure that we accomplish our crucial mission is to utilize the talents of everyone in our own work force.

I will promote equal employment opportunity for all individuals and will not tolerate any form of discrimination in the FHWA workplace. The FHWA will afford equal employment opportunity to individuals of all backgrounds through recruitment, hiring, development, promotion, and retention. We take seriously our responsibility to our employees and to the American public, to prevent discrimination by removing any barriers that may limit opportunities. Every effort will be made by managers and supervisors to ensure that this commitment is reflected in all of the actions and policies of our organization.

Working toward a more diverse work force and providing equal employment opportunities are responsibilities that we all share. Each employee has the power to effect change by understanding the differences of others. I am counting on you to join me in creating a work environment that encourages all employees to contribute to our mission.

Rodney E. Slater
Federal Highway Administrator

April 22, 1994

EXECUTIVE SUMMARY

The Federal Highway Administration (FHWA) has made progress in hiring minorities and women since the 1988-1992 Multi-Year Affirmative Employment Plan (MYAEP). Some of the progress can be attributed to FHWA's implementation of its Diversity Program, which supports the objectives of the Affirmative Employment Program (AEP). The Diversity Program focuses on recruitment and retention issues to create a work setting in which all employees may work and develop to their full potential. In 1995, FHWA's Unit Managers received the Secretary of Transportation's Diversity Award for their progress in changing the work force composition. The FHWA also received the 1996 Employer of the Year Award from the Women in Transportation Seminar.

Currently, FHWA is faced with downsizing its work force in accordance with National Performance Review goals. The target FTE level for fiscal year (FY) 1999 is 3,524. While FHWA is downsizing, the representation of women and minorities is increasing slightly both for all permanent positions and for positions grade 13 and above. This increase shows that FHWA is retaining many of the minorities and women who are hired.

REPRESENTATION - ALL PERMANENT

FY	TOTAL	MW	MM	NW	NM
1994	3758	9.3%	9.3%	23.8%	57.6%
1995	3549	9.6%	9.7%	24.4%	56.4%

Minority women (MW) increased 0.3%, minority men (MM) increased 0.4%, and non-minority women (NW) increased 0.6% from 1994 to 1995.

REPRESENTATION - SES, GS-13-15 PERMANENT

FY	TOTAL	MW	MM	NW	NM
1994	1443	3.5%	10.9%	10.0%	75.5%
1995	1433	4.0%	11.0%	12.1%	72.9%

From 1994 to 1995, MW increased 0.5%, MM increased 0.1%, and NW increased 2.1%. While there have been increases of women and minorities in grades 13 and above, it is important to note that the percent of minority women and non-minority women is substantially lower at these levels than they are represented in the total permanent work force. Minority women represent 4% at GS-13 and above, while they are 9.6% in the permanent work force; non-minority women

represent 12.1 percent at GS-13 and above, yet are 24.4 percent of the permanent work force. This is because most of the office support positions are filled with women. Representation of minorities and women in the SES has steadily increased from 13.8 percent in October 1987 to 43.1 percent in 1997. Currently, there are 10 minorities and 15 women represented in 58 encumbered SES positions.

Unit Managers are given current data on their work force composition, hires, promotions, and separations. This was initiated in 1996, and the information is presented by grade, minority designation, and gender. This assists managers in evaluating their progress in ensuring their organization has a work force that is representative of the available population.

FHWA employees are encouraged to provide feedback and recommendations to management on human resources issues through the Human Resources (HR) Committee. The HR Committee, comprised of a cross-section of employees nationwide, serves as a sounding board for senior management. The HR Committee gathers input from employees by conducting town meetings nationwide and through employee surveys. Based on this, the HR Committee has made recommendations, many of which have been adopted, in the areas of career development, performance management, communication, mobility, diversity, wellness, telecommuting, flexible work schedules, and office support issues.

DELEGATION OF AUTHORITY AND ORGANIZATION CHART

This section of the report explains the responsibilities of EEO Program officials. An organization chart of FHWA is included at the end of this section.

The Federal Highway Administrator has the ultimate responsibility for all equal employment opportunity programs within FHWA. The Director, Office of Civil Rights (OCR), serves as the principal staff advisor to the Administrator on equal opportunity matters and ensures full and affirmative implementation of equal opportunity precepts within FHWA and recipient organizations.

The Federal Highway Administrator is responsible for the following:

1) Ensuring compliance with affirmative employment program instructions issued by Equal Employment Opportunity Commission (EEOC).

2) Establishing Agency-wide objectives.

3) Submitting an Agency-wide MYAEP Plan, accomplishment reports, and plan updates.

4) Providing current direction for the development of the program plan.

5) Approving systems for the evaluation of program effectiveness.

6) Ensuring that all Agency managers are held accountable for the achievement of affirmative employment objectives and fulfillment of equal employment opportunity requirements and objectives established by the Agency.

The Director, OCR, serves as FHWA Equal Employment Opportunity (EEO) Officer, and is responsible for the following:

1) Developing the Agency's MYAEP and annual accomplishment reports, as well as developing proposed affirmative employment program policies, standards, procedures, and guidance.

2) Communicating with executives and managers concerning the implementation of policies affecting equal employment opportunity and affirmative employment for minorities and women.

3) In coordination with the Associate Administrator for Administration, ensuring that adequate record keeping and information systems are established and in operation

throughout the Agency for monitoring and evaluating equal employment opportunity and affirmative employment programs.

4) Ensuring adherence to equal employment opportunity and affirmative employment program reporting instructions pursuant to current EEOC directives and internal Departmental and Agency guidance.

5) Monitoring and evaluating equal employment opportunity and affirmative employment programs throughout the Agency to ensure implementation of program objectives.

6) Ensuring that all persons with equal employment opportunity and affirmative employment program responsibilities are knowledgeable and adequately trained and that executives, managers, and supervisors are aware of the rights of all employees, Departmental and Agency equal employment opportunity policy, and relevant Departmental and Agency guidance.

7) Assisting and advising Agency management regarding the identification of equal opportunity problem areas and options for remedying those problem areas.

8) Publicizing equal employment opportunity and affirmative employment program policy, including names of the Director, OCR, and EEO Counselors to all Washington Headquarters (WH) and Regional offices.

9) Notifying all WH managers and supervisors of the roles and responsibilities of the EEO Counselors and the importance of cooperating with them as they attempt informal resolution of potential EEO complaints by employees and applicants for employment.

10) Attempting to informally resolve and dispose of allegations of discrimination before they are formally filed as complaints.

11) Providing equal employment opportunity staff support and assistance, as required, to the Eastern Federal Lands Highway Division located in Sterling, Virginia, as well as to the WH Associate Administrators, Staff Office Directors, and Intelligent Transportation System (ITS) Joint Program Director.

The Director, Office of Personnel and Training (OPT), is responsible for the following:

1) Directing personnel activities and working in conjunction with OCR to develop, issue, and monitor the annual FHWA Federal Equal Opportunity Recruitment Program (FEORP), which conveys to Agency managers the overall recruitment activities necessary to accomplish the objectives of the AEP.

2) Providing technical assistance and program resources to assist Agency managers and supervisors in fostering the employment and advancement of minorities and women.

3) Ensuring the accuracy of work force data submitted to the Office of Personnel Management's (OPM) Central Personnel Data File.

Directors, Regional OCRs, are responsible for the following:

1) Communicating with executives and managers concerning the implementation of policies affecting equal employment opportunity and affirmative employment for minorities and women.

2) In coordination with the Directors of the Regional Offices of Administration, ensuring that adequate record keeping and information systems are established and in operation throughout the Regions for monitoring and evaluating equal employment opportunity and affirmative employment programs.

3) Ensuring adherence to equal employment opportunity and affirmative employment program reporting instructions pursuant to current EEOC directives and internal Departmental and Agency guidance.

4) Monitoring equal employment opportunity and affirmative employment programs throughout the Region to assure implementation of program objectives.

5) Reporting periodically to the Regional Administrators and Regional Directors of Motor Carriers; to the Director, OCR; and to Central and Western Federal Lands Division Engineers on the status of equal employment opportunity and affirmative employment programs throughout the Regions.

6) Ensuring that all persons with equal employment opportunity and affirmative employment program responsibilities are knowledgeable and adequately trained and that managers and supervisors are aware of the rights of all employees, Departmental and Agency equal employment opportunity policies, and relevant Departmental guidance.

7) Advising the Regional Administrators and Regional Directors of Motor Carriers on all matters affecting the implementation of the Department's and Agency's EEO policy and program under their jurisdiction.

8) Monitoring and reporting on implementation of national employment objectives and action items.

9) Publicizing equal employment opportunity and affirmative employment program policy, including names of the Director, OCR , and EEO Counselors to all Regional employees and applicants for employment.

10) Notifying all managers and supervisors in the Regions of the responsibilities and objectives of the EEO Counselors and the importance of cooperating with the Counselors as they attempt informal resolution of allegations of discrimination by employees and applicants for employment.

11) Providing training, guidance, and assistance upon request to the EEO counselors.

12) Providing equal employment opportunity staff support and services, as required, to the Regional Directors of Motor Carrier Safety and to the Central and Western Federal Lands Highway Divisions in Denver, Colorado, and Vancouver, Washington, respectively, as well as to the Regional Administrators.

Managers and Supervisors are responsible for the following:

1) Managing the AEP down through the subordinate organizational units and developing a plan of action in support of the Agency-wide plan.

2) Ensuring that all subordinate supervisors are taking appropriate action in support of FHWA's objectives to achieve a fully-integrated work force at all levels.

3) Reviewing the selection actions when filling positions and considering work force diversity goals when making selections for positions in series and/or grades in which underrepresentation exists.

4) Maintaining a work environment free from conditions that may result in disparate or unequal treatment among coworkers.

The Executive Officers of the three Federal Lands Highway Divisions are responsible for AEP implementation and monitoring activities similar to responsibilities (1) through (11) of the Regional Directors of OCR. The Executive Officers are also responsible for advising Division Managers of significant developments regarding the status of and options to resolve formal discrimination complaints.

The EEO staff at all levels is responsible for assisting and advising management, administrative personnel, and complainants on the informal counseling and formal complaint processes.

The EEO Counselors are responsible for counseling any employee or applicant for employment who believes that he or she has been discriminated against because of race, color, religion, sex, national origin, age, disability, or retaliation in accordance with 29 CFR 1614.

The Special Emphasis Program Managers are responsible for the following:

1) **Federal Women's Program Manager (FWPM).** The FWPM is responsible for the following:

   a) Serving as the principal resource person and staff advisor to the Director, OCR on Federal regulations pertaining to the unique concerns/problems related to equal opportunity and affirmative action for women.

   b) Developing an FWP plan for the Agency that includes, but is not limited to, program direction, guidelines, technical assistance, and evaluation.

   c) Reviewing the Agency's plans and programs to ensure that they do not impact negatively on the employment of women.

   d) Providing technical advice and assistance to unit managers and supervisors, field FWPMs, Division Federal Women's Program Representatives, and Federal Lands Highway Division on the implementation of the FWP.

   e) Participating in the development and implementation of affirmative action plans to ensure that these plans address the underrepresentation and underutilization of women.

2) **Hispanic Employment Program Manager (HEPM).** The HEPM's responsibilities are similar to the FWPM's responsibilities, with the following exceptions:

   a) Establishing and maintaining outreach efforts and relationships with organizations and groups representing the Hispanic community.

   b) Evaluating HEP results to determine the program's effectiveness in reducing the underrepresentation of Hispanics in the work force.

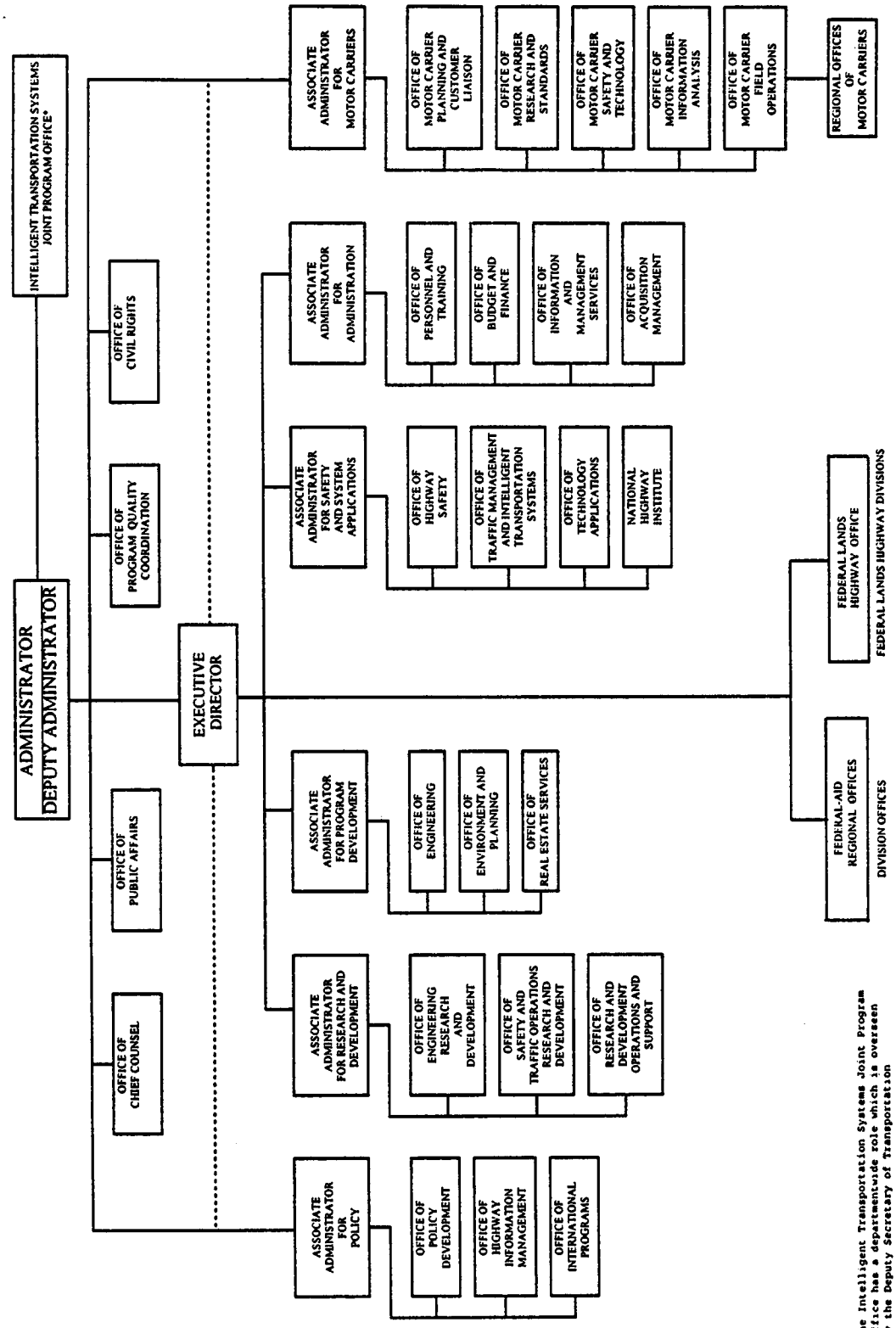
   c) Communicating with employees and employee groups and organizations to assess and strengthen their understanding, cooperation, and program support.

Unit Managers, as well as all other managers and supervisors, are expected to provide EEO leadership and direction within their respective organizational units by implementing their responsibilities in a manner that prevents discrimination, provides equal opportunity for training and development, and ensures fair treatment in all terms and conditions of employment in compliance with the Department's and Agency's objectives and obligation in the equal employment opportunity area. The accomplishment of EEO objectives will be evaluated along with other program objectives during the performance evaluation process.

The preceding description of FHWA is presented in the form of an organization chart that follows.

ORGANIZATION CHART

FEDERAL HIGHWAY ADMINISTRATION



*The Intelligent Transportation Systems Joint Program Office has a departmentwide role which is overseen by the Deputy Secretary of Transportation

CERTIFICATION OF QUALIFICATIONS OF EEO OFFICIALS

As the Director, Office of Personnel and Training for the Federal Highway Administration, I certify that the qualifications of the Washington Headquarters and Regional Equal Opportunity Officers meet the standards outlined in Qualifications Standards for General Schedule Positions Equal Opportunity Compliance GS-360.

The Headquarters and Field personnel are classified as GS-360 since the majority of their duties are in the external equal opportunity programs; i.e., disadvantaged business enterprise, contractor compliance, supportive services for disadvantaged business and on-the-job trainees for highway construction contractors, etc.

Jerry A. Hawkins

SIGNATURE

6/5/97

DATE

PLAN FOR THE PREVENTION OF SEXUAL HARASSMENT

This section describes the policy regarding sexual harassment and the actions taken to prevent sexual harassment in the workplace.

ISSUANCE OF POLICY STATEMENT

The FHWA is committed to providing a work environment free of sexual harassment. An official statement of the Agency's policy regarding sexual harassment was issued on June 30, 1993. It is the intention of the Agency to discourage employee misconduct that undermines the integrity of the employment relationship and the principle of good personnel management. At the same time, it is not the intention of the Agency to regulate the social interaction or relationships freely entered into by Department employees.

Sexual harassment is a violation of Title VII of the Civil Rights Act of 1964, as amended, and is a prohibited personnel practice. Complaint channels include the Administrative and Negotiated Grievance Systems; the Discrimination Complaint Process; the DOT's Inspector General; the Criminal Complaint Process; and informal challenges, supervisory intervention, and preventative measures.

OTHER ISSUANCES

A sexual harassment statement is included in the Agency's Employee Handbook, Chapter VII, B, "Conduct During Working Hours."

TRAINING MANAGERS/SUPERVISORS/EMPLOYEES

Awareness of sexual harassment is an integral part of mandatory supervisory and managerial training of Headquarters and field staff. Five videos on recognition and prevention of sexual harassment have been purchased and are available to WH and field offices through FHWA Video Library. The titles of the videos are as follows:

Sexual Harassment: Intent vs. Impact
Sexual Harassment in the Workplace
Handling the Sexual Harassment Complaint
Subtle Sexual Harassment
Sexual Harassment: Is It or Isn't It?

The FHWA continues to seek relevant, up-to-date videos on sexual harassment issues for inclusion in its library. Concepts and discussions concerning sexual harassment are included in supervisory training courses to apprise supervisors of their duties and responsibilities.

OTHER ACTIONS

1) During FY94, FHWA hired a consulting firm specializing in sexual harassment to present training that provided basic information to all employees and supervisors. It included the legal definition and behavioral aspects of sexual harassment; the responsibilities of the Agency, the supervisor, and the employee for preventing sexual harassment; some suggested practices for dealing with alleged sexual harassment; and an exploration of some workplace issues that relate to sexual harassment. Periodic sexual harassment prevention efforts are conducted at the local level by Regional Civil Rights Directors and WH's OCR.

2) The FHWA New Employee Orientation Program manual includes a chapter on EEO/Sexual Harassment. Each new employee receives a copy of the manual, which contains the Agency's Sexual Harassment Policy Statement and a brief overview concerning sexual harassment in the workplace. New employees also receive a copy of "Preventing Sexual Harassment—A Fact Sheet for Employees," published by The Bureau of National Affairs, Inc.

STATEMENT OF ADEQUATE MONITORING/ EVALUATION OF SYSTEM

Within the first quarter of each fiscal year, the Agency should conduct an internal evaluation covering accomplishments during the previous fiscal year in EEO and affirmative employment. The OCR and OPT will have overall responsibility for conducting the review and determining how to utilize personnel and EEO staff. In addition to covering the topics and data required for reporting annually to the EEOC, as set forth in the Management Directive, the review system will take into account information from the following:

1) An automated information system will be used to provide data, on not less than an annual (fiscal year) basis, showing representation of minorities and women in each major occupational category as of the end of the review period.

2) The evaluation report will summarize in narrative form the trends reflected in the data, apparent reasons for gains and losses, and recommendations for addressing lingering problems of manifest imbalance and the conspicuous absence of minorities and women.

3) An assessment will be made of the extent to which identified barriers to employment are relevant and within the Agency's control. The effectiveness of innovative staffing techniques and revisions to Agency selection procedures, as they relate to such barriers, will also be addressed.

4) An assessment will be made of the effectiveness of joint planning for affirmative employment on the part of OCR and OPT staff and other management staff.

5) The Executive Director, or designees, will review proposed selections for key positions in which there is underrepresentation and discuss with the selection officials, personnel office staff, and other management officials any apparent failure to give full consideration to affirmative employment objectives. To eliminate underrepresentation in jobs that lead to leadership positions, Unit Managers will review proposed selections for positions in which there is underrepresentation and discuss affirmative employment considerations with the selecting official.

PROGRAM ANALYSIS

I. ORGANIZATION AND RESOURCES

This section of the report examines how FHWA is organized to address their affirmative employment needs.

The successful implementation of FHWA's EEO Program and the achievement of work force diversity are major functions within the management structure of FHWA. The OCR and OPT are the offices holding major responsibilities in these areas. The OCR reports directly to the Administrator, while OPT reports to the Associate Administrator for Administration. These offices are responsible for developing administrative policies to ensure equal employment opportunity, work force diversity, and affirmative action for FHWA employees and applicants for employment.

The OCR is composed of 2 Divisions, the Policy and Program Development Division and the Program Operations Division, and has 20 full-time employees. The Director of OCR is responsible for managing and promoting programs to ensure fair and equitable treatment of all persons employed or affected by Federal highway-funded programs, regardless of race, color, religion, national origin, sex, age, disability, or sexual orientation. The Director also participates in senior staff meetings and planning sessions in which decisions on management issues, staffing plans, and other significant goals and activities are made.

FHWA's total work force as of October 8, 1995, was 3,549 full-time permanent employees. The Associate Administrators, Staff Office Directors, Federal Lands Highway Program Administrator and ITS Joint Program Director rely on OCR for assistance and guidance on EEO diversity and affirmative action matters. Each Regional office has a Regional Civil Rights Director who reports directly to the Regional Administrator and provides advice and guidance on those matters. The Civil Rights Director also provides support to the Regional Director of Motor Carriers. The Federal Lands Executive Officer provides advice and guidance to the Federal Lands Division Engineers.

FHWA has 7 EEO Counselors in WH and 23 EEO Counselors in field offices. At least one Counselor is located in each FHWA Region and each Federal Lands Highway Division. FHWA's goal is to provide the opportunity for face-to-face counseling to any employee who believes (s)he has been discriminated against because of race, color, religion, sex, national origin, age, disability, or sexual orientation, or believes that (s)he is being retaliated against because of his/her participation in the EEO process. The OCR published a brochure in August 1996 on the EEO Counseling process; the brochure provides the names and telephone numbers of EEO Counselors. There is concern about the lack of and/or the availability of a written discrimination process to which every employee has access. Another area of concern is the proper steps to take once the

counseling process is completed and the employee still wants to file a formal discrimination complaint.

Administering the Special Emphasis Programs is the responsibility of OCR. The FWPM and the HEPM positions are both vacant. The FWP activities are currently being coordinated by some WH and field staff as a collateral duty, and the HEP is being managed by a representative from one of FHWA's WH Program offices. While this shows interest and concern about the programs, WH guidance is needed to provide consistency and a national direction. The Special Emphasis Program coordinators have the authority to initiate and implement special events targeted at establishing or improving public relations, promoting Special Emphasis Programs and accomplishing program objectives, and improving employee morale. Agency managers maintain a liberal view of using administrative time to attend training or commemorations sponsored by one of the special emphasis groups. Efforts are made by all EEO officials, both in WH and the field, to establish and maintain a good working relationship with special emphasis organizations. It should be noted that these positions were also vacant when the 1988-1992 AEP was prepared, and a lack of commitment to support these program activities was noted at that time.

The OPT administers the training and developmental programs for FHWA. Information needed to develop an Agency-wide training plan is gathered through the Training Management System (TMS). Once the plan is approved by the Executive Director, the FHWA Annual Training Plan is issued to each organization, which in turn consolidates centrally funded training and local training. The central training budget increased from $912,000 in 1987 to $4,200,000 in 1994, but it was reduced to $1,399,000 for 1996 due to National Performance Review mandated reductions. The OCR in WH and each Regional OCR maintains control of its own operating budget. Funds are provided for EEO staff training, travel expenses, and program operations.

All performance appraisals of supervisory and managerial personnel must include an evaluation of equal employment opportunity and diversity accomplishments as one of their performance objectives. The Incentive Awards Program is one form of recognition of significant achievements in the equal employment opportunity/work force diversity area for managers who exceed their normal responsibilities. In 1995, each FHWA Unit Manager received the Secretary of Transportation's Diversity Award for noted progress in changing the work force composition and expanding employee skills, particularly in senior and middle management, and in the recruitment and development of a strong work force that demonstrates diversity in skills, talent, culture, and national origin.

The Agency's appraisal system includes an element that rates senior managers' and supervisors' support of the Agency's affirmative employment efforts. In addition, the Agency provides to Unit Managers periodic data that show a breakout by EEO groups of selections that have been made during the current fiscal year.

This review indicates that OCR and OPT carry the primary responsibilities for initiatives related to internal equal employment opportunity, diversity, and affirmative action. However, FHWA also created an additional organization, the Human Resources Management Committee, to discover

and address human resource management issues that affect employee morale and Agency effectiveness. The Committee, consisting of approximately 15 employees from WH and the field, who serve on a rotating basis, acts as a major focal point for FHWA on employee concerns. During 1995, the Committee played a key role in formulating and analyzing responses to an Agency-wide survey designed to determine how employees feel about their work, the direction of the Agency, the resources available to do their work, management practices, internal communications, and various employee programs. After reviewing the survey results, the Committee submitted several recommendations to FHWA senior management to address employee concerns. The Committee also conducted six listening sessions in the field to provide employees with recent information on Agency human resource programs and issues and to solicit concerns, suggestions, and questions from employees.

In summary, this review indicates that the Agency has made tremendous strides in the EEO, diversification, and human resource areas since the last AEP report. However, there is a concern that the increasing emphasis on external EEO activities in the Federal-aid highway program has reduced the attention of the OCR managers and supervisors to internal matters such as diversity and internal EEO activities.

It is recommended that the Human Resources Management Committee be chartered with the responsibility to ensure the integration of affirmative employment into all Agency management activities. The Committee would be responsible for:

1) Monitoring, in conjunction with the Directors of OCR and OPT, the attainment of employment objectives of the AEP.

2) Recommending alternatives to eliminate discriminatory barriers of employment actions, promotions, and awards.

3) Encouraging diverse representation on FHWA committees, task forces, and working groups.

4) Reporting to the FHWA Leadership Team the status of the Agency's diversity and internal EEO activities.

REPORT OF OBJECTIVES AND ACTION ITEMS

PROGRAM ELEMENT: I. ORGANIZATION AND RESOURCES

PROBLEM/BARRIER STATEMENT: The OCR does not devote sufficient resources to internal EEO matters, and therefore does not provide emphasis throughout FHWA.

OBJECTIVE: To expand the role of the Human Resources Management Committee to include internal EEO matters

RESPONSIBLE OFFICIAL: Executive Director, Director, Office of Civil Rights

TARGET DATE: September 30, 1997

ACTION ITEMS:	RESPONSIBLE OFFICIAL:	TARGET DATE:
Expand the role of the Human Resources Management Committee to include internal EEO matters	Executive Director, Director, Office of Civil Rights	September 30, 1997

PROGRAM ANALYSIS

II. WORK FORCE

An analysis of the FHWA's work force was conducted by Professional, Administrative, Technical, and Clerical (PATCOB) categories and major occupations for FY 1995 (as of October 8, 1995), using data from the Consolidated Personnel Management Information System. The analysis was accomplished using National Civilian Labor Force (CLF) data for comparison. The representation of the various EEO groups in each grade and in key field positions in the Agency were also analyzed. This was accomplished by comparing the percent of each group within the grade level with the percent of the group within FHWA.

The PATCOB analysis indicated a manifest imbalance for Asian-American/Pacific Islander males in the professional category. A conspicuous absence remains for Hispanic females in the Administrative category; Asian-American/Pacific Islander and American Indian males in the technical category; and Hispanic, Asian-American/Pacific Islander, and American Indian males in the clerical category. There is also a manifest imbalance of Hispanic females in the clerical category. In the analysis of major occupations, FHWA is within a few percentage points of parity, except for White females in the Engineering Technician, Realty Specialist, and Motor Carrier/Safety Specialist occupations.

The analysis of EEO groups by grade indicated an underrepresentation of females in key Agency jobs. The most significant imbalance between overall percentage in the Agency work force and percentage in upper-level positions occurs in White and Black females. The overall trend from FY87 to FY95 shows improvement in all EEO

A. Analysis of PATCOB Categories

The analysis of Form EEOC 569, Distribution of EEO Groups, and comparison by PATCOB as of October 8, 1995 (exhibit II-1), revealed an underrepresentation in the following PATCOB category:

PROFESSIONAL:	**White females**	**15.47%**	**232**
	Black females	1.93%	29
	Hispanic females	0.75%	11
	American Indian female	0.07%	1

On all the charts in this section, asterisks are used to denote conspicuous absence and bold type to denote a manifest imbalance. The percentage listed is the degree of underrepresentation in the occupational category for the group compared to the CLF. The number next to the percentage denotes the additional members of the group needed for the FHWA to reach parity with the CLF

at its October 1995 strength for the category. For instance, in the professional category, FHWA is 15.47 percent below the CLF for White females. To reach parity within this group at its current strength of 1,502 professionals (see exhibit II-2), FHWA needs 232 more White females. Similar percentages and needs are shown for each category and EEO group.

The PATCOB analysis is particularly misleading for FHWA since 1,248 of its 1,502 professionals are engineers. The preponderance of professionals in the engineering occupations, with a correspondingly lower percentage of women and minorities available in the CLF, may distort the picture. For this reason, two separate analyses of the professional category are presented. The previous analysis looks at FHWA's 1,502 professionals as compared to the CLF for professionals. The following analysis compares both the 1,248 engineers to the CLF for engineers and the remaining 254 professionals to the CLF for professionals. To accomplish this, the following table was developed:

TOTAL		White		Black		Hispanic		Asian/ Pacific		American Indian	
	All	M	F	M	F	M	F	M	F	M	F
Professionals	1502	1099	171	52	13	60	6	74	18	8	1
Civil Engineer Professionals	1248	961	103	38	5	54	4	64	13	6	0.00
Other Professionals	254	138	68	14	8	6	2	10	5	2	1
Professionals (CLF)		60.62	26.85	2.33	2.79	2.16	1.14	2.53	1.12	0.21	0.13
Number Required for Parity		154	68	6	7	5	3	6	3	1	0.00
Other Professionals Over/Under		-16	0.00	+8	+1	+1	-1	+4	+2	+1	+1
Civil Engineer Professionals	1248	961	103	38	5	54	4	64	13	6	0
Civil Engineers (CLF)		85.7	2.5	2.3	0.2	2.7	0.1	6.0	0.2	0.3	0
Number Required for Parity		1070	31	29	2	34	1	75	2	4	0
Civil Engineers Over/Under		-109	+72	+9	+3	+20	+3	-11	+11	+2	0

TOTAL		White		Black		Hispanic		Asian/ Pacific		American Indian	
Professionals Over/Under		-125	+72	+17	+4	+21	+2	-7	+13	+3	+1

As the chart shows, when examining FHWA's professional category as a predominantly engineering group, FHWA has done exceedingly well in attracting minority and women professionals. It needs only to attract seven additional Asian-American/Pacific Islander (Asian/Pacific) males to exceed parity in all EEO groups for the professional category. There is no longer a conspicuous absence or manifest imbalance in any category.

ADMINISTRATIVE:	White females	1.35%	17
	Hispanic males	0.91%	11
	Hispanic females	0.65%	8
	Asian/Pacific males	0.11%	1

In the administrative category, the 1988-1992 MYAEP identified White females and Hispanic males and females as EEO groups in which a manifest imbalance existed. Since then, the percentage of White and Hispanic females in administrative occupations has increased dramatically, coming closer to the CLF percentage. However, Asian-American/Pacific Islander males are now slightly underrepresented as compared to the CLF.

TECHNICAL:	White females	0.24%	1
	Black males	1.02%	4
	Hispanic females	0.60%	3
	Asian/Pacific males	1.24%	5
	*American Indian males	0.25%	1

In the technical category, the MYAEP identified White females, Black males, Hispanic females, and Other Minorities as groups in which there were manifest imbalances. All of these groups remain underrepresented, although only slightly. Hispanic females are no longer considered conspicuously absent, though improvements still need to be made. There is a conspicuous absence of Asian-American/Pacific Islander and American Indian males.

CLERICAL:	Black males	0.69%	2
	*Hispanic males	1.88%	6
	Hispanic females	**2.76%**	**9**
	*Asian/Pacific males	0.68%	2
	Asian/Pacific females	0.04%	0
	*American Indian males	0.12%	0

In the clerical category, the MYAEP identified Black and Hispanic males, Hispanic females, and Other Minorities as groups in which there were manifest imbalances, with Hispanic males being conspicuously absent. There remains a conspicuous absence of Hispanic males and a manifest imbalance of Hispanic females. There is also a conspicuous absence of Asian-American/Pacific Islander and American Indian males.

B. Analysis of Major Occupations

An analysis was made of the distribution of EEO groups within FHWA's major occupations compared with the CLF for these occupations. EEOC provided the Department of Transportation (DOT) with national differentiated CLF data for various occupational series that included GS-0318 Secretary, GS-0322 Clerk Typist, GS-0802 Engineering Technician, GS-0810 Civil Engineer, GS-1170 Realty Specialist, GS-2101 Transportation Specialist, GS-2123 Motor Carrier Specialist, and GS-2125 Highway Safety Specialist (exhibit II-3). The CLF data was used to evaluate EEO group representation in FHWA in seven of these major occupations. The CLF comparisons were not performed on the Clerk Typist series, since FHWA had only one person in this classification.

The analysis revealed an underrepresentation for the following EEO groups in major Agency occupations as of October 8, 1995. As in the PATCOB analysis, asterisks denote conspicuous absence; bold type denotes manifest imbalance; the percentage denotes the degree of underrepresentation in the major occupations for the group compared to the CLF; and the number at the right denotes the additional representatives of the group FHWA needs to reach parity with the CLF at its October 1995 strength for the occupation. For instance, in the secretary category, FHWA is 2.36 percent below the CLF for Black males. To reach parity within this occupation at its current strength of 239 secretaries (exhibit II-4), FHWA needs 6 more Black males. Similar percentages and needs are shown for each occupation and EEO group.

SECRETARY:	**Black males**	**2.36%**	**6**
(CLERICAL)	*Hispanic males	1.88%	4
	Hispanic females	**2.57%**	**6**
	*Asian/Pacific males	0.68%	2
	Asian/Pacific females	0.27%	1
	*American Indian males	0.12%	0

All males are underrepresented in office support-related occupations, as was true in the MYAEP. Specifically, there are conspicuous absences of Hispanic, Asian-American/Pacific Islander, and American Indian males in secretarial positions. However, American Indian and Asian-American/Pacific Islander female representation in this occupation have dramatically improved. While there is still a manifest imbalance of Hispanic females and Black males, the numbers are improving. Hispanic females are no longer considered conspicuously absent, as in the MYAEP.

ENGINEERING TECHNICIAN:	**White females**	**14.97%**	**28**
	Black females	1.67%	3
	*Hispanic females	0.90%	2
	*Asian/Pacific males	1.50%	3
	Asian/Pacific females	0.27%	1
	*American Indian males	0.30%	1

Although a manifest imbalance in White females remains, there is no longer a conspicuous absence of White, Black, and Asian-American/Pacific Islander female engineering technicians. As in the MYAEP, Hispanic females and Asian-American/Pacific Islander and American Indian males remain conspicuously absent in this occupation as compared to the CLF.

CIVIL ENGINEER:	Asian/Pacific males	0.88%	11

Asian-American/Pacific Islander males fall below their representative numbers as compared to the CLF. All other EEO groups exceed their representative numbers as compared to the CLF for this occupation.

REALTY SPECIALIST:	**White females**	**15.46%**	**13**
	Black females	0.67%	1
	*Hispanic females	1.30%	1
	*Asian/Pacific males	1.08%	1
	*Asian/Pacific females	0.51%	0
	*American Indian males	0.32%	0
	*American Indian females	0.17%	0

Although their representation has increased, a manifest imbalance remains for White females in the Realty Specialist occupation. A conspicuous absence still remains for Hispanic females, Asian-American/Pacific Islander males and females, and American Indian males and females.

TRANSPORTATION SPECIALISTS:	**White females**	**2.86%**	**6**
	Black males	0.55%	1
	Hispanic males	1.22%	2
	Hispanic females	0.27%	1
	Asian/Pacific males	0.57%	1
	* American Indian males	0.32%	1

A manifest imbalance for White females and a conspicuous absence for American Indian males exist in the Transportation Specialist occupation.

MOTOR CARRIER HIGHWAY SAFETY SPECIALISTS:	**White females**	**8.13%**	**34**
	Black females	0.51%	2
	Hispanic males	0.87%	4

	Hispanic females	0.83%	4
	*Asian/Pacific females	0.51%	2

The Motor Carrier (MC) Highway Safety Specialist positions were combined due to their similarity in function and job description. In the combined occupations, the representation of Hispanic females has improved since the MYAEP, which indicated that they were conspicuously absent. White females have improved from conspicuously absent to a manifest imbalance since the MYAEP. A conspicuous absence of Asian-American/Pacific Islander females remains.

MOTOR CARRIER SPECIALIST:	**White females**	**3.23%**	**8**
	Hispanic males	0.82%	2
	Hispanic females	0.53%	1
	Asian/Pacific males	0.25%	1
	*Asian/Pacific females	0.51%	1

A manifest imbalance of White females and a conspicuous absence of Asian-American/Pacific Islander females exist in the MCS specialist occupation.

HIGHWAY SAFETY SPECIALISTS:	**White females**	**15.73%**	**26**
	Black females	1.33%	2
	Hispanic males	0.96%	2
	*Hispanic females	1.30%	2
	Asian/Pacific males	0.48%	1
	*Asian/Pacific females	0.51%	1

This new occupational series reveals a conspicuous absence of Hispanic and Asian-American/Pacific Islander females and a manifest imbalance of White females.

DISTRIBUTION OF EEO GROUPS AND COMPARISON BY PATCOB

OCCUPATIONAL CATEGORY AND SES	TOTAL			WHITE		BLACK		HISPANIC		ASIAN AMER/ PACIFIC ISL		AMER INDIAN ALASKA NATIVE		TOTAL MINORITIES		
	ALL	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	ALL	MALE	FEMALE
AGENCY PROFESSIONAL	100%	86.08	13.91	73.16	11.38	3.46	.86	3.99	.39	4.92	1.19	.53	.06	15.44	12.91	2.52
CIVILIAN LABOR FORCE	100%	67.85	32.03	60.62	26.85	2.33	2.79	2.16	1.14	2.53	1.12	.21	.13	12.41	7.23	5.18
AGENCY ADMINISTRATIVE	100%	64.16	35.83	55.51	25.22	5.38	8.73	1.87	.65	.97	.81	.40	.40	19.26	8.65	10.61
CIVILIAN LABOR FORCE	100%	68.24	31.68	60.44	26.57	3.64	3.13	2.76	1.30	1.08	.51	.32	.17	12.91	7.80	5.11
AGENCY TECHNICAL	100%	48.04	51.95	41.83	36.78	2.52	11.49	3.67	1.83	.00	.91	.00	.91	21.37	6.20	15.17
CIVILIAN LABOR FORCE	100%	52.94	46.96	45.22	37.02	3.54	6.34	2.69	2.43	1.24	.91	.25	.26	17.66	7.72	9.94
AGENCY CLERICAL	100%	5.95	94.04	3.86	64.28	2.08	25.59	.00	1.48	.00	1.48	.00	1.19	31.84	2.08	29.76
CIVILIAN LABOR FORCE	100%	27.14	72.73	21.69	57.32	2.77	9.29	1.88	4.24	.68	1.52	.12	.36	20.86	5.45	15.41
AGENCY OTHER	100%	64.28	35.71	50.00	23.80	7.14	7.14	2.38	4.76	4.76	.00	.00	.00	26.19	14.28	11.90
CIVILIAN LABOR FORCE	100%	89.85	10.06	75.25	7.71	8.34	1.61	4.77	.56	.73	.09	.76	.09	16.95	14.60	2.35
AGENCY BLUE COLLAR	100%	100.00	.00	66.66	.00	22.22	.00	.00	.00	.00	.00	11.11	.00	33.33	33.33	.00
CIVILIAN LABOR FORCE	100%	80.0	19.7	64.2	14.3	8.4	2.9	6.1	2.0	.8	.4	.5	.1	21.2	15.8	5.4

EEOC FORM 589 (8/87)

EXHIBIT II-1

FEDERAL HIGHWAY ADMINISTRATION

95-10-08

NUMERICAL OBJECTIVE ACCOMPLISHMENTS BY PATCOB

OCCUPATIONAL CATEGORY	PLANNED/ ACTUAL	TOTAL			WHITE		BLACK		HISPANIC		ASIAN-AMER./ PACIFIC ISL.		AMER. INDIAN ALASKA NATIVE		TOTAL MINORITIES		
		ALL	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	ALL	MALE	FEMALE
PROFESSIONAL	1994	1608	1407	201	1207	165	55	13	63	5	75	17	7	1	236	200	36
	ACTUAL	1502	1293	209	1099	171	52	13	60	6	74	18	8	1	232	194	38
ADMINISTRATIVE	1994	1264	828	436	722	310	66	105	23	7	10	10	7	4	232	106	126
	ACTUAL	1225	786	439	680	309	66	107	23	8	12	10	5	5	236	106	130
TECHNICAL	1994	421	220	201	192	137	10	47	16	4	2	6	0	7	92	28	64
	ACTUAL	435	209	226	182	160	11	50	16	8	0	4	0	4	93	27	66
CLERICAL	1994	413	26	387	19	271	7	99	0	9	0	5	0	3	123	7	116
	ACTUAL	336	20	316	13	216	7	86	0	5	0	5	0	4	107	7	100
OTHER	1994	41	22	19	17	12	3	6	0	1	2	0	0	0	12	5	7
	ACTUAL	42	27	15	21	10	3	3	1	2	2	0	0	0	11	6	5
BLUE COLLAR	1994	11	11	0	8	0	2	0	0	0	0	0	1	0	3	3	0
	ACTUAL	9	9	0	6	0	2	0	0	0	0	0	1	0	3	3	0
TOTAL	1994	3758	2514	1244	2165	895	143	270	102	26	89	38	15	15	698	349	349
	ACTUAL	3549	2344	1205	2001	866	141	259	100	29	88	37	14	14	682	343	339
	PERCENT	100%	66.0%	34.0%	56.4%	24.4%	4.0%	7.3%	2.8%	0.8%	2.5%	1.0%	0.4%	0.4%	19.2%	9.7%	9.6%

EEOC FORM 568 (8/87)

EXHIBIT II-2

FEDERAL HIGHWAY ADMINISTRATION

95-10-08

DISTRIBUTION OF EEO GROUPS AND COMPARISON FOR MAJOR OCCUPATIONS

SERIES NAME CATEGORY		TOTAL			WHITE		BLACK		HISPANIC		ASIAN AMER/ PACIFIC ISL		AMER INDIAN ALASKA NATIVE		TOTAL MINORITIES		
		ALL	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	ALL	MALE	FEMALE
(Series) 0318 (Name) SECRETARY (Category) C	AGENCY	100%	1.67	98.32	1.25	64.85	.41	29.70	.00	1.67	.00	1.25	.00	.83	33.89	.41	33.47
	CIVILIAN LABOR FORCE	100%	27.14	72.73	21.69	57.32	2.77	9.29	1.88	4.24	.68	1.52	.12	.36	20.86	5.45	15.41
(Series) 0322 (Name) CLERK-TYPIST (Category) C	AGENCY	100%	.00	100.00	.00	100.00	.00	.00	.00	.00	.00	.00	.00	.00	.00	.00	.00
	CIVILIAN LABOR FORCE	100%	27.14	72.73	21.69	57.32	2.77	9.29	1.88	4.24	.68	1.52	.12	.36	20.86	5.45	15.41
(Series) 0802 (Name) ENGINEERING TECHNICIAN (Category) T	AGENCY	100%	93.54	6.45	81.18	4.83	3.76	.53	8.60	.00	.00	.53	.00	.53	13.97	12.36	1.61
	CIVILIAN LABOR FORCE	100%	76.2	23.8	68.5	19.8	3.4	2.2	2.5	.9	1.5	.8	.3	.1	11.7	7.7	4.0
(Series) 0810 (Name) CIVIL ENGINEERING (Category) P	AGENCY	100%	89.98	10.01	77.00	8.25	3.04	.40	4.32	.32	5.12	1.04	.48	.00	14.74	12.98	1.76
	CIVILIAN LABOR FORCE	100%	97.0	3.0	85.7	2.5	2.3	.2	2.7	.1	6.0	.2	.3	.0	11.8	11.3	.5

EEOC FORM 570 (8/87)

EXHIBIT II-3
(page 1 of 2)

FEDERAL HIGHWAY ADMINISTRATION 95-10-08

DISTRIBUTION OF EEO GROUPS AND COMPARISON FOR MAJOR OCCUPATIONS

SERIES NAME CATEGORY		TOTAL			WHITE		BLACK		HISPANIC		ASIAN AMER/ PACIFIC ISL		AMER INDIAN ALASKA NATIVE		TOTAL MINORITIES		
		ALL	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	ALL	MALE	FEMALE
(Series) 1170 (Name) REALTY (Category) A	AGENCY	100%	86.41	13.58	79.01	11.11	3.70	2.46	3.70	.00	.00	.00	.00	.00	9.87	7.40	2.46
	CIVILIAN LABOR FORCE	100%	68.24	31.68	60.44	26.57	3.64	3.13	2.76	1.30	1.08	.51	.32	.17	12.91	7.80	5.11
(Series) 2101 (Name) TRANSPORTATION SPECIALIST (Category) A	AGENCY	100%	62.88	37.11	57.73	23.71	3.09	11.34	1.54	1.03	.51	.51	.00	.51	18.55	5.15	13.40
	CIVILIAN LABOR FORCE	100%	68.24	31.68	60.44	26.57	3.64	3.13	2.76	1.30	1.08	.51	.32	.17	12.91	7.80	5.11
(Series) 2123 (Name) MOTOR CARRIER SAFETY (Category) A	AGENCY	100%	71.59	28.40	62.64	23.34	5.05	3.89	1.94	.77	1.55	.00	.38	.38	14.00	8.94	5.05
	CIVILIAN LABOR FORCE	100%	68.24	31.68	60.44	26.57	3.64	3.13	2.76	1.30	1.08	.51	.32	.17	12.91	7.80	5.11
(Series) 2125 (Name) HIGHWAY SAFETY (Category) A	AGENCY	100%	86.74	13.25	77.10	10.84	6.02	1.80	1.80	.00	.60	.00	1.20	.60	12.04	9.63	2.40
	CIVILIAN LABOR FORCE	100%	68.24	31.68	60.44	26.57	3.64	3.13	2.76	1.30	1.08	.51	.32	.17	12.91	7.80	5.11

EEOC FORM 570 (8/87)

EXHIBIT II-3
(page 2 of 2)

NUMERICAL OBJECTIVE ACCOMPLISHMENTS BY MAJOR OCCUPATIONS

SERIES NAME CATEGORY	PLANNED/ ACTUAL	TOTAL			WHITE		BLACK		HISPANIC		ASIAN-AMER./ PACIFIC ISL.		AMER. INDIAN ALASKA NATIVE		TOTAL MINORITIES		
		ALL	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	ALL	MALE	FEMALE
(Series) 0318 SECRETARY (Category) C	1994	300	4	296	3	201	1	83	0	7	0	3	0	2	96	1	95
	ACTUAL	239	4	235	3	155	1	71	0	4	0	3	0	2	81	1	80
(Series) 0322 CLERK-TYPIST (Category) C	1994	2	0	2	0	2	0	0	0	0	0	0	0	0	0	0	0
	ACTUAL	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0
(Series) 0802 ENGINEERING TECHNICIAN (Category) T	1994	208	194	14	169	10	7	1	16	0	2	1	0	2	29	25	4
	ACTUAL	186	174	12	151	9	7	1	16	0	0	1	0	1	26	23	3
(Series) 0810 CIVIL ENGINEERING (Category) P	1994	1346	1223	123	1056	100	41	5	57	4	64	13	5	1	190	167	23
	ACTUAL	1248	1123	125	961	103	38	5	54	4	64	13	6	0	184	162	22
(Series) 1170 REALTY (Category) A	1994	99	86	13	79	11	3	2	4	0	0	0	0	0	9	7	2
	ACTUAL	81	70	11	64	9	3	2	3	0	0	0	0	0	8	6	2
(Series) 2101 TRANSPORTATION SPECIALIST (Category) A	1994	170	105	65	99	42	4	21	2	0	0	1	0	1	29	6	23
	ACTUAL	194	122	72	112	46	6	22	3	2	1	1	0	1	36	10	26

EEOC FORM 568 (8/87)

EXHIBIT II-4
(page 1 of 2)

FEDERAL HIGHWAY ADMINISTRATION

95-10-08

NUMERICAL OBJECTIVE ACCOMPLISHMENTS BY MAJOR OCCUPATIONS

SERIES NAME CATEGORY	PLANNED/ ACTUAL	TOTAL			WHITE		BLACK		HISPANIC		ASIAN-AMER./ PACIFIC ISL.		AMER. INDIAN ALASKA NATIVE		TOTAL MINORITIES		
		ALL	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	ALL	MALE	FEMALE
(Series) 2123 MOTOR CARRIER SAFETY (Category) A	1994	275	194	81	171	68	13	10	5	2	4	0	1	1	36	23	13
	ACTUAL	257	184	73	161	60	13	10	5	2	4	0	1	1	36	23	13
(Series) 2125 HIGHWAY SAFETY (Category) A	1994	179	158	21	140	17	10	3	4	0	1	0	3	1	22	18	4
	ACTUAL	166	144	22	128	18	10	3	3	0	1	0	2	1	20	16	4

EEOC FORM 568 (8/87)

EXHIBIT II-4
(page 2 of 2)

C. Analysis of EEO Groups by Grade

An analysis was also made of the representation of various EEO group members by grade in the Agency.

The following tables and exhibits clearly indicate an underrepresentation of women in key Agency jobs when the percentage of women in the various groups and grades is compared to the percentage of women in the Agency work force (see table 1). The most significant imbalance between overall percentage in the Agency work force and percentage in upper-level positions occurs in White and Black females. Hispanic females are still conspicuously absent from grades GS-14 through Senior Executive Series (SES). The overall trend from FY87 to FY95 shows improvement in all minority groups and women.

Exhibit II-5 is a chart showing the number of FHWA employees from FY87 to FY95. Exhibit II-6 shows the distribution by grade of minorities in FY87, and exhibit II-7 shows the distribution by grade of minorities in FY95.

TABLE 1.—*EEO groups by grade*

	FY87				FY95			
White:	**Male**		**Female**		**Male**		**Female**	
Grade	**No.**	**%Total**	**No.**	**%Total**	**No.**	**%Total**	**No.**	**%Total**
SES	52	90	3	5	39	70	9	16
GS-15	146	91	6	4	160	82	18	9
GS-14	267	87	15	5	240	73	35	11
GS-13	637	83	41	5	606	71	111	13
GS-13-SES	1102	85	65	5	1045	73	173	12
GS-9-12	789	71	127	11	839	61	298	22
GS-1-8	306	29	453	44	117	16	395	54
Percent of Agency Work Force						**56**		**24**
Black:	**Male**		**Female**		**Male**		**Female**	
Grade	**No.**	**%Total**	**No.**	**%Total**	**No.**	**%Total**	**No.**	**%Total**
SES	2	3	0	0	5	9	1	2
GS-15	4	3	0	0	7	4	3	2
GS-14	11	4	3	1	17	5	5	2
GS-13	22	3	8	1	31	4	31	4
GS-13-SES	39	3	11	1	60	4	40	3
GS-9-12	51	5	44	4	62	4	74	5
GS-1-8	42	4	177	17	19	3	145	20
Percent of Agency Work Force						**4**		**7**

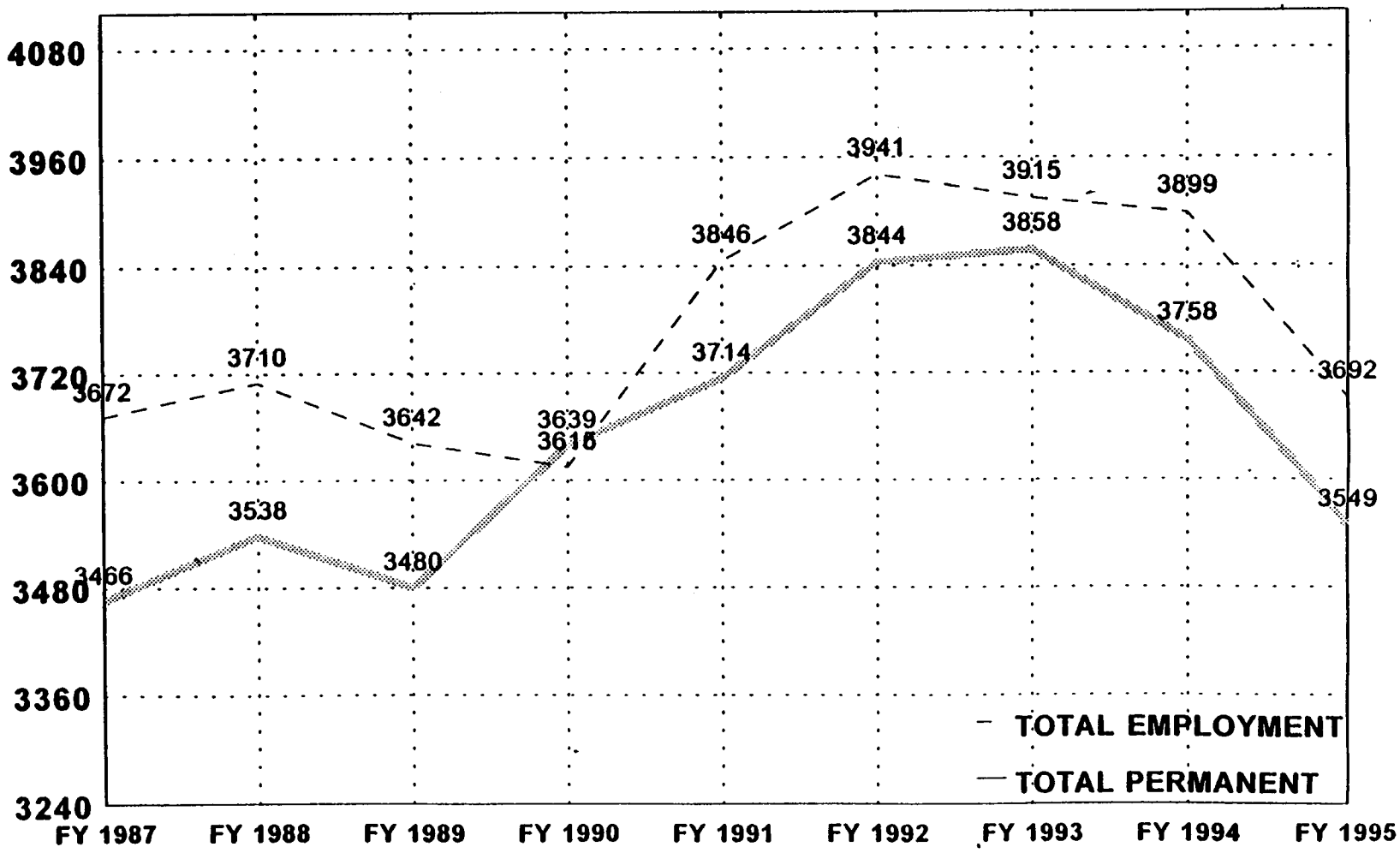
TABLE 1.—*EEO groups by grade—Continued*

	FY87				FY95			
Hispanic:	**Male**		**Female**		**Male**		**Female**	
Grade	**No.**	**%Total**	**No.**	**%Total**	**No.**	**%Total**	**No.**	**%Total**
SES	0	0	1	2	1	2	0	0
GS-15	4	3	0	0	5	3	0	0
GS-14	7	2	0	0	13	4	0	0
GS-13	22	3	1	0	28	3	5	1
GS-13-SES	33	3	2	0	47	3	5	0
GS-9-12	48	4	3	0	43	3	7	1
GS-1-8	20	2	20	2	10	1	17	2
Percent of Agency Work Force						**3**		**1**
Asian/Pacific:	**Male**		**Female**		**Male**		**Female**	
Grade	**No.**	**%Total**	**No.**	**%Total**	**No.**	**%Total**	**No.**	**%Total**
SES	0	0	0	0	1	2	0	0
GS-15	0	0	0	0	3	2	0	0
GS-14	2	0	0	0	13	4	2	1
GS-13	29	4	2	0	27	3	9	1
GS-13-SES	31	2	2	0	44	3	11	1
GS-9-12	36	3	5	1	36	3	15	1
GS-1-8	6	1	7	1	8	1	11	1
Percent of Agency Work Force						**2**		**1**

TABLE 1.—*EEO groups by grade—Continued*

	FY87				FY95			
American Indian:	**Male**		**Female**		**Male**		**Female**	
Grade	**No.**	**%Total**	**No.**	**%Total**	**No.**	**%Total**	**No.**	**%Total**
SES	0	0	0	0	0	0	0	0
GS-15	0	0	0	0	0	0	0	0
GS-14	3	1	0	0	3	1	0	0
GS-13	5	1	0	0	3	0	2	0
GS-13-SES	8	1	0	0	6	0	2	0
GS-9-12	4	0	3	0	5	0	3	0
GS-1-8	3	0	5	1	3	0	9	1
Percent of Agency Work Force						**0**		**1**

FHWA EMPLOYMENT TRENDS
FY 1987 - FY 1995



FY 1987 - FY 1991 - Total employment excludes non-ceiling employment.
FY 1987 - FY 1992 - Total permanent includes full and part-time employment.

FEDERAL HIGHWAY ADMINISTRATION
FULL-TIME PERMANENT EMPLOYMENT BY MINORITY DESIGNATION AND GRADE
AS OF SEPTEMBER 30, 1987

GRADE	MINORITY DESIGNATION										
	AMERICAN INDIAN		ASIAN/PACIFIC IS		BLACK		HISPANIC		WHITE		
	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	TOTAL
SES						2	1		3	52	58
GS/GM 15						4		4	6	146	160
GS/GM 14		3		2	3	11		7	15	267	308
GS/GM 13		5	2	29	8	22	1	22	41	637	767
SUB TOTAL	0	8	2	31	11	39	2	33	65	1102	1293
GS-12	1	4	1	25	15	36	1	28	46	513	670
GS-11	2		4	8	14	12	1	16	48	175	280
GS-10					1					2	3
GS- 9				3	14	3	1	4	33	99	157
SUB TOTAL	3	4	5	36	44	51	3	48	127	789	1110
GS- 8					11				29	2	42
GS- 7	2		3	5	50	11	3	10	82	123	289
GS- 6	2	1	1		47	5	9	1	148	24	238
GS- 5		2	3	1	46	16	4	3	115	118	308
GS- 4	1				14	4	4	3	73	15	114
GS- 3					4	1		1	5	6	17
GS- 2					5						5
GS- 1											0
OTHER PAY PLANS								2	1	10	13
WAGE						5				8	13
SUB TOTAL	5	3	7	6	177	42	20	20	453	306	1039
TOTAL	8	15	14	73	232	132	25	101	645	2197	3442

EXHIBIT II-6

FEDERAL HIGHWAY ADMINISTRATION
PERMANENT EMPLOYMENT BY MINORITY DESIGNATION AND GRADE
AS OF SEPTEMBER 30, 1995

GRADE	MINORITY DESIGNATION										
	AMERICAN INDIAN		ASIAN/PACIFIC IS		BLACK		HISPANIC		WHITE		
	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	TOTAL
SES				1	1	5	0	1	9	39	56
GS/GM 15				3	3	7		5	18	160	196
GS/GM 14		3	2	13	5	17		13	35	240	328
GS/GM 13	2	3	9	27	31	31	5	28	111	606	853
SUB TOTAL	2	6	11	44	40	60	5	47	173	1045	1433
GS-12	1	4	4	27	42	40	6	35	186	643	988
GS-11	1	1	7	6	18	9	1	2	69	121	235
GS-10						1		2	1	20	24
GS- 9	1		4	3	14	12		4	42	55	135
SUB TOTAL	3	5	15	36	74	62	7	43	298	839	1382
GS- 8	1		1		22	1	1	2	23	11	62
GS- 7	2	1	5	4	42	4	4	7	91	42	202
GS- 6	4	1	3		53	3	8	0	147	18	237
GS- 5	2		2	3	20	6	2	0	100	24	159
GS- 4				1	7	1	2		31	15	57
GS- 3					1	2		1	3	1	8
GS- 2											0
WAGE		1				2				6	9
SUB TOTAL	9	3	11	8	145	19	17	10	395	117	734
TOTAL	14	14	37	88	259	141	29	100	866	2001	3549

EXHIBIT II-7

D. Analysis of Employment Trends by EEO Groups

A trend analysis of the women and minority grade structure since FY87 was carried out using the data in exhibits II-6 and II-7 and the previous tables. This section describes the trends that were observed.

White Female: There was an increase in the percentage of White females in all grades. In grades GS-9 through GS-15, the percentage of females has more than doubled since 1987. The percentage of White females in the SES has tripled from 5 percent in 1987 to 16 percent in 1995. The percentage of White females in the GS-1 through GS-8 grades is still much larger than the percentage of White females in the Agency's labor force. Fifty-four percent of the Agency's GS-1 through GS-8 employees are White females, while only 24 percent of the Agency's total labor force are White females. The percentage of White females in GS-9 through the SES grades is still lower than the percentage of White females in the Agency's labor force.

Black Male/Female: The percentage of Black males in the GS-13 through SES grades has increased. The percentage of Black males in grades GS-9 through SES is equal to or greater than the percentage of Black males in the Agency labor force. The percentage of Black females increased in all grades. Twenty percent of the Agency's GS-1 through GS-8 employees are Black females, as compared to 7 percent of its total labor force. The percentage of Black females in the GS-9 through GS-12 and GS-13 through SES grades is still lower than the percentage of Black females in the Agency's labor force.

Hispanic Male/Female: The percentage of Hispanic males in the GS-13 and 14 grades has increased. The percentage of Hispanic males in the SES is slightly lower than the percentage of Hispanic males in the Agency's labor force. The percentage of Hispanic females in the GS-9 through GS-13 grades has increased. Hispanic females are still conspicuously absent from the GS-14 through SES grades. Fifty percent of the Agency's Hispanic females are in the GS-1 through GS-8 grades.

Asian-American/Pacific Islander Male/Female: The percentage of Asian-American/Pacific Islander males in the GS-14 through SES grades has increased. The percentage of Asian-American/Pacific Islander males in the GS-9 through SES grades is consistent with the percentage of Asian-American/Pacific Islander males in the Agency's work force. The percentage of Asian-American/Pacific Islander females in the GS-13 and 14 grades has increased. However, there remains a conspicuous absence of Asian-American/Pacific Islander females at the GS-15 and SES levels.

American Indian Male/Female: Less than 1 percent of the Agency's work force is American Indian. Very little has changed since 1987 with regard to American Indian males. Some increase in the percentage of American Indian females has occurred in the GS-1 through GS-8 and GS-13 grades.

E. Analysis of EEO Groups in Key Positions

An analysis was made of the composition of each EEO group in key field jobs that lead to leadership positions. The key field positions are:

GS-13/14	District Engineer, Field Operations Engineer or equivalent
GS-13	Division Financial Manager
GS-13	Division Right-of-Way Officers
GS-12	Motor Carrier Officer-in-Charge
GS-13	State Director

Exhibits II-8, II-9, and II-10 show FHWA employees in significant occupations for 1987, 1994, and 1995.

The underrepresentation of minorities and women in the key field jobs that lead to leadership positions was recognized in the 1988-92 MYAEP. Although progress has been shown in this area each year, continued emphasis should be placed on increasing the selecting officials' awareness of the underrepresentation in these positions so they can take underrepresentation of specific EEO groups into account in their personnel decisions.

REPORT OF OBJECTIVES AND ACTION ITEMS

PROGRAM ELEMENT: II. WORK FORCE

PROBLEM/BARRIER STATEMENT: Manifest imbalance or conspicuous absence of some EEO groups in some major occupations as indicated below.

OBJECTIVE: To reduce the manifest imbalance or conspicuous absence of the affected EEO groups.

RESPONSIBLE OFFICIAL: Executive Director

TARGET DATE: 9/30/97, 9/30/98

ACTION ITEMS:	RESPONSIBLE OFFICIAL:	TARGET DATE:
Increase the representation of the following groups in the listed categories over the next two years.		
Secretary (Clerical):		
Black Males + 6 Hispanic Males + 4 Hispanic Females + 6 Asian/Pacific Males + 2 Asian/Pacific Females + 1	Associate Administrators Staff Office Directors Regional Administrators Division Administrators Motor Carrier (MC) Regional Directors Federal Land Highway (FLH) Program Administrator and Division Engineers ITS Joint Program Director	9/30/98
Engineering Technician:		
White Females +28 Black Females + 3 Hispanic Females + 2 Asian/Pacific Males + 3 Asian/Pacific Females + 1 American Indian Males + 1	Associate Administrator for Engineering and Program Development FLH Division Engineers	9/30/98

REPORT OF OBJECTIVES AND ACTION ITEMS

PROGRAM ELEMENT: II. WORK FORCE

PROBLEM/BARRIER STATEMENT: Manifest imbalance or conspicuous absence of some EEO groups in some major occupations as indicated below.

OBJECTIVE: To reduce the manifest imbalance or conspicuous absence of the affected EEO groups.

RESPONSIBLE OFFICIAL: Executive Director

TARGET DATE: 9/30/97, 9/30/98

ACTION ITEMS:	RESPONSIBLE OFFICIAL:	TARGET DATE:
Civil Engineer:		
Asian/Pacific Males +11	Associate Administrators Regional Administrators FLH Division Engineers Director, Office of Personnel and Training	9/30/98

REPORT OF OBJECTIVES AND ACTION ITEMS

PROGRAM ELEMENT: II. WORK FORCE

PROBLEM/BARRIER STATEMENT: Manifest imbalance or conspicuous absence of some EEO groups in some major occupations as indicated below.

OBJECTIVE: To reduce the manifest imbalance or conspicuous absence of the affected EEO groups.

RESPONSIBLE OFFICIAL: Executive Director

TARGET DATE: 9/30/97, 9/30/98

ACTION ITEMS:		RESPONSIBLE OFFICIAL:	TARGET DATE:
Transportation Specialist:			
White Females	+ 6	Associate Administrators	9/30/98
Black Males	+ 1	Regional Administrators	
Hispanic Males	+ 2	Division Administrators	
Hispanic Females	+ 1	MC Regional Directors	
Asian/Pacific Males	+ 1	FLH Program Administrator	
American Indian Males	+ 1		
Motor Carrier Specialist/ Highway Safety Specialist:			
White Females	+34	Associate Administrators for MCS and Safety and System Applications	9/30/98
Black Females	+ 2		
Hispanic Males	+ 4		
Hispanic Females	+ 3	Regional Administrators	
Asian/Pacific Males	+ 1	MCS Regional Directors	
Asian/Pacific Females	+ 2	Director, Office of Personnel and Training	

REPORT OF OBJECTIVES AND ACTION ITEMS

PROGRAM ELEMENT: II. WORK FORCE

PROBLEM/BARRIER STATEMENT: Manifest imbalance or conspicuous absence of some EEO groups in some major occupations as indicated below.

OBJECTIVE: To reduce the manifest imbalance or conspicuous absence of the affected EEO groups.

RESPONSIBLE OFFICIAL: Executive Director

TARGET DATE: 9/30/97, 9/30/98

ACTION ITEMS:	RESPONSIBLE OFFICIAL:	TARGET DATE:
Motor Carrier Specialist:		
White Females + 8 Hispanic Males + 2 Hispanic Females + 1 Asian/Pacific Males + 1 American Indian Males + 1	Associate Administrator for Motor Carriers MC Regional Directors	9/30/98
Highway Safety Specialist:		
White Females +26 Black Females + 2 Hispanic Males + 2 Hispanic Females + 2 Asian/Pacific Males + 1 Asian/Pacific Females + 1	Associate Administrators for Motor Carriers and Safety and System Applications Regional Administrators	9/30/98

REPORT OF OBJECTIVES AND ACTION ITEMS

PROGRAM ELEMENT: II. WORK FORCE

PROBLEM/BARRIER STATEMENT: Manifest imbalance or conspicuous absence of some EEO groups in previously-identified major occupations listed on pages 21-23.

OBJECTIVE: To reduce the manifest imbalance or conspicuous absence of the affected EEO groups.

RESPONSIBLE OFFICIAL: Executive Director

TARGET DATE: 9/30/97, 9/30/98

ACTION ITEMS:	RESPONSIBLE OFFICIAL:	TARGET DATE:
Use the FEORP to advise managers on the Agency's progress in meeting the employment objectives.	Director, Office of Personnel and Training Director, Office of Civil Rights	8/30/97

REPORT OF OBJECTIVES AND ACTION ITEMS

PROGRAM ELEMENT: II. WORK FORCE

PROBLEM/BARRIER STATEMENT: The underrepresentation of women and minorities in key Agency jobs.

OBJECTIVE: Continue to increase the awareness of Unit Managers to consider qualified women and minorities for jobs that lead to top management positions.

RESPONSIBLE OFFICIAL: Executive Director and Director, Office of Civil Rights

TARGET DATE: 9/30/97, 9/30/98

ACTION ITEMS:	RESPONSIBLE OFFICIAL:	TARGET DATE:
1. Increase awareness of Unit Managers of the underrepresentation of minorities and women in jobs that lead to management positions. These jobs include GS-13/14 District Engineer or equivalent; GS-14 Assistant Division Administrator; GS-13 Motor Carrier State Director; GS-14 Motor Carrier Regional Program Coordinator Team Leader; and GS-13 Financial Managers.	Director, Office of Civil Rights	9/30/97 and 9/30/98

FHWA EMPLOYEES IN SIGNIFICANT OCCUPATIONS

AS OF SEPTEMBER 30, 1987

POSITION	Total	White		Black		Hispanic		Asian/Pacific		Native Amer.	
		M	F	M	F	M	F	M	F	M	F
Highway Engineers 810, 801	1332	1117	54	31	2	57	4	57	4	5	1
GM/GS-13	410	360	2	13	1	11	0	20	0	3	0
GS-12	419	342	12	14	0	26	1	23	0	0	1
Assistant Division Administrators Gm/GS-14	47	47	0	0	0	0	0	0	0	0	0
District Engineers GM/GS-14/13	90	88	0	1	0	1	0	1	0	1	0
Financial Specialists 501, 505, 510, 560	148	91	38	9	4	4	3	1	0	0	0
GM/GS-13	61	49	6	1	1	3	1	0	0	0	0
GS-12	32	19	8	3	0	2	0	0	0	0	0
Division Financial Manager GM-13	50	43	4	1	0	2	0	0	0	0	0
Highway/Motor Carrier Specs. 2123 and 2125	327	255	25	21	13	3	0	4	0	4	2
GM/GS-13	34	33	1	0	0	0	0	0	0	0	0
GS-12	58	46	3	4	1	0	0	1	0	3	0
Motor Carrier-OIC or State Director GM/GS-13/12	60	49	2	4	1	0	0	1	0	3	0
Realty Specialists 1170	136	121	8	2	1	4	0	0	0	0	0
GM/GS-13	79	71	3	1	0	4	0	0	0	0	0
GS-12	48	42	4	1	1	0	0	0	0	0	0
Division Right-of-Way Officers GM/GS-13	49	46	0	0	0	3	0	0	0	0	0
Total-Significant Occupations - No.	1943	1584	123	63	20	68	7	62	4	9	3
- %	100.0%	81.5%	6.3%	3.2%	1.0%	3.5%	0.4%	3.2%	0.2%	0.0%	0.2%
Total-Key Field Position - No.	296	271	6	6	1	6	0	2	0	4	0
- %	100.0%	91.6%	2.0%	2.0%	0.3%	2.0%	0.0%	0.7%	0.0%	1.4%	0.0%

EXHIBIT II-8

FHWA EMPLOYEES IN SIGNIFICANT OCCUPATIONS

AS OF JUNE 30, 1994

POSITION	Total	White		Black		Hispanic		Asian/Pacific		Native Amer.	
		M	F	M	F	M	F	M	F	M	F
Highway Engineers 810, 801	1356	1076	98	40	5	55	4	61	11	5	1
GM/GS-13	405	334	14	11	1	18	0	23	2	2	0
GS-12	459	358	40	12	1	22	3	19	2	1	1
Assistant Division Administrators Gm/GS-14	49	42	1	1	0	2	0	3	0	0	0
District Engineers GM/GS-14/13	62	53	1	3	0	3	0	1	0	1	0
Financial Specialists 501, 505, 510, 560	145	81	34	12	8	4	2	2	2	0	0
GM/GS-13	67	46	10	6	0	3	1	1	0	0	0
GS-12	43	16	16	5	4	1	0	0	1	0	0
Division Financial Manager GM-13	51	40	5	4	0	2	0	0	0	0	0
Highway/Motor Carrier Specs. 2123 and 2125	438	307	77	21	11	10	2	4	0	4	2
GM/GS-13	82	65	6	6	0	2	0	0	0	2	1
GS-12	296	205	55	14	8	8	0	4	0	2	0
Motor Carrier-OIC or State Director GM/GS-13/12	48	40	2	1	0	2	0	0	0	2	1
Realty Specialists 1170	98	80	9	3	1	3	0	0	0	0	0
GM/GS-13	59	49	5	2	0	0	3	0	0	0	0
GS-12	26	20	5	0	1	0	0	0	0	0	0
Division Right-of-Way Officers GM/GS-13	45	39	2	2	0	2	0	0	0	0	0
Total-Significant Occupations - No.	2037	1544	220	76	25	72	8	67	13	9	3
- %	100.0%	75.8%	10.8%	3.7%	1.2%	3.5%	0.4%	3.3%	0.6%	0.4%	0.1%
Total-Key Field Position - No.	255	214	11	11	0	11	0	4	0	3	1
- %	100.0%	83.9%	4.3%	4.3%	0.0%	4.3%	0.0%	1.6%	0.0%	1.2%	0.4%

EXHIBIT II-9

FHWA EMPLOYEES IN SIGNIFICANT OCCUPATIONS

AS OF SEPTEMBER 30, 1995

POSITION	Total	White		Black		Hispanic		Asian/Pacific		Native Amer.	
		M	F	M	F	M	F	M	F	M	F
Highway Engineers 810, 801	1286	993	105	39	5	55	4	66	13	6	0
GM/GS-13	405	333	17	12	1	17	0	23	1	1	0
GS-12	437	333	48	9	2	18	3	20	3	1	0
Assistant Division Administrators Gm/GS-14	42	35	2	1	0	1	0	3	0	0	0
District Engineers GM/GS-14/13	63	56	1	3	0	2	0	0	0	1	0
Financial Specialists 501, 505, 510, 560	141	74	34	11	9	4	2	3	3	0	1
GM/GS-13	71	44	13	6	2	2	1	1	2	0	0
GS-12	39	13	15	5	3	2	0	0	1	0	0
Division Financial Manager GM-13	51	37	8	4	0	1	0	0	1	0	0
Highway/Motor Carrier Specs. 2123 and 2125	423	289	78	23	13	8	2	5	0	3	2
GM/GS-13	83	66	6	6	1	2	0	0	0	1	1
GS-12	297	200	60	14	8	6	2	4	0	2	1
Motor Carrier-OIC or State Director GM/GS-13/12	44	37	3	1	0	1	0	0	0	1	1
Realty Specialists 1170	81	64	9	3	2	3	0	0	0	0	0
GM/GS-13	52	44	4	2	0	0	2	0	0	0	0
GS-12	17	11	4	0	1	0	1	0	0	0	0
Division Right-of-Way Officers GM/GS-13	41	35	2	2	0	2	0	0	0	0	0
Total-Significant Occupations - No.	1931	1420	226	76	29	70	8	74	16	9	3
- %	100.0%	73.5%	11.7%	3.9%	1.5%	3.6%	0.4%	3.8%	0.8%	0.5%	0.2%
Total-Key Field Position - No.	241	200	16	11	0	7	0	3	1	2	1
- %	100.0%	83.0%	6.6%	4.6%	0.0%	2.9%	0.0%	1.2%	0.4%	0.8%	0.4%

EXHIBIT II-10

PROGRAM ANALYSIS

III. DISCRIMINATION COMPLAINTS

In 1994, DOT reorganized its civil rights program, transferring authority for the formal internal discrimination complaint process to the Departmental Office of Civil Rights (DOCR). Under DOT Order 1100.60A, Section 1.45, the modal administrators retained the responsibility for the EEO Counseling program, which involves resolving informal allegations of discrimination through counseling or Alternative Dispute Resolution. This section examines how FHWA handles complaints and provides statistics on complaints that have been filed.

A. FHWA EEO Complaint Process

The FHWA counseling process consists of informal resolution of allegations brought by an employee, former employee, or applicant for employment. The EEOC, as lead agency in the implementation of the Federal EEO Program under Title VII of the Civil Rights Act of 1964, has requirements (29 CFR 1614) which establish the jurisdictional requirement that a complainant must contact an EEO Counselor within 45 calendar days of the date the alleged discriminatory event occurred. In some circumstances, FHWA may extend the 45-day limit for timely contact by individuals for inclusion in the counseling process. The complainant may choose any counselor of their choice, and has the right to anonymity during the counseling phase of the complaint process unless (s)he waives that right. The aggrieved person has the right to representation throughout the complaint process, including the counseling stage.

Counseling must be completed within 30 calendar days unless both parties agree in writing to an extension of not more than 60 calendar days. The complainant cannot file a formal complaint until the EEO counselor has had an opportunity to resolve the matter. During the initial interview, the counselor asks the aggrieved person to explain his or her allegation on the matter. The counselor also asks how the complainant wants the matter resolved. It is important to realize, however, that the counselor does not represent the complainant or management in the resolution process.

The counselor is a neutral party whose function is to attempt informal resolution and to provide accurate information regarding the complaint process and the rights of aggrieved parties and management. The counselor contacts the management official who can resolve the matter. If appropriate, the counselor may ask the management official to make a resolution offer. The counselor attempts to negotiate an agreement between the aggrieved person and the management official. The counselor may choose to interview witnesses and review records. The counselor shall attempt to hold the final interview within 30 calendar days of the date the matter was brought to his or her attention. Although counseling may continue beyond the 30th day (if the time period was extended by mutual consent of the aggrieved and the EEO Office), the aggrieved person does have the right to file a formal complaint on or after the 30th day.

If the matter has not been informally resolved by the conclusion of the counseling period, the complainant will be informed in writing of the right to file a discrimination complaint. If the individual wishes to file a complaint at the conclusion of counseling, (s)he must file in writing within 15 calendar days of the receipt of the EEO Counselor's Notice of Right to File a Discrimination Complaint. Only issues raised at the counseling stage (or matters like or related to those issues) may be the subject of the formal complaint.

Public information regarding the complaint process and how to file a complaint of discrimination has not only been limited, but also unavailable, except in a few areas. However, it appears that this problem is being remedied. Recently, an informational brochure was printed outlining the policy of the Federal government in prohibiting discrimination and providing the names and phone numbers of FHWA EEO Counselors. Another brochure on how to file a discrimination complaint is currently in draft stage.

B. Complaint Activity

Pre-Complaint Counseling

In its Annual Federal Equal Employment Opportunity Statistical Report of Discrimination Complaints for fiscal years 1995 and 1996, which DOT's OCR compiles for submission to the EEOC, FHWA Pre-Complaint Activity Report provided the following data:

		FY95	FY96
Number counseled within 30 days	=	23	15
Number counseled within 60 days (with extension)	=	0	1
Number of counselors on September 30	=	30	28

Formal Complaints

The DOT's OCR reported on the following FHWA formal complaint processing activity for FY96:

New cases accepted = 9
Cases moved to appeal status = 4
Cases moving into a pending hearing status = 3
Cases closed = 14
Investigations completed = 15
Final Agency decisions completed = 6

The FY96 complaint activity includes action on: a) some cases opened in previous fiscal years and processed in FY96, and b) some cases that continue to be processed in FY97.

The complaint activity is further explained as follows:

Year	Total	Issues
FY 96	9	5 Promotion/Non-Selection
		1 Evaluation/Appraisal
		1 Sexual Harassment
		1 Equal Pay Act Violation
		1 Disciplinary Action/ Suspension

(The bases for the nine complaints include: 5 sex, 1 race, 1 age, 1 religion, and 1 reprisal.)

FY 95	20*	12 Promotion/Non-Selection
		6 Disciplinary Action
		2 Evaluation/Appraisal
		1 Terms/Condition
		1 Harassment
		1 Proposed Termination
		1 Retirement

* DOT listed 20 formal complaints that included 25 issues and 39 bases. The bases for the 20 complaints include: 9 age, 8 sex, 6 race, 6 disability, 5 reprisal, 3 national origin, and 2 religion. Again, it appears that some of the complaints were carried over from the previous years(s).

Records for previous fiscal years are not as complete as those developed since FY95. Therefore, only total number of FHWA formal complaints are provided as follows:

FY94	13 complaints filed
FY93	12 complaints filed
FY92	5 complaints filed

REPORT OF OBJECTIVES AND ACTION ITEMS

PROGRAM ELEMENT: III. DISCRIMINATION COMPLAINTS

PROBLEM/BARRIER STATEMENT: 1) Employees need more information on the EEO process and how to file a complaint of discrimination; 2) Agency records are inadequate to perform an analysis of the effectiveness of the counseling program; and 3) since the formal complaint process is not controlled by FHWA and is handled by the Departmental OCR, it is difficult to measure the effectiveness of this process.

OBJECTIVE: To give employees a better awareness of the EEO process and how to file a complaint of discrimination.

RESPONSIBLE OFFICIAL: Office of Civil Rights

TARGET DATE: 9/30/97

ACTION ITEMS:	RESPONSIBLE OFFICIAL:	TARGET DATE:
1. Distribute information on the EEO process to all employees.	Office of Civil Rights	9/30/97
2. Establish a monitoring system to evaluate the EEO Counseling Program within FHWA.	Office of Civil Rights	9/30/97
3. Establish a system to receive information from the Departmental OCR on the resolution of FHWA complaints and provide timely information to Unit Managers on closed cases.	Office of Civil Rights	9/30/97

PROGRAM ANALYSIS

IV. RECRUITMENT AND HIRING

This section of the report describes the recruitment and hiring practices of the FHWA that were examined by the task force.

Each year, FHWA prepares a Recruitment/Federal Equal Opportunity Recruitment Plan (FEORP) in conjunction with representatives of OCR and Agency field organizations. The plan describes FHWA actions, specifies which colleges and universities will be targeted for recruitment, and lists the minority engineering career fairs recruiters and managers will attend. It takes into account recruitment efforts for the nationwide career training program, as well as general recruitment.

The majority of FHWA external hiring is for entry-level positions that are primarily filled through career training programs. Most mid- and senior-level positions are filled through merit promotion procedures. Informal upward mobility and the FHWA Merit Promotion Program are currently the most effective methods for internal advancement of diverse employees. The Merit Promotion Plan provides managers flexibility to use other methods to recruit.

The FHWA targets institutions with a strong representation of minorities and women in programs of study that prepare candidates for key transportation occupations. The Agency uses data supplied by the American Association of Engineering Societies to identify the representation of women and minorities in Civil Engineering programs at each college and university. These data help recruiters by enabling them to target campuses with strong representation of minorities and women. The recruiters use FHWA's recruitment brochures, video tapes, and displays that portray all segments of the work force. The FHWA also participates in conferences and career fairs sponsored by national minority and women's organizations to promote FHWA programs and attract minorities into the transportation profession.

The analysis of the Agency's recruitment and hiring activities included examining phases of personnel practices and policies as they relate to recruitment and hiring. First, recruitment strategies and sources were identified to determine their impact on EEO groups that evidenced a manifest imbalance/conspicuous absence in the Agency's work force. Second, the methods used to monitor the certification and selection rates for EEO groups were assessed.

HIRES - PERMANENT

The percentage of minority hires increased in FY95. Other improvements in FY95 included the hiring of one Native American woman, one Native American man, and six Hispanic women. This represents significant progress from FY94, in which there were no hires in these groups.

FY	TOTAL	Minority Females	Minority Males	Non-Minority Females	Non-Minority Males
1994	85	10.6%	10.6%	40.0%	38.8%
1995	192	12.5%	12.5%	37.0%	38.5%

HIRES - PERMANENT
Professional and Administrative

The percentage of hires for minorities is higher than their representation in the work force. Percentage of minority and non-minority women decreased in 1995 compared with 1994. There were improvements in the hiring of Hispanic women (3 in 1995, compared with 0 in 1994) and the hiring of Native American men (2 in 1995, compared to 0 in 1994).

FY	TOTAL	Minority Females	Minority Males	Non-Minority Females	Non-Minority Males
1994	40	12.5%	15.0%	27.5%	37.8%
1995	93	10.8%	19.4%	22.6%	47.3%

A. Recruitment For Career Training Programs

The FHWA offers a number of career training programs through which entry-level professional and administrative employees are prepared for transportation careers in key occupations nationwide, including Highway Engineer, Structural Engineer, Transportation Planner, Transportation Specialist, Environmental Protection Specialist, Right-of-Way Specialist, Civil Rights Specialist, Financial Manager/Financial Specialist, and Motor Carrier Specialist. The number of hires for these programs varies each year depending on anticipated losses in the occupation. The Highway Engineering Training program is the only program for which there is hiring each year. However, the number of hires has decreased from 60 to approximately 30 per year due to downsizing.

The FHWA recognizes the critical need for ensuring the diversity of its work force at the entry level. Thus, recruiting for the Career Training Programs in FHWA is managed centrally by the

Training and Executive Development Division. This enables the Agency to place strong emphasis on affirmative hiring and actions that promote diversity.

Each year FHWA uses a variety of techniques to identify minorities and women for the Career Training Programs. For example, the Agency requests multiple Office of Personnel Management certificates from different geographic areas of the country. Using this technique in recruiting for Civil Engineers, classes of trainees have been hired in which the representation of women and minorities is significantly higher than their representation in the candidate pool.

In addition, FHWA advertises in *Peterson's Guide for Engineering, Science and Computer Jobs,* which is distributed to colleges, minority and women's organizations, and professional societies nationwide. The Federal Lands Highway Division field offices have also utilized cooperative education programs to attract candidates for B.S. or Advanced Civil Engineering degrees.

The following tables reflect the number of participants and demographics for the Career Training Programs.

HIRES FOR CAREER TRAINING PROGRAM
(FY93 - FY96)

		FY93	FY94	FY95	FY96
	Total Hires	25	22	32	34
Women		13	7	14	8
	Black	2	1	1	3
	Hispanic	1	--	1	--
	Asian/Pacific	2	3	2	--
	American Indian	--	--	--	—
Men		12	15	18	26
	Black	--	1	4	1
	Hispanic	1	2	3	4
	Asian/Pacific	--	3	4	2
	American Indian	--	—	1	1

The Career Training Program includes the 24-month HETP; 18-month Transportation Planning/ Traffic Management; Highway Materials Training Programs; and the Right-of-Way Training Program.

HIRES FOR MOTOR CARRIER TRAINING PROGRAM
(FY94 - FY96)

		FY94	FY95	FY96
	Total Hires	19	--	--
Women		11	--	--
	Black	4	--	--
	Hispanic	--	--	--
	Asian/Pacific	--	--	--
	American Indian	--	--	—
Men		8	--	--
	Black	3	--	--
	Hispanic	1	--	--
	Asian/Pacific	--	--	--
	American Indian	--	—	—

This was the most diverse group of 17 prior Motor Carrier classes. No trainees were hired for the Motor Carrier Training Program during FY95 and FY96.

B. Recruitment For Senior-Level Work Force

The FHWA is proactively recruiting diverse candidates for senior-level positions and monitoring progress. A proactive approach has been taken to remove barriers that inhibit the recruitment and advancement of minorities and women into managerial and Senior Executive Series (SES) positions. An SES Diversity Action plan has been incorporated into FHWA's overall Diversity Action Plan.

The FHWA is taking the following specific actions to improve the representation of women and minorities at higher levels:

1) All current SES positions are being reviewed to identify those that could be restructured and reclassified in non-technical positions should they become vacant.

2) Some SES Division Administrator and Assistant Division Administrator positions are being restructured from engineering to program management positions in order to

broaden opportunities for employees who are highly qualified but are in non-engineering occupations.

3) Technical SES knowledge, skills and abilities (KSAs) are being modified to attract a more diverse applicant pool. Fewer and less technical KSAs are now being used. Before SES positions are advertised, all technical KSAs are reviewed and broadened whenever feasible.

4) A minority recruiting firm has been contracted to assist with minority recruiting for two SES vacancies.

5) Senior executives are assisting in recruiting at minority institutions (e.g., Morgan State University).

6) Copies of vacancy announcements and recruitment fliers are being sent to minority organizations.

7) Other avenues for appointing minorities and women into critical managerial positions are being identified, such as Intergovernmental Personnel Act Assignments and limited-term appointments, when appropriate.

C. Educational Outreach Activities

The FHWA is involved in a number of initiatives to identify and attract diverse groups to careers in transportation. Specifically, the Agency is participating in the following:

1. Transportation and Civil Engineering (TRAC) Careers

The TRAC program is sponsored by the American Association of State Highway and Transportation Officials (AASHTO), professional engineering societies, and minority and educational institutions. The FHWA works with AASHTO in a unique partnership effort designed to improve the diversity of the transportation profession. One of the major projects has been the TRAC program.

The TRAC program aims to increase awareness among high school students, their parents, and their teachers about transportation and civil engineering careers. This is done by providing students and math and science teachers with an innovative kit of curriculum-relevant teacher aids, a mobile laboratory called the Transportation Research Activities Center (TRAC PAC) that complements present day-to-day high school math and science topics. In addition, a national electronic bulletin board system gives high school students access to a wealth of information about transportation and engineering.

The TRAC program operated as a pilot from September 1991 in six States—California, Florida, Maryland, New York, Pennsylvania, and Washington—until it was launched as a national program in the Spring of 1995 with the full endorsement of the AASHTO Board of Directors. The major promotional program was held at the Transportation and Technology Academy (TRANSTECH) of Cardozo High School in Washington, DC. The program is now in 19 additional States, plus Puerto Rico, the U.S. Virgin Islands, and South Africa.

During the pilot phase of the TRAC program, FHWA was a major financial supporter of TRAC and has contributed nearly $650,000 since FY91. TRAC is now developing a plan to incorporate activities about ITS in the TRAC Educational Outreach Program for the Office of Traffic Management and ITS Applications. The plan, to be known as TRAC Smart, is expected to be implemented during FY96.

2. DOT Summer Transportation Internship Program for Diverse Groups (STIPDG)

The STIPDG is jointly sponsored by the FHWA, the Federal Transit Administration, the Research and Special Programs Administration, and the Federal Railroad Administration, and is administered by a college/university or related association, e.g., Morgan State University (MSU), the Hispanic Association of Colleges and Universities, the Organization of Chinese Americans, and the National Association of Equal Opportunity and Higher Education. The FHWA chairs the advisory committee and contributes approximately two-thirds of the funds.

The internship program is designed to attract and promote the entry of minorities, women, and persons with disabilities into transportation fields in which these groups are underrepresented. The program offers 20 college students a 10-week agenda of research, work experience, and onsite visits to introduce them to many aspects of the complex field of transportation.

Applicants must have completed their freshman year of studies and must be enrolled in a degree-granting program (associate or baccalaureate) at the undergraduate level at an accredited institution of higher learning. Applicants must possess a minimum grade point average of 2.5 or equivalent.

3. Cardozo TRANSTECH Program

In February 1994, FHWA became a partner in Cardozo High School's TRANSTECH program. This program combines educational opportunities with an emphasis on transportation career identification and training, followed by job placement and/or continued education after high school graduation. The FHWA hires students, donates computers and other surplus equipment, and supports activities such as career days, graduation and award ceremonies, orientations to FHWA, mentoring of students, and on-campus presentations by program officers. The FHWA

presently has 18 current and former TRANSTECH students on the rolls. The student population is ethnically diverse.

4. Partnerships with Historically Black Colleges and Universities (HBCU)

In 1991, an FHWA HBCU task force evaluated the Agency's HBCU program and identified a number of action items that could be implemented to enhance the involvement of HBCUs in a wider spectrum of the Agency's programs and projects. One recommendation of the task force was the establishment of pilot partnerships with HBCUs. Since 1991, FHWA has signed partnership agreements with ten HBCUs: MSU, North Carolina A&T State University, South Carolina State University (SCSU), Florida A&M University, Tennessee State University, Albany State College, Benedict College, Southern University, Baton Rouge Johnson C. Smith University, and Elizabeth City State University. It is through these agreements that HBCUs are provided technical assistance, curriculum development, exchange of staff, and resources. The goal of the partnerships is to develop a better ongoing relationship with each HBCU. In 1996, the Agency convened another task force to identify options to enhance and increase the participation of HBCUs and other Minority Institutions of Higher Education in the Agency's programs, with emphasis on research and technology grants and contracts. Upon completion of its deliberations, the task force will submit a report to the administrator on existing programs and will make recommendations for enhancement by March 31, 1997.

5. Summer Transportation Institute Program (STI)

The STI program was one of the many activities that was generated by the Agency's partnership with SCSU. This four- to five-week program is designed to encourage minority high school students to pursue careers in the transportation industry. Since its inception, approximately 490 students, 12 HBCUs, and 1 Hispanic-Serving Institution (HSI) have participated in the program. Students are introduced to a variety of surface transportation disciplines such as highway design, transportation safety, and environmental science. Also, most of the institutes offer a residential component, providing students with the opportunity to experience campus life.

6. ITS Consortium Student Internship (CSI) Program

In 1994, FHWA awarded a cooperative agreement to ITS Consortium, Inc., a nonprofit educational and scientific organization. The purpose of the agreement is to support and promote the participation of Minority Business Enterprises, HBCUs, and other Minority Educational Institutions in ITS programs and activities. The award was $1 million over a 3-year period. The Consortium, in conjunction with some of its private sector and minority institutions partners, initiated the ITS CSI program in 1995. This 10-week program for undergraduate and graduate students is designed to attract and promote the entry of members of minority groups, who

traditionally have been underrepresented in the transportation professions, into careers in the field of ITS. The intern program offers the opportunity for minority students to obtain first-hand experience in the ITS research and decision-making arena and the chance to work on projects that will impact the field of transportation and move the boundaries of research forward. Since its inception, approximately 40 HBCU students have participated in the program.

7. Dwight David Eisenhower (DDE) Transportation Fellowship Program

The DDE program was developed in 1992 under the provisions of the Intermodal Surface Transportation Efficiency Act of 1991 and encompasses all areas of transportation. The program's objectives are to: 1) attract the nation's brightest minds to the field of transportation; 2) enhance the careers of transportation professionals by encouraging them to seek advanced degrees; and 3) retain top talent in the transportation industry. The program awards over 100 fellowships annually to students who are pursuing transportation-related fields (i.e., engineering, accounting, business, architecture, and environmental sciences). There are six components of the program:

Eisenhower Graduate Fellowships: To enable students to pursue Masters' Degrees or Doctorates in transportation-related fields.

Eisenhower Grants for Research Fellowships: To acquaint students with transportation research, development, and technology transfer activities at DOT.

Eisenhower HBCU Fellowships: To provide students with additional opportunities to enter careers in transportation.

Eisenhower HSI Fellowships: To provide HSI students with additional opportunities to enter careers in transportation.

Eisenhower Faculty Fellowships: To provide talented faculty in transportation fields with opportunities to improve their transportation knowledge, including attendance at conferences, courses, seminars, and workshops.

Tribal Colleges Initiatives (TCI): TCI was initiated as a pilot in 1995 to identify transportation issues at tribal colleges and establish fellowships for Native American students and faculty. To date, no fellowships have been awarded. It is anticipated that the first fellowships will be awarded during FY97.

PROGRAM ANALYSIS

V. EMPLOYEE DEVELOPMENT PROGRAM

This section examines the employee development function of FHWA, which is managed by OPT.

The Training Advisory Group, made up of top WH and field managers, establishes national training priorities based on current and upcoming Agency policies and initiatives and recognized nationwide training needs stemming from management processes such as needs of the staff. Priority consideration, however, is given to training that accomplishes the AA Strategic Plan. The priorities reflect immediate training and long-range developmental needs of the staff. Priority consideration is given to training that accomplishes the following:

1. Enhances employees' skills required for present performance and carrying out the mission of the Agency.

2. Prepares them for near-term future assignments consistent with FHWA needs and their individual career plans.

A. Training Management System (TMS)

The FHWA's TMS consists of both programs and administrative processes used to deliver training and developmental opportunities to FHWA employees. Employees at all levels are encouraged to become aware of the system and know how to work with the system to take full advantage of the opportunities available to them. This system supports the Annual Training Cycle, which provides a systematic way to ensure that all managers/supervisors are aware of and communicate training needs to meet Agency-wide priorities.

The TMS tracks an employee's identified training needs as well as completed training. This training information is available to managers and supervisors to be used in making decisions regarding training for current positions or for their employees' development to meet future Agency needs.

B. Annual Call For Training

After the Agency has completed the training needs assessment for the upcoming fiscal year and for at least the following two years, the information is transmitted to the Training and Executive Development Division (TEDD) via TMS to develop the Agency-wide training plan. This plan is submitted to the Executive Director for approval. The plan consists of courses, number of participants to be trained, and total costs. Once the plan is approved, FHWA's Annual Training

Plan is issued to each organization, which then consolidates centrally funded training and local training to begin the new fiscal year's training program.

C. Central Training

The training budget is allocated in two parts. Centralized Agency funds are used primarily to provide general types of training to the work force as a whole, i.e., executive, managerial, supervisory, and secretarial. Second, individual program offices may pay for technical and local training from their funds.

The Central Training budget increased from $912,000 in 1987 to $4,200,000 in 1994 and then decreased to $1,399,000 in 1996. According to the Budget Division, FHWA should not expect the budget for training to increase in the next few years. However, the approximately $1.4 million reflects only the centrally funded training, and does not reflect additional funds made available to each organization in their allocations. These statistics reflect the amount of resources provided to the Agency, both field and Headquarters, to deliver the fiscal year's training priorities. Using various sources to deliver training, e.g., local colleges, universities, local vendors, and the National Highway Institute and the MC National Training Center, managers and supervisors must: 1) make sure that employees selected for training satisfactorily complete the training, 2) evaluate the effectiveness of the training received, and 3) monitor employees' work to gauge progress in development of skills.

In addition to the individual instances of training presented to employees, FHWA offers a number of special formal training programs to prepare employees for leadership positions. The following chart illustrates some opportunities that the Agency has offered employees to develop as supervisors, managers, and executives.

Examples of various training program opportunities that provide knowledge and skills that help employees prepare for senior leadership positions:

Training Opportunity	FY	Number of Participants	Statistics on Make-up of Participants
*** Career Strategies**	94 95 96	35 25 14	23 WF, 12 MF 13 WF, 8 MF, 1WM, 3MM 8 WF, 2MF, 3 WM, 1MM
Highway & Transportation Management Institute	94 95 96	11 10 10	2 MM, 9 WM 1MM, 2 WF, 7 WM 4MM, 2 WF, 4 WM
DOT Fellows	94 95 96	4 5 5	2 MM, 2 WM 3 MM, 2 WM 2 MM, 1 WF, 2 WM
SES Candidate Development Program	93 94 95 96	10 No Program No Program No Program	1 MM, 1 WF, 8 WM

* Beginning in FY95, the program was opened to male employees. Prior to that time, the program was known as "Career Strategies for Prospective Women Managers."

The FHWA also offers a number of career training programs through which entry-level professional and administrative employees are prepared for transportation careers in key occupations nationwide, including Highway Engineer, Structural Engineer, Transportation Planner, Transportation Specialist, Environmental Protection Specialist, Right-of-Way Specialist, Civil Rights Specialist, Financial Manager/Financial Specialist, and Motor Carrier Specialist.

The following chart reflects the programs, number of participants, and demographics of each program for the last two years.

RECRUITMENT FOR CAREER TRAINING PROGRAMS (FY96)

Total Commitment	**34**
Total Women	**8**
Total Minorities	**11**
Black Males	1
Black Females	3
Hispanic Males	4
Asian/Pacific Males	2
American Indian Males	1

HIRES FOR CAREER TRAINING PROGRAM (FY95)
Highway Engineer and Related Training Programs

Total Hires	**32**
Total Women	**14**
Minority Women	**4**
Total Minorities	**16**
Black Males	4
Hispanic Males	3
Hispanic Females	1
Asian/Pacific Males	4
Asian/Pacific Females	2
Black Females	1
American Indian Males	1

In addition, FHWA participates in the Presidential Management Intern Program. However, due to downsizing activities, FHWA has not participated in this program since FY94.

In the past, FHWA has participated in the SES Candidate Development Program (SESCDP). The SESCDP is a part-time program, not to exceed two years, to develop future executives. It is designed for GS-14/15 high-potential employees who, upon successful completion of certain formalized developmental programs and rotational assignments, can be selected for SES positions without further competition for a period of three years. However, the Department has no immediate plans to conduct another class in the near future, since there are more than 60 graduates DOT-wide who have not been placed.

The TEDD is available to provide career development advice, and the DOT Connection located in WH Nassif Building is prepared to provide career counseling services to FHWA employees.

PROGRAM ANALYSIS

VI. PROMOTION

The FHWA Merit Promotion Program was revised to provide management with increased flexibility to select the best qualified candidate while ensuring merit. The plan covers all organizational elements and positions throughout FHWA, except for SES positions.

The policy statement in the plan clearly indicates that actions taken will be guided by merit and non-discrimination; that is, selections and promotions through FHWA are based on job-related criteria and on merit principles. In those instances in which discriminatory or non-merit practices are alleged, the plan provides guidance to the employee concerning the opportunity to consult with an EEO counselor regarding his/her concerns or discrimination complaint.

The majority of the Agency's mainline occupations (e.g., Highway Engineers and Motor Carrier Specialists) are filled through recruitment of entry-level college graduates at the GS-5/7 level. These positions have career ladders, and employees are promoted non-competitively to the journey level, which is identified in the merit promotion plan. The FHWA's managers systematically promote career ladder employees non-competitively to the next higher grade after they meet specific experience and performance requirements. There are no significant adverse deviations for women, minorities, or others. Supervisors are provided advisory assistance on counseling employees who do not receive career ladder promotions or within-grade increases. The employees may have the need for further training or improvements in performance to be considered for a promotion or within-grade increase. In some cases, a performance improvement plan is prepared and discussed with the employee.

Merit promotion procedures may be used to fill positions for which there is not a career ladder. Vacancy announcements are distributed depending on the area of consideration. Selection officials are responsible for ensuring diverse representation of panel members when a merit promotion panel is convened.

The FHWA has taken additional actions during the last few years to increase the range of career opportunities for non-engineers and office support staff. Specifically, positions are being reviewed as they are vacated to determine whether they require engineering knowledge and skills. If not, they are being reclassified in occupational series, such as transportation specialist and program analyst. For example, several vacant SES positions were restructured from technical and engineering classifications to non-technical positions to attract more minorities and women. As a result, Regional Administrator positions are now being advertised and filled in either the ES-801 or the 340 series, or both. A Hispanic male, a White female, and a Black male were among recent selections. Other positions, such as that of Director, Office of International Programs, were also restructured and reclassified from the 810 series to the 301 series. In addition, many Division

Administrator positions were reclassified from the 810 series to the 340, Program Manager. Assistant Division Administrator positions are typically advertised in the 340 series.

To provide career enrichment and advancement opportunities for office support staff, FHWA has been encouraging supervisors to examine the work of their offices and identify work that is more challenging and will better utilize the skills of the office support staff. The OPT provided supervisors with guidance in 1992 and in 1994. Since 1992, over 200 clerical and office support employees have moved into paraprofessional or administrative/program positions, thus providing experience to qualify for professional positions.

Another initiative that helps prepare employees for advancement opportunities is the selection of women and minorities to attend the Federal Executive Institute, Harvard University Program for Senior Managers in Government, University Programs for Executive Development, Capitol Hill and White House Workshops, etc. Employees participate in formal executive management programs designed to broaden their executive skills so they may be prime candidates for senior-level positions.

During FY96, there were 611 total promotions Agency-wide. The MW received 12.4 percent, MM received 10.6 percent, and NW received 45.7 percent of the total. Overall, these groups were promoted at rates either consistent with or well in excess of their percentage in the Agency work force. This is true for promotion actions and for other promotions that include career ladder promotions and reclassifications.

Similarly, in analyzing promotions involving professional and administrative positions, as well as those accomplished through merit promotion, it was found that the percentage of women and minorities promoted increased.

MERIT PROMOTIONS - PERMANENT

FY	TOTAL	Minority Females	Minority Males	Non-Minority Females	Non-Minority Males
1994	141	11.3%	12.1%	24.8%	51.8%
1995	197	12.2%	12.7%	29.4%	45.7%

OTHER PROMOTIONS - PERMANENT

FY	TOTAL	Minority Females	Minority Males	Non-Minority Females	Non-Minority Males
1994	404	10.9%	8.9%	32.2%	48.0%
1995	414	12.5%	9.7%	31.6%	45.4%

MERIT PROMOTIONS - PERMANENT
Professional and Administrative

FY	TOTAL	Minority Females	Minority Males	Non-Minority Females	Non-Minority Males
1994	74	4.1%	13.5%	25.7%	56.8%
1995	143	9.1%	12.6%	27.3%	51.0%

OTHER PROMOTIONS - PERMANENT
Professional and Administrative

FY	TOTAL	Minority Females	Minority Males	Non-Minority Females	Non-Minority Males
1994	315	10.5%	10.5%	27.0%	52.1%
1995	307	10.7%	11.7%	26.7%	50.8%

PROGRAM ANALYSIS

VII. SEPARATIONS

The final part of the study was an analysis of FHWA separation data. Separations may be voluntary or involuntary, and the reasons include resignation, retirement, buy-out, transfer, position abolishment, and death. Of particular note, FHWA offered a buy-out in FY95, which resulted in 193 employees retiring.

SEPARATION RATES

FY	FHWA	Fed. Gov.	DOT
1990	9.2	29.4	8.6
1991	8.6	21.6	8.6
1992	8.8	21.6	5.3
1993	9.0	22.0	4.5
1994	7.9	19.2	7.2
1995	13.4	19.2	0

* Total DOT separation rates were unavailable at the time of this study.

The analysis shows that FHWA's attrition rate continues to be substantially lower than the separation rate for the Federal Government Executive Branch. This reflects a good retention rate for FHWA. The Agency provides more career advancement opportunities for employees, including its office support staff. Many programs implemented during the past few years are providing employees with greater flexibility for balancing their work and family responsibilities. The FHWA now has flexitime, telecommuting, flexiplace, and alternate work schedules. Information is provided on child care and elder care. Offices have implemented wellness programs and a variety of peer recognition programs. As a result of an employee survey in FY95, FHWA is focusing on improving the flow of communication.

SEPARATIONS - PERMANENT

FY	TOTAL	Minority Females	Minority Males	Non-Minority Females	Non-Minority Males
1994	213	8.2%	6.1%	28.2%	57.7%
1995	420	9.5%	6.6%	24.4%	59.5%

Separation rates for minorities, especially minority men, are significantly lower than employment rates for minorities in FHWA. For MM, the separation rate has been approximately 3 percent lower than their employment level. For MW, the separation rate has been an average of 0.5 percent lower than the employment level for the last two years. This is allowing FHWA to make some small increases in the employment level of minorities during a time of downsizing.

The separation rate for NW has been at or higher than their employment level for the last two years. While the difference between the separation and employment rates is not as great as it was in 1987, this is an area on which FHWA should continue to focus.

In the FY95 buy-out, 193 employees retired from FHWA. They included:

72 percent NM
15 percent NW
7.3 percent MM
5.2 percent MW

Of the employees who accepted the buy-out, 105 were at the GS-13 level and above. They included:

92.3 percent NM
6.7 percent MM
1 percent MW

Note: The percentage of minorities and women who took the buy-out is less than their employment rates.

In summary, FHWA has made significant improvements since 1987 in retaining women and minorities. As a result of efforts to train and develop highly-qualified employees for higher-level positions, the Agency is increasing the employment levels of women and minorities. The FHWA will continue its efforts in this regard. In addition, a newly-targeted goal for FHWA is to develop a better mechanism to collect data from employee exit interviews.

REPORT OF OBJECTIVES AND ACTION ITEMS

PROGRAM ELEMENT: VII. SEPARATION—PERMANENT

PROBLEM/BARRIER STATEMENT: The separation rate for non-minority women has been at or higher than their employment level for the last two years, and the retention rates for minority men and minority women have been, on average, only 3% and 0.5% higher than their employment rates, respectively, for the past two years.

OBJECTIVE: To improve the retention rates of women and minorities and to obtain more definitive information through employee exit interview mechanisms.

RESPONSIBLE OFFICIAL: Director, Office of Personnel and Training

TARGET DATE: April 1, 1998

ACTION ITEMS:	RESPONSIBLE OFFICIAL:	TARGET DATE:
Develop system to obtain better information from exit interviews.	Director, Office of Personnel and Training	April 1, 1998

PROGRAM ANALYSIS

VIII. PROGRAM EVALUATION

FHWA's OCR is responsible for monitoring and evaluating the effectiveness of the Agency's MYAEP. Any comments or recommendations from the EEOC, DOCR, or an internal organization, committee, or office are addressed by OCR. The OCR has the budget and, with cooperation from OPT, the resources to assure the administration and implementation of a results-oriented, proactive program that involves the EEO aspects of personnel management, policy, and practice.

The OPT has an automated system to provide comprehensive personnel data on demand. The OPT publishes a Human Resources Information and Planning Guide annually. This guide provides comprehensive information and, in conjunction with the MYAEP, can be used as a planning tool for FHWA managers and supervisors at all levels. It normally provides a variety of exhibits on the organizational structure such as employment, grade structure, and work force dispersion and employment as well as examines occupational information, age, length of service, and retirement eligibility profiles. It includes a section that focuses on statistical data related to minorities and women.

The OCR and OPT staffs responsible for the EEO program evaluation and merit system have met the requirements set forth in the EEOC and OPM regulations.

The OCR will track the implementation of the AEP action items that have been assigned to other individual offices for direct action. Periodic reports will be submitted to the Administrator, Deputy Administrator, and Executive Director for information and follow-up as needed. It is recommended that this MYAEP Plan be evaluated annually by OCR.