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## State of Minnesota

## Teachers Retirement Association (TRA)

## Affirmative Action Plan for July 1, 2024 – June 30, 2026

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To request an alternative format of this document, please contact Stephanie Summerville at [ssummerville@minnesotatra.org](mailto:ssummerville@minnesotatra.org)

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## Statement of Commitment

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Minnesota Administrative Rules, part 3905.0400, subpart 1, item C.

This statement reaffirms Teachers Retirement Association (hereafter “the agency” or “TRA”) is committed to Minnesota’s statewide affirmative action efforts and providing equal employment opportunity to all employees and applicants in accordance with equal opportunity and affirmative action laws.

I affirm my personal and official support of these policies which provide that:

- No individual shall be discriminated against in the terms and conditions of employment, personnel practices, or access to and participation in programs, services, and activities, or subject to harassment, on the basis of race, color, creed, religion, national origin, sex, marital status, disability, public assistance, age, sexual orientation, gender identity, familial status, membership or activity in a local human rights commission, genetic information, retaliation.
- This agency is committed to the implementation of the affirmative action policies, programs, and procedures included in this plan to ensure that employment practices are free from discrimination. Employment practices include, but are not limited to the following: hiring, promotion, demotion, transfer, recruitment or recruitment advertising, layoff, disciplinary action, termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship. We will provide reasonable accommodation to employees and applicants with disabilities.
- This agency will continue to actively promote a program of affirmative action, wherever females, persons with disabilities, and racial or ethnic minorities are underrepresented in the workforce, and work to retain all qualified, talented employees, including protected group employees.
- This agency will evaluate its efforts, including those of its directors, managers, and supervisors, in promoting equal opportunity and achieving affirmative action objectives contained herein. In addition, this agency will expect all employees to perform their job duties in a manner that promotes equal opportunity for all.

It is the agency’s policy to provide an employment environment free of any form of discriminatory harassment as prohibited by federal, state, and local human rights laws. I strongly encourage suggestions as to how we may improve. We strive to provide equal employment opportunities and the best possible service to all Minnesotans.

Commissioner or Agency Head: Jay Staffel

Date Signed: 09/11/2024

## Executive Summary

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Minnesota Administrative Rules, part 3905.0400, subpart 1, item A.

This Affirmative Action Plan (AAP) meets the requirements set forth in Statutes, in Administrative Rules, and by Minnesota Management and Budget (MMB). The AAP contains:

- Affirmative action workforce analysis.
- Goals, objectives, and timetables.
- Assertive hiring, recruitment, and retention methods for achieving goals and objectives.

This Affirmative Action review revealed underutilization of the following protected group(s) in the following job categories:

TRA does not have underutilization of protected groups in any job categories.

Affirmative Action Officer or Designee: Stephanie Summerwille Date Signed: 9/11/2024

Human Resources Director or Designee: Stephanie Summerwille Date Signed: 9/11/2024

Commissioner or Agency Head: Jay Stoffel Date Signed: 09/11/2024

## **Organizational Profile**

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Teachers Retirement Association administers the defined benefit pension plan for Minnesota educators.

The organization is overseen by the Executive Director, currently occupied by Jay Stoffel.

# Individuals Responsible for Directing and Implementing the Affirmative Action Plan

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Minnesota Administrative Rules, section 3905.0400, subpart 1, item B.

## A. Executive Director

### Responsibilities

The Executive Director is responsible for establishing an Affirmative Action Plan, including goals, timetables, and compliance with all federal and state laws and regulations. Quarterly, the Executive Director reports the agency's progress in meeting its affirmative action goals and objectives to the Commissioner of Minnesota Management & Budget (MMB). The Executive Director, through the Commissioner of MMB, will report annually to the Governor and the Legislature the agency's progress in meeting its affirmative action goals and objectives

### Duties

The duties of the Executive Director include, but are not limited to:

- Appoint the Affirmative Action Officer or designee and include accountability for the administration of the agency's Affirmative Action Plan in his or her position description.
- Take action, if needed, on complaints of discrimination and discriminatory harassment.
- Issue a statement affirming the department's commitment to affirmative action and equal employment opportunity and ensure the statement is shared with all employees.
- Make decisions and changes in policies, procedures or physical accommodations as needed to implement effective affirmative action in the agency.
- Actively promote equal employment opportunity and incorporate diversity and inclusion principles in annual business plans, strategic plans, and the agency's mission.
- Notify all contractors and sub-contractors with the department of their affirmative action responsibilities.
- Enforce equal employment opportunity in affirmative and non-affirmative hiring decisions reviewed in the hiring process.
- Require that all agency directors, managers, and supervisors include responsibility statements to support affirmative action, equal opportunity, diversity, and cultural responsiveness in their position descriptions and annual objectives.
- Comply with state-wide and agency anti-discrimination and anti-harassment policies.

### Accountability

The Executive Director is accountable directly to the Governor and indirectly to the Commissioner of MMB for affirmative action matters.

## Name of individual(s) responsible

**Name:** Jay Stoffel

**Email:** [jstoffel@minnesotatra.org](mailto:jstoffel@minnesotatra.org)

**Title:** Executive Director

**Phone:** 651-205-4252

## B. Affirmative Action Officer

### Responsibilities

The Affirmative Action Officer is directly responsible for developing, coordinating, implementing, and monitoring the agency's affirmative action plan.

### Duties

The duties of the Affirmative Action Officer include, but are not limited to:

- Develop and administer the agency's Affirmative Action Plan.
- Develop and set agency-wide affirmative action hiring goals.
- Monitor agency compliance and fulfill all affirmative action reporting requirements.
- Disseminate the affirmative action policy to employees in the agency.
- Inform the Executive Director of progress on affirmative action and equal opportunity goals and report potential concerns.
- Act as the affirmative action liaison between the agency, MMB, and the Governor's Office.
- Determine the need for affirmative action training within the agency. Develop training goals and content with internal and external resources.
- Review and recommend changes in policies, procedures, programs, and physical accommodations to implement affirmative action and equal opportunity.
- Develop innovative programs to attract and retain individuals from protected groups in the agency.
- Support and recruit females, persons with disabilities, and racial or ethnic minorities for employment, promotion, and training opportunities.
- Manage the agency's pre-hire review process. Review requests for non-affirmative hires in the Monitoring the Hiring process and refer unresolved issues to the Executive Director for final decision.
- Ensure supervisors and managers are making good faith efforts to recruit and retain qualified candidates and employees from protected groups.
- Oversee the administration of the Americans with Disabilities Act Title I and Title II.

- Maintain records of requests for reasonable accommodations.
- Oversee the administration of the Agency Diversity Recruitment program.
- Comply with state-wide and agency anti-discrimination and anti-harassment policies.

## Accountability

The Affirmative Action Officer (AAO) is accountable to the Executive Director for program impacts and for ongoing program activities and direction. The Affirmative Action Officer oversees the administration of ADA Title II, manages diversity and inclusion initiatives, and other equal opportunity related matters. In addition, the AAO ensures that aggregate data and trends of complaints of illegal discrimination in hiring are provided and shared with appropriate Human Resources staff on a quarterly basis. At TRA, the Human Resources Director serves as the AAO.

## Name of individual(s) responsible

**Name:** Stephanie Summerville

**Email:** [ssummerville@minnesotatra.org](mailto:ssummerville@minnesotatra.org)

**Title:** Human Resources Director

**Phone:** 651-296-6523

## C. Affirmative Action Officer Designee(s)

### Responsibilities

Designees are responsible for the implementation of the department's Affirmative Action Plan at their facility/work location. Each designee is directly accountable to the agency's Affirmative Action Officer for matters relating to affirmative action.

### Duties

The duties of Affirmative Action Designees include, but are not limited to:

- Fulfill all affirmative action reporting requirements by submitting standard reports.
- Ensure dissemination of all relevant affirmative action information to appropriate staff.
- Serve as ex-officio member of the Employee Resource Group (ERG) diversity committee at their work and/or participate in the agency's diversity or equity committee.
- Determine the need for diversity training and recommend training at their respective work location.

- Review policies, procedures, and practices to recommend changes to the Affirmative Action Officer.
- Partner with the agency’s recruitment team at their work locations.
- Comply with statewide and agency anti-discrimination and anti-harassment policies.

### Accountability

The Affirmative Action Designee is accountable indirectly to the Executive Director on matters pertaining to Affirmative Action and Equal Opportunity.

#### Name of individual(s) responsible

**Name:** Justin Johnson

**Email:** [jjohnson@minnesotatra.org](mailto:jjohnson@minnesotatra.org)

**Title:** Human Resources Associate

**Phone:** 651-215-6850

## D. Human Resources Director or Designee(s)

### Responsibilities

The Human Resource (HR) Office is responsible for ensuring equitable and uniform administration of all personnel policies.

The HR Director is responsible as the agency ADA Coordinator, for ensuring timely responses to all Americans with Disabilities Act (ADA) requests for reasonable accommodations to remove barriers to equal employment opportunity with the agency. The HR Director is responsible for assisting managers and supervisors in human resources management activities.

Staff within HR who work on affirmative action and diversity issues are accountable to the HR Director or Designee.

### Duties

The duties of HR Director include, but are not limited to:

- Maintain effective working relationships with the agency Affirmative Action Officer and designees.
- Provide leadership to HR staff and others to ensure personnel decision-making processes adhere to equal opportunity and affirmative action principles.
- Provide guidance in the development and use of selection criteria to ensure they are objective, uniform, and job related.

- Assist in recruitment and retention of protected groups and notify managers and supervisors of existing disparities.
- Ensure an Affirmative Action Pre-hire Review process is implemented and followed by hiring managers and supervisors in collaboration with the Affirmative Action Officer.
- Initiate and report on progress made with program objectives contained in the Affirmative Action Plan.
- Ensure that the reasonable accommodation process is implemented and followed for all employees and applicants in need of a reasonable accommodation.
- Assist supervisors, managers, and the Affirmative Action Officer in the recruitment of protected group members through career and job fairs and other efforts, as well as in selection and retention of protected group members.
- Assist supervisors, managers, the Affirmative Action Officer, and HR staff in the creation of supported worker positions. These positions help reduce agency costs by diverting supportive employment duties from higher skilled workers to supported worker positions. This can improve employee morale and retention of persons with disabilities in integrated employment.
- Request assistance from MMB to support diversity recruitment efforts, as well as the retention of protected group members in hard-to-fill or executive level positions.
- Include responsibility statements for affirmative action/equal employment opportunity in position descriptions and annual performance objectives.
- Comply with state-wide and agency anti-discrimination and anti-harassment policies.

### Accountability

HR staff are accountable to the HR Director or Designee.

### Name of individual(s) responsible

**Name:** Stephanie Summerville

**Email:** [ssummerville@minnesotatra.org](mailto:ssummerville@minnesotatra.org)

**Title:** Human Resources Director

**Phone:** 651-296-6523

**Name:** Justin Johnson

**Email:** [jjohnson@minnesotatra.org](mailto:jjohnson@minnesotatra.org)

**Title:** Human Resources Associate

**Phone:** 651-215-6850

## E. Americans with Disabilities Act Title I Coordinator

### Responsibilities

The Americans with Disabilities Act (ADA) Title I Coordinator is responsible for ensuring the agency's compliance with the ADA Title I – Employment, in accordance with the ADA - as amended, and the Minnesota Human Rights Act. At TRA, the ADA Title I Coordinator is the Human Resources Director.

## Duties

The duties of the ADA Title I Coordinator include, but are not limited to:

- Provide guidance, coordination, and direction to agency management on the ADA. The agency develops and implements policies, procedures, and practices to ensure agency employment practices and programs are accessible and nondiscriminatory.
- Provide training, technical guidance, and consultation to agency management and staff on compliance and best practices for hiring and retaining persons with disabilities, as well as the provision of reasonable accommodations to employees and job applicants.
- Track and facilitate requests for reasonable accommodations for job applicants and employees, as well as members of the public accessing agency services and report reasonable accommodations annually to MMB.
- Research case law rules and regulation and update Human Resources (HR) Directors on evolving ADA issues. Meet bi-annually with ADA Coordinators and provide updates on ADA.
- Ensure compliance with ADA reporting according to state and federal requirements.
- Assist the Affirmative Action Officer in designing and delivering specific ADA training for targeted groups.
- Submit reasonable accommodation reimbursement under the guidelines of the state-wide accommodation fund.
- Receive requests for ADA accommodations and work with appropriate supervisors, unions, etc. to approve or deny the request, or provide alternative accommodations.
- Provide reasonable accommodations to qualified individuals (as defined by ADA) with known physical or mental disabilities, to enable them to compete in the selection process, perform essential functions of the job, and/or enjoy equal benefits and privileges. The ADA Coordinator/Human Resources Director in consultation with the employee and supervisor, and other individuals involved must:
  - Discuss the purpose and essential functions of the job and complete a step-by-step job analysis;
  - Determine the precise job-related limitations;
  - Identify potential accommodations and assess the effectiveness each would have in allowing the employee to perform essential functions of the job; and
  - After discussion and review, select and implement the accommodations that are appropriate for both the employee and the employer using the Reasonable Accommodation Agreement.

- Comply with state-wide and agency anti-discrimination and anti-harassment policies.

### Accountability

The ADA Title I Coordinator is accountable to the Executive Director.

### Name of individual(s) responsible

**Name:** Stephanie Summerville

**Email:** [ssummerville@minnesotatra.org](mailto:ssummerville@minnesotatra.org)

**Title:** HR Director

**Phone:** 651-296-6523

## F. Americans with Disabilities Act Title II Coordinator

### Responsibilities

The Americans with Disabilities Act (ADA) Title II Coordinator is responsible ensuring the agency's compliance with the ADA Title II – Public Services, in accordance with the ADA as amended, and the Minnesota Human Rights Act. At TRA, the ADA Title II Coordinator is the Human Resources Director.

### Duties

The duties of the ADA Title II Coordinator include, but are not limited to:

- Provide guidance, coordination, and direction to agency management on the ADA. The agency develops and implements policies, procedures, and practices to ensure agency employment practices and programs are accessible and nondiscriminatory.
- Provide training, technical guidance, and consultation to the agency's management and staff on compliance and best practices with regards and obligations to members of the public with disabilities, as well as the provision of reasonable modifications for visitors.
- Track and facilitate requests for reasonable modifications for members of the public accessing agency services. Report reasonable modifications annually to MMB.
- Research case law rules and regulation and update Executive team on evolving ADA issues. Meet bi-annually with state ADA Coordinators and learn updates and share practices on ADA.
- Ensure compliance with ADA reporting according to state and federal requirements.
- Assist the Affirmative Action Officer in designing and delivering training for Agency employees assisting ADA modifications for the public.
- Provide reasonable modifications to members of the public (as defined by ADA) with known physical or mental disabilities to ensure equal access and privileges to programming and services. The ADA Title II Coordinator will consult with the member of the public in need of a modification and:

- Discuss the purpose and essential functions of the reasonable modification.
- Identify the potential modifications and assess the effectiveness each request.
- After discussion and review, select and implement the modifications that are appropriate for both the member of the public and the agency.
- Document this review and reported in the State ADA Annual Report.
- Comply with state-wide and agency anti-discrimination and anti-harassment policies.

### Accountability

The ADA Title II Coordinator is accountable to the Executive Director.

### Name of individual(s) responsible

**Name:** Stephanie Summerville

**Email:** [ssummerville@minnesotatra.org](mailto:ssummerville@minnesotatra.org)

**Title:** Human Resources Director

**Phone:** 651-296-6523

## G. Senior Managers and Executive Team Leaders

### Responsibilities

Agency senior managers and executive team leaders are responsible for implementing all aspects of the agency Affirmative Action Plan and the agency’s commitment to affirmative action and equal opportunity.

### Duties

The duties of senior managers and executive team leaders include, but are not limited to:

- Identify problem areas and eliminate barriers that prevent equal employment opportunity within the agency.
- Communicate the equal opportunity employment policy and the affirmative action plan to all employees.
- Assist the Affirmative Action Officer in periodic audits of hiring and promotion patterns to remove obstacles to attaining affirmative action goals and objectives.
- Hold regular discussions with supervisors and employees to ensure the agency’s equal employment opportunity policies are being followed.
- Inform and evaluate managers and supervisors on their equal employment opportunity efforts and results, in addition to other job performance criteria.

- Comply with statewide and agency anti-discrimination and anti-harassment policies.

### Accountability

Senior managers and executive team leaders are accountable directly to the Deputy Executive Director or the Executive Director.

## I. All Employees

### Responsibilities

All employees are responsible for conducting themselves in accordance with the State of Minnesota's policy of equal employment opportunity. This includes refraining from any actions that would subject any employee to negative treatment on the basis of race, creed, color, sex (including pregnancy), national origin, age, marital status, familial status, disability, sexual orientation, gender expression, gender identity, reliance on public assistance, membership or activity in a local human rights commission, religion, political opinions, or affiliations. Employees who believe they have been subjected to such discrimination or harassment are encouraged to use the agency's complaint procedure.

### Duties

The duties of all employees include, but are not limited to:

- Exhibit an attitude of respect, courtesy, and cooperation toward colleagues and the public.
- Refrain from any actions that would adversely affect a colleague on the basis of their race, creed, color, sex (including pregnancy), national origin, age, marital status, familial status, disability, sexual orientation, gender expression, gender identity, reliance on public assistance, membership or activity in a local human rights commission, religion, political opinions, or affiliations.
- Comply with state-wide and agency anti-discrimination and anti-harassment policies.

### Accountability

Employees are accountable to their designated supervisor and indirectly to the agency's Executive Director. All employees are responsible for conducting themselves in accordance with the Affirmative Action Plan.

## Communication of the Affirmative Action Plan

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Minnesota Administrative Rules, section 3905.0400, subpart 1, item D and item E.

The following information describes the methods that the agency takes to communicate the Affirmative Action Plan to employees and the general public:

## Internal Methods of Communication

- **Internal memorandum.** Agency leadership or the Affirmative Action Officer will send an internal memo to agency employees each year. This message identifies the location of the Affirmative Action Plan and the employee's responsibility to read and understand it. It also indicates the employee's responsibility to support and implement equal opportunity and affirmative action.
- **Intranet.** The agency's Affirmative Action Plan is available to all employees on the agency's internal (Intranet) website at [TRA Portal \(https://traportal/departments/humanresources\)](https://traportal/departments/humanresources) and in print to anyone who requests it. As requested, the agency will make the plan available in alternative formats.
- **Printed copy.** A physical copy of the Agency's Affirmative Action Plan is available to employees at the following address:

Teachers Retirement Association  
Retirement Building  
60 Empire Drive, Suite 400  
St Paul, MN 55103

## External Methods of Communication

- **Public website.** The agency's Affirmative Action Plan is available on the agency's public website at [agency's public website \(https://minnesotatra.org/contact/job-opportunities/\)](https://minnesotatra.org/contact/job-opportunities/). Printed copies are available to anyone who requests it. As requested, the agency will make the plan available in alternative formats.
- **Equal opportunity employer language.** The agency's website homepage, letterhead, publications, and all job postings include the statement "Teachers Retirement Association is an equal opportunity employer." The agency will also ensure a representative ratio of diversity is on all marketing materials.
- A physical copy of the Agency's Affirmative Action Plan is available to contractors, vendors, and members of the public at the following address:

Teachers Retirement Association  
Retirement Building  
60 Empire Drive, Suite 400  
St Paul, MN 55103

## Workforce Composition Analysis

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Minnesota Administrative Rules, part 3905.0600, subpart 2, items A to C, subpart 3, items A to D, subpart 4, Subpart 5, and subpart 6.

### Job Category Review

The agency conducted a Job Category Analysis to determine the percent of protected group employees in each job category. The job category analysis lists job class titles in each Equal Employment Opportunity (EEO) job category at the agency. A job classification is a group of one or more positions with similar duties and responsibilities. These classifications help clarify positions within the class so the same schedules of pay can be applied with equity to all positions in the class that fall under the same, or substantially the same, employment conditions.

### Determining Availability

The agency used the United States Census Bureau's EEO Tabulation 2014-2018 American Community Survey (ACS) statistical data for external availability. The feeder job statistics of employees are used for internal availability (refer to Appendix D. Feeder Jobs for details).

These external and internal factors are weighted according to the agency's past hiring patterns and/or future recruitment focus to obtain the final availability (Refer to Appendix E. Determining Availability for details).

### Progress Reports

The progress report examines hiring goals established in the prior Affirmative Action Plan. As a part of the agency's monitoring practices, the agency evaluated if it met the hiring goal(s) established in the prior Affirmative Action Plan (refer to [Appendix A. Progress Report](#)).

[Appendix A. Progress Report](#) includes only job categories that have hiring goal(s) established in the prior Affirmative Action Plan and it evaluates if the agency attained the hiring goal(s).

Where the indication of the "Goal Met?" column is:

- "Yes": the agency met the goal established in the prior Affirmative Action Plan.
- "No": the agency did not attain the goal established in the prior Affirmative Action Plan.
- "No Hire/Prom": there were no opportunities in the prior Affirmative Action Plan period.

TRA did not have underutilization or hiring goals for the 2022-2024 plan year. The agency has been in process of growing and restructuring, which is resulting in a constant shift in our demographics while we are in progress of increased hiring and hiring for different types of positions than we have had historically. For example, in the 2020-2022 plan year, we hired and promoted a total of 14 employees, compared to a total of 23 employees in the 2022-2024 plan year and 38 employees in the 2024-2026 plan year. There are still over twenty new positions that the agency is in progress of creating and filling, at the time of this narrative. TRA continues to monitor hiring and promotional demographics, so

that our strong diversity levels are not adversely impacted in the long run, as a result of this time of change.

In the 2024-2026 plan year, we hired twice as many females as males for all job categories where hiring occurred. Also, during the 2024-2026 plan year, we promoted nearly twice as many females as males in all job categories where promotions occurred. Lastly, for our largest job category of professional, nearly twenty percent of our hires were racial/ethnic minorities (19.05%); nearly thirty percent of our hires were individuals with disabilities (28.57%); and a little over twenty percent of our promotions were individuals with disabilities (21.43%).

**Table 2. Progress Report from 2022-2024 Affirmative Action Plan**

Job Category	Females	Persons with Disabilities	Racial or Ethnic Minorities
Officials and Managers	-	-	-
Professionals	-	-	-
Technicians	-	-	-
Administrative Support	-	-	-

## Separations Analysis

[Appendix B. Separation Analysis](#) shows the results by separation type and the protected group during the prior affirmative action plan period to evaluate and identify potential action area(s) for retention strategies for the 2024-2026 plan year.

The number of employees separating from TRA has not seen a drastic shift, with eleven separating in the 2022-2024 plan year and sixteen separating in the 2024-2026 plan year. Most agency separations continue to be retirements in the current plan year.

**Table 3. Separation Analysis from 2022-2024 Affirmative Action Plan**

Separation Type	Females	Persons with Disabilities	Racial or Ethnic Minorities
Dismissal or Non-Certification	**.**%*	**.**%*	0.00%
Resignation	**.**%*	**.**%*	**.**%*
Enhanced Separation	0.00%	0.00%	0.00%
Retirement	**.**%*	**.**%*	**.**%*
Death	0.00%	0.00%	0.00%

Separation Type	Females	Persons with Disabilities	Racial or Ethnic Minorities
Lay-off	0.00%	0.00%	0.00%
Termination without Rights	0.00%	0.00%	0.00%
Total Separations	<b>62.50%</b>	<b>**.**%*</b>	<b>**.**%*</b>

## Utilization and Comparison of Employees to Availability

Utilization is an analysis of affirmative action and equal opportunity employment data used to assess the available workforce for a given state.

Underutilization Analysis worksheets are attached in the appendices. Numbers less than 10 are indicated with “<10” in accordance with Minnesota Management and Budget’s guidance on data privacy.

Through the utilization and availability analysis, the agency has determined which job categories are underutilized for females, persons with disabilities, and racial or ethnic minorities in the agency and has set hiring goals for the next two years. Hiring goals are objective and used for making good faith efforts for all aspects of the affirmative action plan. Effective hiring goals are strategic, actionable, and measurable efforts the agency is committed to pursuing and implementing in 2024-2026.

The goals are not quotas, nor do they require protected group status-based hiring preferences. They are aspirational goals so that the agency makes good faith efforts to remove barriers to equal employment opportunity.

The agency used the whole person rule to establish a hiring goal. This means when the actual representation percentage of females, persons with disabilities, and racial or ethnic minorities is less than reasonably would be expected given the workforce participation in the labor market area or reasonable recruitment area and that difference is at least one whole person (more than 1), then a goal is established for that job category.

When a hiring goal for a job category is established, a percentage goal equals to the final availability percentage is calculated for females, persons with disabilities, and racial or ethnic minorities in that job category.

In Appendix F. the Utilization Goals indicates if a job category by protected group is underutilized.

Area(s) in the agency’s workforce that require further monitoring appear in the “Establish Goals?” column as:

- “Yes”: there is underutilization.
- “Monitor”: the agency needs to monitor the job it may be underutilized where employee movement occurs.

In Table 2. Hiring Goals by Job Category and Protected Group, if a protected group in a job category shows “Monitor,” the agency will proactively make good faith efforts to recruit external qualified protected groups. The agency will also train and retain employees in the job category to help prevent underutilization due to an employee move or attrition.

Refer to Appendix F. Utilization-Goals for details for underutilization and hiring goals.

The agency has a summary of hiring goals by job category and protected group. The actions the agency will take to address these hiring goals will be described in *the goals, objectives, and timetables section*.

**Table 4. 2024-2026 Hiring Goals by Job Category and Protected Group**

Job Category	Females	Persons with Disabilities	Racial or Ethnic Minorities
Officials and Managers	-	Monitor	Monitor
Professionals	Monitor	-	-
Technicians	Monitor	Monitor	Monitor
Administrative Support	-	-	Monitor

## Goals, Objectives, and Timetables

Minnesota Administrative Rules, section 3905.0400, subpart 1, item G and item H, Minnesota Administrative Rules, section 3905.0600, subpart 4, subpart 5, and subpart 6.

**Goals:**

This Affirmative Action Plan shall establish goals for each goal unit by protected group. The goals must be based on a comparison of the composition of the agency or agency subdivision work force with the composition of the relevant civilian labor force in an identified labor market area. If the comparison shows that a goal unit underutilizes a protected group, the agency head shall establish a goal for that group in that goal unit.

**Definition:** Goal is a broad statement about the long-term expectation of what should happen as a result of your program (the desired result). Serves as the foundation for developing your program objectives.

**Objectives:**

The agency’s affirmative action plan will identify and describe the methods for developing programs and program objectives designed to meet affirmative action goals. to implement the provisions of this affirmative action plan and meet requirements found in These Action-Oriented Programs are carried out throughout this affirmative action plan period.

**Definition:** Objectives are statements describing the results to be achieved, and the manner in which they will be achieved. You usually need multiple objectives to address a single goal.

**Timetables:**

This Affirmative Action plan also establishes timetables for meeting goals and objectives. Timetables must be based on turnover and hire rates within each goal unit in the agency or within each agency subdivision.

## Goals, Objectives, and Timetables by Protected Group

### Females:

Goals	Objectives	Timetables
<p>TRA does not have an underutilization of female employees. The agency will continue to monitor the number of female employees because underutilization may occur by employee movement or our process of increasing our workforce.</p>	<ul style="list-style-type: none"> <li>• Continue use of TRA-specific exit interview process that was developed and piloted in 2021, as time permits. Continually evaluate responses received in order to gain insight into why employees may be separating to aid in retention and recruitment efforts.</li> <li>• Continue to explore recruitment opportunities on an ongoing-basis in order to establish community relationships and pipelines for any future hiring needs. Ensure clear, inclusive language is used in job postings, and look into opportunities to recruit diverse candidates at low or no cost.</li> <li>• Continue to have all employees meet regularly (at least monthly) with their management to ensure job expectations are clear, training gaps are promptly identified, and progress towards development goals discussed.</li> <li>• Continue to evaluate performance management and individual development practices to aid in retention efforts and in knowledge transfer or cross-training efforts. Utilize creative solutions to enhance employee engagement, identify growth opportunities, and encourage employee success.</li> </ul>	<p>Ongoing</p>

## Persons with Disabilities:

Goals	Objectives	Timetables
<p>TRA does not have an underutilization of employees with disabilities. The agency will continue to monitor the number of employees with disabilities because underutilization may occur by employee movement or our process of increasing our workforce.</p>	<ul style="list-style-type: none"> <li>• Establish presence on AbilityLinks website to begin targeted recruitment of persons with disabilities.</li> <li>• Establish connection with the Department of Employment and Economic Development’s (DEED) Veterans services to begin targeted recruitment of veterans with disabilities.</li> <li>• Continue to explore other recruitment opportunities to establish community relationships and pipelines for any future hiring needs. Ensure clear, inclusive language is used in job postings, and look into opportunities to recruit diverse candidates at low or no cost.</li> <li>• Continue use of TRA-specific exit interview process that was developed and piloted in 2021, as time permits. Continually evaluate responses received in order to gain insight into why employees may be separating to aid in retention and recruitment efforts.</li> <li>• Continue to have all employees meet regularly (at least monthly) with their management to ensure job expectations are clear, training gaps are promptly identified, and progress towards development goals discussed.</li> <li>• Continue to evaluate performance management and individual development practices to aid in retention efforts and in knowledge transfer or cross-training efforts. Utilize creative solutions to enhance employee engagement, identify growth opportunities, and encourage employee success.</li> </ul>	<p>Late Summer/Early Fall 2024 for new objectives; all other objectives are ongoing</p>

## Racial or Ethnic Minorities:

Goals	Objectives	Timetables
<p>TRA does not have an underutilization of racial or ethnic employees. The agency will continue to monitor the number of racial or ethnic employees because underutilization may occur by employee movement or our process of increasing our workforce.</p>	<ul style="list-style-type: none"> <li>• Continue use of TRA-specific exit interview process that was developed and piloted in 2021, as time permits. Continually evaluate responses received in order to gain insight into why employees may be separating to aid in retention and recruitment efforts.</li> <li>• Continue to explore recruitment opportunities on an ongoing-basis in order to establish community relationships and pipelines for any future hiring needs. Ensure clear, inclusive language is used in job postings, and look into opportunities to recruit diverse candidates at low or no cost.</li> <li>• Continue to have all employees meet regularly (at least monthly) with their management to ensure job expectations are clear, training gaps are promptly identified, and progress towards development goals discussed.</li> <li>• Continue to evaluate performance management and individual development practices to aid in retention efforts and in knowledge transfer or cross-training efforts. Utilize creative solutions to enhance employee engagement, identify growth opportunities, and encourage employee success.</li> </ul>	<p>Ongoing</p>

## Barriers to Achieving Goals and Objectives:

The agency has constraints to address underutilization and areas for monitoring identified in the previous section.

- Limited human resources staff to participate in employee recruitment, engagement, and retention efforts due to competing priorities of other human resources functions and initiatives that must be completed.
- Limited paid recruitment budget can impact outreach efforts.
- Unwillingness of employees to self-identify, including racial/ethnic employees and persons with disabilities. This will affect the representation of employees in these protected groups.

## Recruitment, Retention, and Training

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Minnesota Statutes 2023, section 43A.191, subdivision 3, (c), (1) and (2).

### Recruitment

The agency will demonstrate a good faith effort to build a coordinated plan to recruit and retain qualified females, persons with disabilities, and racial or ethnic minorities. For example:

- The agency will continue to place advertisements of job opportunities through [the State of MN Career site](https://mn.gov/mmb/careers/search-for-jobs/) (https://mn.gov/mmb/careers/search-for-jobs/).
- The agency will continue to consider females, persons with disabilities, and racial or ethnic minorities applicants for all positions for which they qualify.
- The agency will continue to participate in job fairs, as time permits.
- The agency will establish a presence on the AbilityLinks website to begin targeted recruitment of persons with disabilities, and will further explore additional diversity recruitment opportunities.
- The agency will advertise the Connect 700 program to attract qualified persons with disabilities by providing a link to MMB's web site.
- The agency will continue to use the EEO tag line on all job postings and advertisements.
- The agency will continue to publish recruitment materials and media depicting individuals representing protected groups.
- The agency will review/evaluate job postings to eliminate non-inclusive language and may revise qualifications that could be creating employment barriers.

### Name of individual(s) responsible

- Stephanie Summerville, Human Resources Director
- Justin Johnson, Human Resources Associate

## Retention

The agency will take the following actions to improve retention of females, persons with disabilities, and racial or ethnic minorities:

- Provide all staff Civility in the Workplace training through the Institute of Civility in late fall/early winter to continue education efforts regarding the importance of maintaining an inclusive, respectful workplace and modeling appropriate workplace behavior.
- As time permits, conduct exit interviews, analyze the data, and address identified concerns.
- Begin discussions to revamp TRA's existing new employee on-boarding program.
- Encourage all new hires to receive applicable trainings for their career development.
- Ensure an inclusive work environment and equal opportunities for all employees.
- Develop and communicate to employees' leadership ladder/succession planning.
- Continue to evaluate performance management and individual development practices to aid in retention efforts and in knowledge transfer or cross-training efforts. Utilize creative solutions to enhance employee engagement and encourage employee success.
- Continue to have all employees meet regularly (at least monthly) with their management to ensure job expectations are clear and training gaps are promptly identified.

### Name of individual(s) responsible

- Stephanie Summerville, Human Resources Director
- Justin Johnson, Human Resources Associate
- Agency Managers and Supervisors

## Training

The agency will take the following actions to improve retention of females, persons with disabilities, and racial or ethnic minorities:

- Continue cross-learning programs to develop employee's skill and competencies.
- Continue provide quality new hire orientations.
- Continue to announce training opportunities to all employees.
- Continue to broadly announce all promotion and transfer opportunities.
- Continue to provide unconscious bias in hiring/interviewing training to all managers and supervisors.
- Continue to provide leadership with TRA developed or sourced training on inclusive workforce topics.

- Ensure all new hires receive inclusive workplace e-learning training. Also provide refresher receive inclusive workplace e-learning training to current employees, on an annual basis.
- Explore broader additional use of learning cohorts, as opportunity and time permits.

#### Name of individual(s) responsible

- Stephanie Summerville, Human Resources Director
- Justin Johnson, Human Resources Associate
- Agency Training Coordinators
- Agency Managers and Supervisors

## Disability Recruitment, Hiring, and Advancement

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Minnesota Statutes 2023, section 43A.191, subdivision 2 (d), subdivision 2a (b) (1) and (2), (c) (1) to (5).

This section identifies ways the agency will provide assurances, procedures, and commitments to provide adequate hiring, placement, and advancement opportunities for persons with disabilities. It must describe specific actions to ensure that a broad range of persons with disabilities will be aware of and be encouraged to apply for job vacancies when eligible:

1. The use of programs and resources that identify job applicants with disabilities who are eligible to be appointed under a hiring authority that takes disability into account, consistent with the demonstration program under section [43A.15, subdivision 14](#). For example, TRA advertises all unlimited, classified positions at TRA as being eligible for the Connect 700 program.
2. Establishment and maintenance of contacts, that may include formal agreements, with organizations that specialize in aiding persons with disabilities in securing and maintaining employment. For example, TRA is in process of establishing a presence on the AbilityLinks website and working with DEED to attract qualified veterans with disabilities to TRA job opportunities.
3. The plan must ensure that the agency has designated sufficient staff to handle any disability-related issues that arise during the application and selection process, and shall require the agency to provide staff with sufficient training, support, and other resources to carry out the responsibilities. For example, the TRA HR Director and HR Associate are employees designated to fulfill this role.
4. Ensuring that disability-related questions from members of the public regarding the agency's application and selection processes are answered promptly and correctly, including questions about reasonable accommodations needed by job applicants during the application and selection process and questions about how individuals may apply for positions under hiring authorities that take disability into account. For example, the TRA contact(s) for the Connect 700 program and for requesting reasonable accommodations is listed on our postings. We further identify in our interview invitations who should be contacted for reasonable accommodation requests.
5. Accepting applications for a position under hiring authorities that take disability into account. For example, TRA regularly explains how to apply to our positions (in the postings themselves, as well as interaction with prospective hires) so that all candidates have an opportunity to consistently apply and have qualifications evaluated for our hiring process.
6. If an individual has applied for appointment to a particular position under a hiring authority that takes disability into account, determining whether the individual is eligible for appointment under such authority and if so, forwarding the individual's application to the relevant hiring officials with an explanation of how and when the individual may be appointed, consistent with all applicable laws. For example, the TRA Human Resources office reviews all Connect 700 applicants for minimum qualifications/qualifying program certificates and leads all non-competitive interviews with the hiring manager present for the Connect 700 process.

7. Overseeing any other agency programs designed to increase hiring of individuals with disabilities. For example, TRA Human Resources office continues to explore recruitment opportunities on an ongoing-basis in order to establish community relationships and pipelines for any future hiring needs. The TRA Human Resources office further ensures clear, inclusive language is used in job postings, and regularly looks into opportunities to recruit diverse candidates at low or no cost.

## Supported Employment (Worker) Program

TRA has a small workforce and does not currently have any positions or existing types of work that can be used for supported employment as defined in section [268A.01, subdivision 13](#), of persons with significant disabilities. Opportunities for such positions will be identified, should this become possible.

The agency shall report this information to the Commissioner or head of the agency. An agency that hires more than one supported worker in the identified positions must receive recognition for each supported worker toward meeting the agency's affirmative action goals and objectives.

## Reasonable Accommodations

This section identifies ways the agency:

1. Provides reasonable accommodations in the hiring and promotion of qualified persons with disabilities.
2. Complies with accessibility standards under 16E.03, Subd. 9
3. Methods and procedures for providing timely access to reasonable accommodations during the application process, throughout current employment, and when seeking promotion.
4. Provisions for funding reasonable accommodations; and
5. The number of requests made, the number of requests approved, and the number of requests reimbursed from the state accommodation account under section [16B.4805](#).

**Table 5. Reasonable Accommodation Requests, Approvals, and Reimbursements**

Number of Requests	Number of Requests Approved	Number of Requests Reimbursed
14 in Fiscal Year 2024	6 in Fiscal Year 2024	TRA is not an executive branch agency and is not eligible for this reimbursement.

## **A. Statewide ADA Reasonable Accommodation Policy Statewide HR/LR Policy #1433: ADA Reasonable Accommodation Policy**

### **OVERVIEW**

#### **Objective**

The goals of this policy are:

- To ensure compliance with all applicable state and federal laws;
- To establish a written and readily accessible procedure regarding reasonable accommodation, including providing notice of this policy on all job announcements;
- To provide guidance and resources about reasonable accommodations;
- To provide a respectful interactive process to explore reasonable accommodations; and
- To provide a timely and thorough review process for requests for reasonable accommodation.

#### **Policy Statement**

State agencies must comply with all state and federal laws that prohibit discrimination against qualified persons with disabilities in all employment practices. All state agencies must provide reasonable accommodations to qualified applicants and employees with disabilities unless to do so would cause an undue hardship or pose a direct threat. Agencies must provide reasonable accommodation when:

- A qualified applicant with a disability needs an accommodation to have an equal opportunity to compete for a job;
- A qualified employee with a disability needs an accommodation to perform the essential functions of the employee's job; and
- A qualified employee with a disability needs an accommodation to enjoy equal access to benefits and privileges of employment (e.g., trainings, office sponsored events).

#### **Scope**

This policy applies to all employees of the Executive Branch and classified employees in the Office of Legislative Auditor, Minnesota State Retirement System, Public Employee Retirement System, and Teachers' Retirement System.

#### **Definitions**

**Applicant** - A person who expresses interest in employment and satisfies the minimum requirements for application established by the job posting and job description.

**Americans with Disabilities Act (ADA) Coordinator** - Each agency is required to appoint an ADA coordinator or designee, depending on agency size, to direct and coordinate agency compliance with Title I of the ADA.

**Direct Threat** - A significant risk of substantial harm to the health or safety of the individual or others that cannot be eliminated or reduced by reasonable accommodation.

The determination that an individual poses a direct threat shall be based on an individualized assessment of the individual's present ability to safely perform the essential functions of the job.

**Essential Functions** - Duties so fundamental that the individual cannot do the job without being able to perform them. A function can be essential if:

- The job exists specifically to perform the function(s); or
- There are a limited number of other employees who could perform the function(s); or
- The function(s) is/are specialized, and the individual is hired based on the employee's expertise.

**Interactive Process** - A discussion between the employer and the individual with a disability to determine an effective reasonable accommodation for the individual with a disability. To be interactive, both sides must communicate and exchange information.

**Individual with a Disability** - An individual who:

- Has a physical, sensory, or mental impairment that substantially limits one or more major life activities; or
- Has a record or history of such impairment; or
- Is regarded as having such impairment.

**Qualified Individual with a Disability** - An individual who:

- Satisfies the requisite skill, experience, education, and other job-related requirements of the job that the individual holds or desires; and
- Can perform the essential functions of the position with or without reasonable accommodation.

**Major Life Activities** - May include, but are not limited to, caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, lifting, bending, speaking, breathing, learning, reading, concentrating, thinking, communicating, and working.

Major life activities also include the operation of a major bodily function, including but not limited to, functions of the immune system, normal cell growth, digestive, bowel, bladder, neurological, brain, respiratory, circulatory, endocrine, and reproductive functions.

**Medical Documentation** - Information from the requestor's treating provider which is sufficient to enable the employer to determine whether an individual has a disability and whether and what type of reasonable accommodation is needed when the disability or the need for accommodation is not obvious. Medical documentation can be requested using the standardized [Letter Requesting Documentation for Determining ADA Eligibility from a Medical Provider](#).

**Reasonable Accommodation** - An adjustment or alteration that enables a qualified individual with a disability to apply for a job, perform job duties, or enjoy the benefits and privileges of employment. Reasonable accommodations may include:

- Modifications or adjustments to a job application process to permit a qualified individual with a disability to be considered for a job; or
- Modifications or adjustments to enable a qualified individual with a disability to perform the essential functions of the job; or
- Modifications or adjustments that enable qualified employees with disabilities to enjoy equal benefits and privileges of employment.

Modifications or adjustments may include, but are not limited to:

- Providing materials in alternative formats like large print or Braille;
- Providing assistive technology, including information technology and communications equipment, or specially designed furniture;
- Modifying work schedules or supervisory methods;
- Granting breaks or providing leave;
- Altering how or when job duties are performed;
- Removing and/or substituting a marginal function;
- Moving to a different office space;
- Providing telework;
- Making changes in workplace policies;
- Providing a reader or other staff assistant to enable employees to perform their job functions, where a reasonable accommodation cannot be provided by current staff;
- Removing an architectural barrier, including reconfiguring work spaces;
- Providing accessible parking;
- Providing a sign language interpreter; or
- Providing a reassignment to a vacant position.

**Reassignment** - Reassignment to a vacant position for which an employee is qualified is a “last resort” form of a reasonable accommodation. This type of accommodation must be provided to an employee, who, because of a disability, can no longer perform the essential functions of the position, with or without reasonable accommodation, unless the employer can show that it will be an undue hardship.

**Support Person** - Any person an individual with a disability identifies to help during the reasonable accommodation process in terms of filling out paperwork, attending meetings during the interactive process to take notes or ask clarifying questions, or to provide emotional support.

**Undue Hardship** - A specific reasonable accommodation would require significant difficulty or expense. Undue hardship is always determined on a case-by-case basis considering factors that include the nature and cost of the accommodation requested and the impact of the accommodation

on the operations of the agency. A state agency is not required to provide accommodations that would impose an undue hardship on the operation of the agency.

## Exclusions

N/A

## Statutory References

- [Rehabilitation Act of 1973, Title 29 USC 701](#)
- [Americans with Disabilities Act \(1990\)](#)
- [29 C.F.R. 1630, Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act](#)

## GENERAL STANDARDS AND EXPECTATIONS

### Individuals who may request a reasonable accommodation include:

- Any qualified applicant with a disability who needs assistance with the job application procedure or the interview or selection process; or
- Any qualified agency employee with a disability who needs a reasonable accommodation to perform the essential functions of the position; or
- A third party, such as a family member, friend, health professional or other representative, on behalf of a qualified applicant or employee with a disability, when the applicant or employee is unable to make the request for reasonable accommodation. When possible, the agency must contact the applicant or employee to confirm that the accommodation is wanted. The applicant or employee has the discretion to accept or reject the proposed accommodation.

The agency must abide by the [Minnesota Government Data Practices Act, Chapter 13](#), in obtaining or sharing information related to accommodation requests.

### How to request a reasonable accommodation

An agency applicant or employee may make a reasonable accommodation request to any or all of the following:

- Immediate supervisor or manager in the employee's chain of command;
- Agency Affirmative Action Officer/Designee;
- Agency ADA Coordinator;
- Agency Human Resources Office;
- Any agency official with whom the applicant has contact during the application, interview and/or selection process.

### Timing of the request

An applicant or employee may request a reasonable accommodation at any time, even if the individual has not previously disclosed the existence of a disability or the need for an accommodation. A request is any communication in which an individual asks or states that he or she needs the agency to provide or change something because of a medical condition.

The reasonable accommodation process begins as soon as possible after the request for accommodation is made.

### **Form of the request**

The applicant or employee is responsible for requesting a reasonable accommodation or providing sufficient notice to the agency that an accommodation is needed.

An initial request for accommodation may be made in any manner (e.g., writing, electronically, in person or orally).

The individual requesting an accommodation does not have to use any special words and does not have to mention the ADA or use the phrase "reasonable accommodation" or "disability."

Oral requests must be documented in writing to ensure efficient processing of requests.

Agency request forms can be found at: "[Employee/Applicant Request for Reasonable Accommodation Form](#)".

When a supervisor or manager observes or receives information indicating that an employee is experiencing difficulty performing the job due to a medical condition or disability, further inquiry may be required. Supervisors or managers should consult with the agency ADA Coordinator for advice on how to proceed.

When an employee needs the same reasonable accommodation on a repeated basis (e.g., the assistance of a sign language interpreter), a written request for accommodation is required the first time only. However, the employee requesting an accommodation must give appropriate advance notice each subsequent time the accommodation is needed. If the accommodation is needed on a regular basis (e.g., a weekly staff meeting), the agency must make appropriate arrangements without requiring a request in advance of each occasion.

### **The interactive process entails**

Communication is a priority and encouraged throughout the entire reasonable accommodation process. The interactive process is a collaborative process between the employee and/or applicant and the agency to explore and identify specific reasonable accommodation(s). (For information on the Interactive Process see the U.S. Department of Labor, Job Accommodation Network at <http://askjan.org/topics/interactive.htm>). This process is required when:

- The need for a reasonable accommodation is not obvious;
- The specific limitation, problem or barrier is unclear;
- An effective reasonable accommodation is not obvious;
- The parties are considering different forms of reasonable accommodation;

- The medical condition changes or fluctuates; or,
- There are questions about the reasonableness of the requested accommodation.

The interactive process should begin as soon as possible after a request for reasonable accommodation is made or the need for accommodation becomes known.

The process should ensure a full exchange of relevant information and communication between the individual and the agency. An individual may request that the agency ADA Coordinator, a union representative, or support person be present.

The agency ADA Coordinator shall be consulted when:

- Issues, conflicts or questions arise in the interactive process; and
- Prior to denying a request for accommodation.

### **Agency responsibilities for processing the request**

As the first step in processing a request for reasonable accommodation, the person who receives the request must promptly forward the request to the appropriate decision maker. At the same time, the recipient will notify the requestor who the decision maker is.

#### **Commissioner**

The commissioner of the agency or agency head has the ultimate responsibility to ensure compliance with the ADA and this policy and appoint an ADA Coordinator.

#### **ADA Coordinator**

The agency ADA Coordinator is the agency's decision maker for reasonable accommodation requests for all types of requests outside of the supervisors' and managers' authority. The agency ADA Coordinator will work with the supervisor and manager, and where necessary, with agency Human Resources, to implement the approved reasonable accommodation.

#### **Supervisors and Managers**

Agencies have the authority to designate the level of management approval needed for reasonable accommodation requests for low-cost purchases. For example:

Requests for standard office equipment that is needed as a reasonable accommodation and adaptive items costing less than \$100. [Agencies can adjust the dollar amount based on their needs]; and

Requests for a change in a condition of employment such as modified duties, or a change in schedule, or the location and size of an employee's workspace. [Agencies can choose to delegate specific requests to supervisors or managers or require these types of requests to work through the agency ADA Coordinator].

### **Analysis for processing requests**

Before approving or denying a request for accommodation, the agency decision maker with assistance from the agency ADA Coordinator will:

1. Determine if the requestor is a qualified individual with a disability;

2. Determine if the accommodation is needed to:
  - Enable a qualified applicant with a disability to be considered for the position the individual desires;
  - Enable a qualified employee with a disability to perform the essential functions of the position; or
  - Enable a qualified employee with a disability to enjoy equal benefits or privileges of employment as similarly situated employees without disabilities;
3. Determine whether the requested accommodation is reasonable;
4. Determine whether there is a reasonable accommodation that will be effective for the requestor and the agency; and
5. Determine whether the reasonable accommodation will impose an undue hardship on the agency's operations.

An employee's accommodation preference is always seriously considered, but the agency is not obligated to provide the requestor's accommodation of choice, so long as it offers an effective accommodation, or determines that accommodation would cause an undue hardship.

### **Obtaining medical documentation in connection with a request for reasonable accommodation**

In some cases, the disability and need for accommodation will be reasonably evident or already known, for example, where an employee is blind. In these cases, the agency will not seek further medical documentation. If a requestor's disability and/or need for reasonable accommodation are not obvious or already known, the agency ADA Coordinator may require medical information showing that the requestor has a covered disability that requires accommodation. The agency ADA Coordinator may request medical information in certain other circumstances. For example, when:

- The information submitted by the requestor is insufficient to document the disability or the need for the accommodation;
- A question exists as to whether an individual is able to perform the essential functions of the position, with or without reasonable accommodation; or
- A question exists as to whether the employee will pose a direct threat to himself/herself or others.

Where medical documentation is necessary, the agency ADA Coordinator must make the request and use the [Letter Requesting Documentation for Determining ADA Eligibility from a Medical Provider](#). The agency ADA Coordinator must also obtain the requestor's completed and signed [Authorization for Release of Medical Information](#) before sending the Letter to, or otherwise communicating with, the medical provider. The employee may choose not to sign the Authorization. However, if the employee chooses not to sign the Authorization, it is the employee's responsibility to ensure that the agency receives the requested medical information.

Only medical documentation specifically related to the employee's request for accommodation and ability to perform the essential functions of the position will be requested. When medical documentation or information is appropriately requested, an employee must provide it in a timely manner, or the agency may deny the reasonable accommodation request. Agencies must not request medical records; medical records are not appropriate documentation and cannot be accepted.

**Supervisors and managers *must not* request medical information or documentation from an applicant or employee seeking an accommodation.** Such a request will be made by the agency ADA Coordinator, if appropriate.

## Confidentiality requirements

### Medical Information

Medical information obtained in connection with the reasonable accommodation process must be kept confidential. All medical information obtained in connection with such requests must be collected and maintained on separate forms and in separate physical or electronic files from non-medical personnel files and records. Electronic copies of medical information obtained in connection with the reasonable accommodation process must be stored so that access is limited to only the agency ADA Coordinator. Physical copies of such medical information must be stored in a locked cabinet or office when not in use or unattended. Generally, medical documentation obtained in connection with the reasonable accommodation process should only be reviewed by the agency ADA Coordinator.

The agency ADA Coordinator may disclose medical information obtained in connection with the reasonable accommodation process to the following:

- Supervisors, managers or agency HR staff who have a need to know may be told about the necessary work restrictions and about the accommodations necessary to perform the employee's duties. However, information about the employee's medical condition should only be disclosed if strictly necessary, such as for safety reasons;
- First aid and safety personnel may be informed, when appropriate, if the employee may require emergency treatment or assistance in an emergency evacuation;
- To consult with the State ADA Coordinator or Employment Law Counsel at MMB, or the Attorney General's Office about accommodation requests, denial of accommodation requests or purchasing of specific assistive technology or other resources; or
- Government officials assigned to investigate agency compliance with the ADA.

Whenever medical information is appropriately disclosed as described above, the recipients of the information must comply with all confidentiality requirements.

### Accommodation Information

The fact that an individual is receiving an accommodation because of a disability is confidential and may only be shared with those individuals who have a need to know for purposes of implementing the accommodation, such as the requestor's supervisor and the agency ADA Coordinator.

### General Information

General summary information regarding an employee's or applicant's status as an individual with a disability may be collected by agency equal opportunity officials to maintain records and evaluate and report on the agency's performance in hiring, retention, and processing reasonable accommodation requests.

### **Approval of requests for reasonable accommodation**

As soon as the decision maker determines that a reasonable accommodation will be provided, the agency ADA Coordinator will process the request and provide the reasonable accommodation in as short of a timeframe as possible. The time necessary to process a request will depend on the nature of the accommodation requested and whether it is necessary to obtain supporting information. If an approved accommodation cannot be provided within a reasonable time, the decision maker will inform the requestor of the status of the request before the end of 30 days. Where feasible, if there is a delay in providing the request, temporary measures will be taken to provide assistance.

Once approved, the reasonable accommodation should be documented for record keeping purposes and the records maintained by the agency ADA Coordinator.

### **Funding for reasonable accommodations**

The agency must specify how the agency will pay for reasonable accommodations.

### **Procedures for reassignment as a reasonable accommodation**

Reassignment to a vacant position is an accommodation that must be considered if there are no effective reasonable accommodations that would enable the employee to perform the essential functions of his/her current job, or if all other reasonable accommodations would impose an undue hardship.

The agency ADA Coordinator will work with agency Human Resources staff and the requestor to identify appropriate vacant positions within the agency for which the employee may be qualified and can perform the essential functions of the vacant position, with or without reasonable accommodation. Vacant positions which are equivalent to the employee's current job in terms of pay, status, and other relevant factors will be considered first. If there are none, the agency will consider vacant lower-level positions for which the individual is qualified. The EEOC recommends that the agency consider positions that are currently vacant or will be coming open within at least the next 60 days.

### **Denial of requests for reasonable accommodation**

The agency ADA Coordinator must be contacted for assistance and guidance prior to denying any request for reasonable accommodation. The agency may deny a request for reasonable accommodation where:

- The individual is not a qualified individual with a disability;
- The reasonable accommodation results in undue hardship or the individual poses a direct threat to the individual or others. Undue hardship and direct threat are determined on a case-by-case basis with guidance from the agency ADA Coordinator; or

- Where no reasonable accommodation, including reassignment to a vacant position, will enable the employee to perform all the essential functions of the job.

The explanation for denial must be provided to the requestor in writing. The explanation should be written in plain language and clearly state the specific reasons for denial. Where the decision maker has denied a specific requested accommodation, but has offered a different accommodation in its place, the decision letter should explain both the reasons for denying the accommodation requested and the reasons that the accommodation being offered will be effective.

### **Consideration of undue hardship**

An interactive process must occur prior to the agency making a determination of undue hardship. Determination of undue hardship is made on a case-by-case basis and only after consultation with the agency's ADA Coordinator. In determining whether granting a reasonable accommodation will cause an undue hardship, the agency considers factors such as the nature and cost of the accommodation in relationship to the size and resources of the agency and the impact the accommodation will have on the operations of the agency.

Agencies may deny reasonable accommodations based upon an undue hardship. Prior to denying reasonable accommodation requests due to lack of financial resources, the agency will consult with the State ADA Coordinator at MMB.

### **Determining direct threat**

The determination that an individual poses a "direct threat," (i.e., a significant risk of substantial harm to the health or safety of the individual or others) which cannot be eliminated or reduced by a reasonable accommodation, must be based on an individualized assessment of the individual's present ability to safely perform the essential functions of the job with or without reasonable accommodation. A determination that an individual poses a direct threat cannot be based on fears, misconceptions, or stereotypes about the individual's disability. Instead, the agency must make a reasonable medical judgment, relying on the most current medical knowledge and the best available objective evidence.

In determining whether an individual poses a direct threat, the factors to be considered include:

- Duration of the risk;
- Nature and severity of the potential harm;
- Likelihood that the potential harm will occur; and
- Imminence of the potential harm.

### **Appeals process in the event of denial**

In addition to providing the requestor with the reasons for denial of a request for reasonable accommodation, agencies must designate a process for review when an applicant or employee chooses to appeal the denial of a reasonable accommodation request. This process:

- Must include review by an agency official;
- May include review by the State ADA Coordinator; and/or

- Must inform the requestor of the statutory right to file a charge with the Equal Employment Opportunity Commission or the Minnesota Department of Human Rights.

### **Information tracking and records retention**

Agencies must track reasonable accommodations requested and report once a year by September 1st to MMB the number and types of accommodations requested, approved, denied and other relevant information.

Agencies must retain reasonable accommodation documentation according to the agency's document retention schedule, but in all cases for at least one year from the date the record is made, or the personnel action involved is taken, whichever occurs later. 29 C.F.R. § 1602.14.

### **RESPONSIBILITIES**

Agencies are responsible for the request:

- Adoption and implementation of this policy and development of reasonable accommodation procedures consistent with the guidance in this document.

MMB is responsible for:

- Provide advice and assistance to state agencies and maintain this policy.

### **FORMS AND INSTRUCTIONS**

Please review the following forms:

- [Employee/Applicant Request for ADA Reasonable Accommodation](#)
- [Authorization of Release of Medical Information for ADA Reasonable Accommodations](#)
- [Letter Requesting Documentation for Determining ADA Eligibility from a Medical Provider](#)

### **REFERENCES**

- [U.S. Equal Employment Opportunity Commission, \*Enforcement Guidance\*](#)
- Pre-employment Disability-Related Questions and Medical Examinations at 5, 6-8, 20, 21-22, 8 FEP Manual (BNA) 405:7191, 7192-94, 7201 (1995).
- Workers' Compensation and the ADA at 15-20, 8 FEP Manual (BNA) 405:7391, 7398-7401 (1996).
- The Americans with Disabilities Act and Psychiatric Disabilities at 19-28, 8 FEP Manual (BNA) 405:7461, 7470-76 (1997).
- Reasonable Accommodation and Undue Hardship under the Americans with Disabilities Act (October 17, 2002), (clarifies the rights and responsibilities of employers and persons with disabilities regarding reasonable accommodation and undue hardship).

- Disability-Related Inquiries and Medical Examinations of Employees (explains when it is permissible for employers to make disability-related inquiries or require medical examinations of employees).
- Fact Sheet on the Family and Medical Leave Act, the Americans with Disabilities Act, and Title VII of the Civil Rights Act of 1964 at 6-9, 8 FEP Manual (BNA) 4055:7371.

The [Genetic Information Nondiscrimination Act \(GINA\) of 2008](#) and [M.S. 181.974](#) prohibit employers from using genetic information when making decisions regarding employment.

[Minnesota Human Rights Act \(MHRA\)](#) prohibits employers from treating people differently in employment because of their race, color, creed, religion, national origin, sex, marital status, familial status, disability, public assistance, age, sexual orientation, or local human rights commission activity. The MHRA requires an employer to provide reasonable accommodation to qualified persons with disabilities who are employees or applicants for employment, except when such accommodation would cause undue hardship or where the individual poses a direct threat to the health or safety of the individual or others. The MHRA prohibits requesting or requiring information about an individual's disability prior to a conditional offer of employment.

The [Family and Medical Leave Act](#) is a federal law requiring covered employers to provide eligible employees twelve weeks of job-protected, unpaid leave for qualified medical and family reasons.

[Executive Order 19-15, Providing for Increased Participation of Persons with disabilities in State Employment](#), directs agencies to make efforts to hire more persons with disabilities and report on progress.

## **CONTACTS**

Equal Opportunity Office at Minnesota Management and Budget

## B. Teachers Retirement Association Employee/Applicant Request for Americans with Disabilities Act (“ADA”) Reasonable Accommodation Form

The Employee/Applicant Request for Americans with Disabilities Act (“ADA”) Reasonable Accommodation Form shown below and is available through contacting Human Resources.

<p style="text-align: center;">[Agency Name]</p> <p style="text-align: center;"><b>Employee/Applicant Request for Americans with Disabilities Act (“ADA”) Reasonable Accommodation Form</b></p> <p>[AGENCY NAME] is committed to complying with the Americans with Disabilities Act (“ADA”) and the Minnesota Human Rights Act (“MHRA”). To be eligible for an ADA accommodation, you must be 1) qualified to perform the essential functions of the position and 2) have a disability that substantially or materially limits a major life activity or function. The ADA Coordinator/Designee will review each request on an individualized case-by-case basis to determine whether or not an accommodation can be made.</p> <p>Employee/Applicant Name: _____</p> <p>Job Title: _____</p> <p>Work Location: _____</p> <p>Phone Number: _____</p> <p><b>Data Privacy Statement:</b> This information may be used by the agency human resources representative, ADA Coordinator or designee, or any other individual who is authorized by the agency to receive medical information for purposes of providing reasonable accommodations under the ADA and MHRA. This information is necessary to determine whether you have a disability as defined by the ADA or MHRA, and to determine whether any reasonable accommodation can be made. The provision of this information is strictly voluntary; however, if you refuse to provide it, the agency may not have sufficient information to provide a reasonable accommodation.</p> <p style="text-align: center;"><b>DO NOT PROVIDE ANY INFORMATION THAT IS NOT RELATED TO YOUR REQUEST FOR REASONABLE ACCOMMODATION. DO NOT PROVIDE COPIES OF MEDICAL RECORDS.</b></p> <p>A. Questions to clarify accommodation requested.</p> <p>1. What specific accommodation are you requesting?</p> <p>_____</p> <p>2. If you are not sure what accommodation is needed, do you have any suggestions about what options we can explore?</p> <p>a. Answer yes or no: _____</p> <p>b. If yes, please explain: _____</p> <p>B. Questions to document the reason for the accommodation request <i>(please attach additional pages if necessary)</i>.</p> <p>1. If you are an employee, what, if any, job function are you having difficulty performing; or if you are an applicant, what portion of the application process are you having difficulty participating in?</p> <p>_____</p> <p style="text-align: right; font-size: small;">Page 1 of 2 <span style="margin-left: 100px;">Rev. 4/2019</span></p>	<p>2. What, if any, employment benefits are you having difficulty accessing?</p> <p>_____</p> <p>3. What limitation, as result of your physical or mental impairment, is interfering with your ability to perform the functions of your job, access an employment benefit, or participate in the application process?</p> <p>_____</p> <p>4. If you are requesting a specific accommodation, how will that accommodation be effective in allowing you to perform the functions of your job, access an employment benefit, or participate in the application process?</p> <p>_____</p> <p><b>Information Pertaining to Medical Documentation:</b> in the context of assessing an accommodation request, medical documentation may be needed to determine if the employee/applicant has a disability covered by the ADA and to assist in identifying an effective accommodation. The ADA Coordinator or designee in each agency is tasked with collecting necessary medical documentation. In the event that medical documentation is needed, the employee/applicant will be provided with the appropriate forms to submit to their medical provider. The employee/applicant has the responsibility to ensure that the requested information is returned to the ADA Coordinator or designee in a timely manner.</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>This form does not cover, and the information to be disclosed should not contain, genetic information. “Genetic Information” includes: information about an individual’s genetic tests; information about genetic tests of an individual’s family members; information about the manifestation of a disease or disorder in an individual’s family members (family medical history); an individual’s request for, or receipt of, genetic services, or the participation in clinical research that includes genetic services by the individual or a family member of the individual; and genetic information of a fetus carried by an individual or by a pregnant woman who is a family member of the individual and the genetic information of any embryo legally held by the individual or family member using an assisted reproductive technology.</p> </div> <p>Employee/Applicant Signature: _____</p> <p>Date: _____</p> <p style="text-align: right; font-size: small;">Page 2 of 2 <span style="margin-left: 100px;">Rev. 4/2019</span></p>
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## C. Notice Under the Americans with Disabilities Act Title II

In accordance with the requirements of Title II of the Americans with Disabilities Act of 1990 (“ADA”), TRA will not discriminate against qualified persons with disabilities on the basis of disability in its services, programs, or activities.

**Employment:** TRA does not discriminate on the basis of disability in its hiring or employment practices and complies with all regulations promulgated by the U.S. Equal Employment Opportunity Commission under title I of the ADA.

**Effective Communication:** TRA will generally, upon request, provide appropriate aids and services leading to effective communication for qualified persons with disabilities so they can participate equally in TRA’s programs, services, and activities, including qualified sign language interpreters, documents in Braille, and other ways of making information and communications accessible to people who have speech, hearing, or vision impairments.

**Modifications to Policies and Procedures:** TRA will make all reasonable modifications to policies and programs to ensure that people with disabilities have an equal opportunity to enjoy all of its programs, services, and activities. For example, individuals with service animals are welcomed in TRA offices, even where pets are generally prohibited.

Anyone who requires an auxiliary aid or service for effective communication, or a modification of policies or procedures to participate in a program, service, or activity of TRA, should contact the office of TRA as soon as possible but no later than 48 hours before the scheduled event.

The ADA does not require the TRA to take any action that would fundamentally alter the nature of its programs or services or impose an undue financial or administrative burden.

Complaints that a program, service, or activity of TRA is not accessible to persons with disabilities should be directed to Stephanie Summerville at [ssummerville@minnesotatra.org](mailto:ssummerville@minnesotatra.org).

TRA will not place a surcharge on a particular individual with a disability or any group of persons with disabilities to cover the cost of providing auxiliary aids/services or reasonable modifications of policy, such as retrieving items from locations that are open to the public but are not accessible to persons who use wheelchairs.

## D. Americans with Disabilities Act (“ADA”) Title II (non-employee) Reasonable Accommodation/Modification in Public Services, Programs or Activities Request Form

A fillable form is available at <https://mn.gov/mmb-stat/equal-opportunity/ada/ada-accommodation-request-form-title-ii.pdf>.

\_\_\_\_\_  
(Agency)  
**Americans with Disabilities Act ("ADA") Title II (non-employee)  
Reasonable Accommodation/Modification in Public Services, Programs or Activities  
Request Form**

The \_\_\_\_\_ (Agency) is committed to complying with the Americans with Disabilities Act ("ADA") and the Minnesota Human Rights Act ("MHRHA"). The ADA Coordinator/Designee will review each request on an individualized, case-by-case, basis to determine whether an accommodation or modification can be made. Please do NOT send copies of medical records. The Agency is not authorized to have medical records and is not qualified to interpret medical records.

**General Information**

Date of Request: \_\_\_\_\_

**Person needing accommodation/modification**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

**Person making request (if different from person needing accommodation/modification)**

Name: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

Relationship to person needing accommodation/modification: \_\_\_\_\_

**Accommodation Information**

Date accommodation/modification is needed: \_\_\_\_\_

Address and/or room of accommodation/modification: \_\_\_\_\_

Type of accommodation/modification requested (please be specific):

\_\_\_\_\_

How would you like to be notified of the status of your request?

Phone  Email  Writing  Other (specify): \_\_\_\_\_

If someone else has completed this form on your behalf and you want that person to be notified of the status of your request, please initial here: \_\_\_\_\_

All requests for accommodation/modification will be evaluated individually and a response to your request will be provided within one week of receipt.

Check this box to sign this request form electronically:  
By checking this box, I agree my electronic signature is the legal equivalent of my signature.

Signature of Requestor: \_\_\_\_\_ Date: \_\_\_\_\_

**OFFICE USE ONLY  
RESPONSE TO REQUEST FOR ACCOMMODATION/MODIFICATION**

Date request received: \_\_\_\_\_

The request for accommodation/modification is **GRANTED**. Below is a description of the accommodation/modification:

\_\_\_\_\_

The request for accommodation/modification is **DENIED** because:

- The requester does not meet the essential eligibility requirements or qualifications for the program, service, or activity, without regard to disability.
- The requested accommodation/modification would impose an undue burden on the agency; and/or
- The requested accommodation/modification would fundamentally alter the nature of the service, program, or activity.

Requester notified on: (date) \_\_\_\_\_ via: \_\_\_\_\_

Additional notes:

\_\_\_\_\_

ADA Coordinator:

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## **E. Teachers Retirement Association Grievance Procedure Under Title II of the Americans with Disabilities Act**

This Grievance Procedure is established to meet the requirements of Title II of the Americans with Disabilities Act of 1990 (“ADA”). It may be used by anyone who wishes to file a complaint alleging discrimination on the basis of disability in the provision of services, activities, programs, or benefits by the TRA. The Statewide ADA Reasonable Accommodation policy governs employment-related complaints of disability discrimination.

The complaint should be in writing and contain information about the alleged discrimination such as name, address, phone number of complainant and location, date, and description of the problem. Alternative means of filing complaints, such as personal interviews or a tape recording of the complaint, will be made available for persons with disabilities upon request.

The complaint should be submitted by the grievant and/or his/her designee as soon as possible but no later than 60 calendar days after the alleged violation to:

Stephanie Summerville  
Teachers Retirement Association (TRA) HR Director  
60 Empire Drive, Suite 400  
St. Paul, MN 55103

Within 15 calendar days after receipt of the complaint, Stephanie Summerville or her designee will meet or communicate with the complainant to discuss the complaint and the possible resolutions. Within 15 calendar days of the meeting or communication, Stephanie Summerville or her designee will respond in writing, and where appropriate, in a format accessible to the complainant. The response will explain the position of TRA and offer options for substantive resolution of the complaint.

If the response by Stephanie Summerville or her designee does not satisfactorily resolve the issue, the complainant and/or his/her designee may appeal the decision within 15 calendar days after receipt of the response to the Executive Director or his designee.

Within 15 calendar days after receipt of the appeal, the Executive Director or his designee will meet with the complainant to discuss the complaint and possible resolutions. Within 15 calendar days after the meeting, the Executive Director or his designee will respond in writing, and, where appropriate, in a format accessible to the complainant, with a final resolution of the complaint.

All written complaints received by Stephanie Summerville or her designee, appeals to the Executive Director or his designee, and responses from these two offices will be retained by TRA for at least three years.

## F. Evacuation Procedure for Persons with Disabilities or Otherwise in Need of Assistance

**Two attendants will be assigned to each mobility impaired person and will perform the following:**

- Relocate the mobility impaired person to the predetermined hold-in place.
- Stay with the mobility impaired person as long as it is safe to do so.
- One attendant evacuates the building and informs the floor monitor of the location of the other two people, while the second attendant remains with the mobility impaired person.
- If it is safe to do so, and upon consent of the mobility impaired person, attendants may provide physical assistance.

A copy of the agency's weather and emergency evacuation plans can be found at:

<https://traportal/departments/humanresources/Shared%20Documents/Emergency%20Response%20Plan%20-%20MSRS.pdf>

Knowledge and preparation by both individuals needing assistance and those who don't are key to reducing the impact of emergencies. When developing a plan, safety needs should be determined on a case-by-case basis because it varies with each individual and building.

Everyone has a responsibility to develop their own personal emergency evacuation plan, this includes persons with disabilities or individuals who will need assistance during evacuation. The Americans with Disabilities Act Coordinator or designee in each agency will work to develop a plan and consult the appropriate building and safety personnel.

Directors, managers, and supervisors should review the emergency evacuation procedures with staff, including informing all staff that if additional assistance may be needed, and persons with disabilities should contact the agency contact(s) below to request the type of assistance they may need.

### **Contacts:**

Capitol Security — 651-296-2100

Emergency ambulance, fire, police — 911 or 651-296-2100

Capitol Security Dispatch (non-emergency) — 651-296-6741

Capitol Security – 1st floor desk – 7:00 AM – 5:00 PM — 651-284-5114

Building Facilities Manager Tim Rekow 651-284-7819

Building Engineer Stacey Folske 651-284-3284

## Evacuation Options:

Persons with disabilities have four basics, possibly five, evacuation options:

- **Horizontal evacuation:** Using building exits to the outside ground level or going into unaffected wings of multi-building complexes;
- **Stairway evacuation:** Using steps to reach ground level exits from building;
- **Shelter in place:** Unless danger is imminent, remain in a room with an exterior window, a telephone, and a solid or fire-resistant door. If the individual requiring special evacuation assistance remains in place, they should dial 911 immediately and report their location to emergency services, who will in turn relay that information to on-site responders. The shelter in place approach may be more appropriate for sprinkler protected buildings where an area of refuge is not nearby or available. It may be more appropriate for an individual who is alone when the alarm sounds;
- **Area of rescue assistance:** Identified areas that can be used as a means of egress for persons with disabilities. These areas, located on floors above or below the building's exits, can be used by persons with disabilities until rescue can be facilitated by emergency responders; and/or
- **For agencies equipped with an evacuation chair:** Evacuation chairs or a light-weight solution to descending stairways can be used and generally require single user operation. If an agency is equipped with an evacuation chair, best practice indicates that all employees are trained and have practiced evacuating using an evacuation chair.

## Evacuation Procedures for Individuals with Mobility, Hearing, or Visual Disabilities:

Persons with disabilities should follow the following procedures:

- **Mobility disabilities (individuals who use wheelchairs or other personal mobility devices ("PMDs")):** Individuals using wheelchairs should be accompanied to an area of rescue assistance by an employee or shelter in place when the alarm sounds. The safety and security staff will respond to each of the areas of rescue assistance every time a building evacuation is initiated to identify the individuals in these areas and notify to emergency responders how many individuals need assistance to safely evacuate.
- **Mobility disabilities (individuals who do not use wheelchairs):** Individuals with mobility disabilities, who are able to walk independently, may be able to negotiate stairs in an emergency with minor assistance. If danger is imminent, the individual should wait until the heavy traffic has cleared before attempting the stairs. If there is no immediate danger (detectable smoke, fire, or unusual odor), the individual with a disability may choose to wait at the area of rescue assistance until emergency responders arrive to assist them.
- **Hearing disabilities:** The agency's buildings are equipped with fire alarm horns/strobes that sound the alarm and flash strobe lights. The strobe lights are for individuals with who are deaf

and/or hard of hearing. Individuals with hearing disabilities may not notice or hear emergency alarms and will need to be alerted of emergency situations.

- **Visual disabilities:** The agency's buildings are equipped with fire alarm horn/strobes that sound the alarm and flash strobe lights. The horn will alert individuals who are blind or have visual disabilities of the need to evacuate. Most individuals with visual disabilities will be familiar with their immediate surroundings and frequently traveled routes. Since the emergency evacuation route is likely different from the common traveled route, individuals with visual disabilities may need assistance in evacuating. The assistant should offer assistance, and if accepted, guide the individual with a visual disability through the evacuation route.

### **Severe Weather Evacuation Options:**

Individuals in need of assistance during an evacuation have three evacuation options based on their location in their building:

- **Horizontal evacuation:** If located on the ground or basement floor, severe weather shelter areas are located throughout each floor;
- **Elevator evacuation:** If there are no safe areas above the ground floor, the elevator may be used to evacuate to the ground or basement levels; and/or
- **Shelter in Place:** Seeking shelter in a designated severe weather shelter and remaining there until the all clear is used.

# Methods of Auditing, Evaluating, and Reporting Program Success

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Minnesota Administrative Rules 3905.0400, subpart 1, item I.

## Pre-Employment Review Procedure/Monitoring the Hiring Process

The Human Resources Director will advise hiring managers and supervisors of protected class disparities for each new position.

The Human Resources Director will evaluate its selection process to determine if its requirements unnecessarily screen out a disproportionate number of females, persons with disabilities, and racial or ethnic minorities. The agency will use the Monitoring the Hiring Process form for every job category where an underutilization exists to track the number of females, persons with disabilities, and racial or ethnic minorities in each stage of the selection process. Directors, managers, and supervisors will work closely with human resources in reviewing the requirements for the position, posting the position, and interviewing and selection to ensure that equal opportunity and affirmative action are carried out. Directors, managers, and supervisors must document their hiring decisions, when appropriate, and the HR Director or her designee will review for bias.

An agency that does not meet its hiring goals for competitive appointments, and noncompetitive appointments under MS 43A.08, subd. 1(9), (11) and (16), and 43A.15, subd. 3, 10, 12, and 13, must justify its non-affirmative action hires. The affirmative action statute was amended in 2019 so agencies can no longer take missed opportunities. The agency will report the number of affirmative and non-affirmative hires to MMB on a quarterly basis.

All interview participants are required to undergo and certify to completing training related to preventing unconscious bias in the interview/hiring process.

Prior to the commencement of the interview process, the hiring manager shall submit a list of uniform job-related interview questions, and the related scoring system, to the Human Resources Director. The Human Resources Director or her designee shall review and approve all interview questions and scoring systems prior to the release of candidate resumes to ensure nondiscrimination and equal opportunity.

When candidates are invited to participate in the selection process, employees scheduling the selection process will describe the process to the candidate (e.g., interview process, testing process). All candidates are provided information regarding the procedure to request reasonable accommodations, if necessary, to allow candidates with disabilities equal opportunity to participate in the selection process. For example, describe if interview questions are offered ahead of time or what technology may be used during a test. This allows for an individual with a disability to determine if they need a reasonable accommodation in advance.

All employees involved in the selection process are trained and accountable for the agency's commitment to equal opportunity and the affirmative action plan and its implementation.

## Pre-Review Procedure for Layoff Decisions

The Human Resources Director and/or her designee are responsible for reviewing all pending layoffs to determine their effect on the agency's affirmative action goals and timetables.

If it is determined that there is a disparate impact on protected groups, the agency will document the reasons why the layoff is occurring, such as positions targeted for layoff, applicable personnel policies or collective bargaining agreement provisions, or other relevant reasons. The agency will determine if other alternatives are available to minimize the disparate impact on protected groups.

## Other Methods of Program Evaluation

The agency submits the following compliance reports to MMB as part of the efforts to evaluate the agency's affirmative action plan:

- Quarterly Monitoring the Hiring Progress Reports
- Biannual Affirmative Action Plan
- Annual Americans with Disabilities Act Report
- Annual Internal Complaint Report
- Disposition of Internal Complaint (submitted to MMB within 30 days of final disposition)

The agency also evaluates the Affirmative Action Plan in the following:

- Monitors progress toward stated goals by job category
- Analyzes employment activity (hires, promotions, and terminations) by job category to determine if there is disparate impact
- Analyzes compensation program to determine if there are patterns of discrimination
- Reviews the accessibility of online systems and websites, and ensures that reasonable accommodations can be easily requested
- Discusses progress with agency leadership on a periodic basis and makes recommendations for improvement

## Audits, Sanctions, and Incentives

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Minnesota Statutes 2023, section 43A.191, subdivision 3, (f) and (g).

An agency not in compliance with affirmative action requirements of this section must identify methods and programs to improve performance, to reallocate resources internally in order to increase support for affirmative action programs, and to submit program and resource reallocation proposals to the commissioner for approval. An agency must submit these proposals within 120 days of being notified by the commissioner that it is out of compliance with affirmative action requirements. The

commissioner shall monitor quarterly the affirmative action programs of an agency found to be out of compliance.

The commissioner shall establish a program to recognize an agency that has made significant and measurable progress in implementing an affirmative action plan.

# Policies and Procedures for Harassment and Discrimination Complaints

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Minnesota Administrative Rules, section 3905.0400, subpart 1, item F. Minnesota Administrative Rules, section 3905.0500.

## A. Statewide Harassment and Discrimination Prohibited Policy, HR/LR Policy # 1436 (issued 6/12/2019)

### OVERVIEW

#### Objective

To create a work environment free from harassment and discrimination based on protected class.

#### Policy Statement

Any form of harassment or discrimination based on protected class is strictly prohibited. Individuals who believe they have been subject to harassment/discrimination based on protected class or retaliation as described in this policy, are encouraged to file a report with an appropriate authority, as set forth in Section II of this policy.

Any form of retaliation directed against an individual who opposes or reports protected class harassment/discrimination, or who participates in any investigation concerning protected class harassment/discrimination, is strictly prohibited and will not be tolerated.

Violations of this policy by State employees will be subject to discipline, up to and including discharge. Violations of this policy by third parties will be subject to appropriate action.

*Sexual harassment is specifically addressed by HR/LR Policy #1329 Sexual Harassment Prohibited.*

#### Scope

This policy applies to all employees of, and third parties who have business interactions with, executive branch agencies and the classified employees in the Office of the Legislative Auditor, Minnesota State Retirement System, Public Employee Retirement Association, and Teachers' Retirement Association.

#### Definitions and Terms

*Complainant:* An individual who reports protected class harassment, discrimination, or retaliation.

*Third party:* Individuals who are not State employees, but who have business interactions with State employees, including, but not limited to:

- Applicants for State employment
- Vendors
- Contractors
- Volunteers
- Customers

- Business partners
- Unpaid interns
- Other individuals with whom State employees interact in the course of employees' work for the State, such as advocates, lobbyists, and representatives of individuals or entities with business with any branch of Minnesota state government

*Protected class harassment or harassment based on protected class:* Unwelcome conduct or communication that is based on actual or perceived membership in a protected class, including stereotypes of protected classes, that has a negative effect or is likely to have a negative effect on the complainant and/or on the workplace or public service environment.

*Protected class:* Protected classes under this policy are as follows:

- Race
- Color
- Creed
- Religion
- National origin
- Sex\* (includes pregnancy and pregnancy-related conditions)
- Marital status
- Familial status
- Receipt of public assistance
- Membership or activity in a local human rights commission
- Disability
- Age
- Sexual orientation
- Gender identity
- Gender expression
- For employees, genetic information

\*See HR/LR Policy #1329 Sexual Harassment Prohibited for specific information on harassment based on unwelcome conduct or communication of a sexual nature.

*Age:* The prohibition against harassment and discrimination based on age prohibits such conduct based on a person's age if the person is over the age of 18.

*Marital status:* Whether a person is single, married, remarried, divorced, separated, or a surviving spouse, and includes protection against harassment and discrimination on the basis of the identity, situation, actions, or beliefs of a spouse or former spouse.

*Familial status:* The condition of one or more minors living with their parent(s) or legal guardian, or the designee of the parent(s) or guardian with the written permission of the parent(s) or guardian. This also protects those who are pregnant or those who are in the process of securing legal custody of a minor from being harassed or discriminated against on that basis.

*Disability:* A physical, sensory, or mental impairment which materially limits one or more major life activities; a record of such an impairment; or being regarded as having such an impairment.

*Genetic information:* Includes information about an individual's or their family members' genetic tests, family medical history, an individual's request for, or receipt of, genetic services, or the participation in clinical research that includes genetic services by the individual or their family member, and the genetic information of a fetus carried by an individual or a pregnant family member, and the genetic information of any embryo legally held by the individual or their family member using an assisted reproductive technology.

*Public service environment:* A location where public service is being provided.

*Membership or activity in a local human rights commission:* Participation in an agency of a city, county, or group of counties that has the purpose of dealing with discrimination on the basis of race, color, creed, religion, national origin, sex, age, disability, marital status, status with regard to public assistance, sexual orientation, or familial status, as defined by Minn. Stat. § 363A.03, subd. 23.

## **Exclusions**

N/A

## **Statutory References**

M.S. Ch. 43A

M.S. Ch. 363A

## **GENERAL STANDARDS AND EXPECTATIONS**

### **Prohibition of Protected Class Harassment and Discrimination**

Harassment of or discrimination against any employee or third party based on protected class in the workplace or public service environment, or which affects the workplace or public service environment, is strictly prohibited. Harassment of or discrimination against an individual because of their relationship or association with members of a protected class is also strictly prohibited. Protected class harassment and discrimination may take different forms including verbal, nonverbal, or physical conduct or communication. Conduct based on protected class may violate this policy even if it is not intended to be harassing. Protected class harassment and discrimination under this policy includes, but is not limited to, the following behavior when it is based on actual or perceived membership in a protected class, including stereotypes of protected classes:

- Offensive jokes, slurs, derogatory remarks, epithets, name-calling, ridicule or mockery, insults or put-downs
- Display or use of offensive objects, drawings, pictures, or gestures
- Physical assaults or threats
- Inappropriate touching of body, clothing, or personal property
- Following, stalking, intimidation
- Malicious interference with work performance
- Implicit or explicit preferential treatment or promises of preferential treatment for submitting to the conduct or communication
- Implicit or explicit negative treatment or threats of negative treatment for refusing to submit to the conduct or communication

- Discriminatory conduct based on an individual’s actual or perceived protected class that segregates, separates, limits or restricts the individual from employment opportunities, including, but not limited to, hiring, promotion, compensation, disciplinary action, assignment of job duties, benefits or privileges of employment

## **I. Employee and Third-Party Responsibilities and Complaint Procedure**

Harassment or discrimination based on protected class will not be tolerated. All employees and third parties are expected to comply with this policy.

Employees and third parties are strongly encouraged to report all incidents of protected class harassment or discrimination, whether the individual is the recipient of the behavior, an observer, or is otherwise aware of the behavior. Individuals are encouraged to report incidents as soon as possible after the incident occurs. Individuals may report to any of the following:

1. Any of the agency’s managers or supervisors
2. The agency’s affirmative action officer
3. The agency’s human resources office
4. Agency management, up to and including the agency head

If the report concerns an agency head, the complainant may contact Minnesota Management and Budget, Enterprise Human Resources, Office of Equal Opportunity, Diversity, and Inclusion.

To ensure the prompt and thorough investigation of a report, the complainant may be asked to provide information in writing, which may include, but is not limited to:

1. The name, department, and position of the person(s) allegedly causing the harassment/discrimination
2. A description of the incident(s), including the date(s), location(s), and the identity of any witnesses
3. The name(s) of other individuals who may have been subject to similar harassment/discrimination
4. What, if any, steps have been taken to stop the harassment/discrimination
5. Any other information the complainant believes to be relevant

Individuals are encouraged to use the agency’s internal complaint procedure, but may also choose to file a complaint externally with the Equal Employment Opportunity Commission (EEOC), the Minnesota Department of Human Rights (MDHR), or other legal channels.

## **II. Manager/Supervisory Responsibility**

Managers and supervisors must:

1. Model appropriate behavior
2. Treat all reports of protected class harassment/discrimination seriously
3. Appropriately respond to a report or problem when they receive a report of protected class harassment/discrimination, or when they are otherwise aware a problem exists

4. Immediately report all allegations or incidents of protected class harassment/discrimination to human resources or the agency Affirmative Action Officer
5. Comply with their agency's complaint and investigation procedures and/or the agency's Affirmative Action Plan

Managers and supervisors who knowingly participate in, allow, or tolerate harassment, discrimination, or retaliation are in violation of this policy and are subject to discipline, up to and including discharge.

### **III. Human Resources Responsibilities**

Agency human resources must:

1. Model appropriate behavior
2. Distribute the Harassment and Discrimination Prohibited Policy to all employees, through a method whereby receipt can be verified
3. Treat all reports of protected class harassment/discrimination seriously
4. Comply with the agency's complaint and investigation procedures and/or the agency's Affirmative Action Plan

### **IV. Affirmative Action Officer or Designees Responsibilities**

Agency Affirmative Action Officer/designee must:

1. Model appropriate behavior
2. Treat all reports of protected class harassment/discrimination seriously
3. Comply with the agency's complaint and investigation procedures and/or the agency's Affirmative Action Plan
4. Keep the agency apprised of changes and developments in the law and policy

### **Investigation and Discipline**

State agencies will take seriously all reports of protected class harassment, discrimination and retaliation, and will take prompt and appropriate action. When conducting an investigation, managers and supervisors, human resources, and Affirmative Action Officers must follow their agency's investigation procedures.

State agencies will take prompt and appropriate corrective action when there is a violation of this policy.

Employees who are found to have engaged in conduct in violation of this policy will be subject to disciplinary action, up to and including discharge.

Third parties who are found to have engaged in conduct in violation of this policy will be subject to appropriate action. Appropriate action for policy violations by third parties will depend on the facts and circumstances, including the relationship between the third party and the agency. Agencies may contact MMB's Office of Equal Opportunity, Diversity, and Inclusion for assistance in determining appropriate action for third parties. MMB may refer agencies to the appropriate resources, which may include, for example, the Department of Administration with respect to policy violations by vendors or contractors.

Employees who knowingly file a false report of protected class harassment/discrimination or retaliation will be subject to disciplinary action, up to and including discharge.

## **Non-Retaliation**

Retaliation against any person who opposes protected class harassment or discrimination, who reports protected class harassment or discrimination, or who participates in an investigation of such reports, is strictly prohibited. Retaliation also includes conduct or communication designed to prevent a person from opposing or reporting protected class harassment or discrimination or participating in an investigation. Retaliation will not be tolerated. Any employee who is found to have engaged in retaliation in violation of this policy will be subject to discipline, up to and including discharge. Third parties who are found to have engaged in retaliation in violation of this policy will be subject to appropriate action.

## **RESPONSIBILITIES**

### **Agency Responsibility**

Agencies are responsible for the following:

1. Adopting this policy as the agency HR policy.
2. Disseminating this policy to agency employees through a method whereby receipt can be verified.
3. Posting this policy in a manner that can be accessed by all employees and third parties.
4. Including this policy in their Affirmative Action Plan.
5. Implementing this policy, which includes:
  - a. Implementing an educational program
  - b. Developing and implementing a procedure for reporting complaints
  - c. Communicating the complaint procedure to employees
  - d. Developing and implementing a procedure under which reports will be addressed promptly.
6. Enforcing this policy.
7. Reporting annually dispositions of reports of protected class harassment or discrimination using the Affirmative Action Report.

### **MMB Responsibility**

Ensuring that state agencies carry out their responsibilities under this policy, developing training, and updating this policy as necessary.

## **FORMS AND SUPPLEMENTS**

Documents are available on [the MMB Equal Opportunity, Diversity, and Inclusion website](#), including [Affirmative Action resources](#) for state agencies.

[Harassment Complaint Form](#)

**Acknowledgement** – The below form may be used to verify receipt by agency employees

I acknowledge that I have received and read the policy, HR/LR Policy #1436, Harassment and Discrimination Prohibited, including the policy’s complaint procedure.

I understand that harassment and discrimination based on protected class, and retaliation, are strictly prohibited. I understand that if I engage in conduct in violation of the policy toward any State employee, or any “third party” as defined by the policy, I will be subject to disciplinary action, up to and including discharge.

I understand that if I believe that I have been subjected to harassing, discriminatory or retaliatory conduct as defined by the policy by any State employee, or by any “third party” as defined by the policy, I am encouraged to report that behavior. I understand that I can make a report to any of my agency’s managers or supervisors, the agency’s affirmative action officer, the agency’s human resources office, or agency management, up to and including the agency head. I understand that if my report concerns an agency head, I may contact Minnesota Management and Budget.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Employee Name: \_\_\_\_\_

## REFERENCES

- For issues related to sexual harassment, please refer to HR/LR Policy #1329: Sexual Harassment Prohibited. For issues not related to sexual harassment, or harassment or discrimination based on protected class, please see HR/LR Policy #1432 Respectful Workplace.
- MMB Equal Opportunity, Diversity, and Inclusion Office.
- Consult your agency’s Affirmative Action Plan, or in the absence of an Agency Affirmative Action Plan, review [Affirmative Action resources](#) for state agencies.

## CONTACTS

MMB Enterprise Employee Relations

[Office of Equal Opportunity, Diversity, and Inclusion](#)

Any appropriate authority, as set forth in Section II of this policy.

## **B. Statewide Sexual Harassment Prohibited Policy Statewide HR/LR Policy #1329: Sexual Harassment Prohibited (revised 6/12/2019)**

### **OVERVIEW**

#### **Objective**

To create a work environment free from sexual harassment of any kind.

#### **Policy Statement**

Sexual harassment in any form is strictly prohibited. Individuals who believe they have been subject to sexual harassment as described in this policy are encouraged to file a report with an appropriate authority, as set forth in Section II of this policy.

Any form of retaliation directed against an individual who opposes or reports sexual harassment, or who participates in any investigation concerning sexual harassment, is strictly prohibited and will not be tolerated.

Violations of this policy by State employees will be subject to discipline, up to and including discharge. Violations of this policy by third parties will be subject to appropriate action.

#### **Scope**

This policy applies to all employees of, and third parties who have business interactions with, executive branch agencies and the classified employees in the Office of the Legislative Auditor, Minnesota State Retirement System, Public Employee Retirement Association, and Teachers' Retirement Association.

#### **Definitions and Key Terms**

##### **Complainant**

An individual who complains about sexual harassment or retaliation.

##### **Public service environment**

A location that is not the workplace where public service is being provided.

##### **Sexual harassment**

Unwelcome sexual advances, unwelcome requests for sexual favors, or other unwelcome verbal, written, or physical conduct or communication of a sexual nature.

##### **Third party**

Individuals who are not State employees but who have business interactions with State employees, including, but not limited to:

- Applicants for State employment
- Vendors
- Contractors

- Volunteers
- Customers
- Business Partners
- Unpaid Interns
- Other individuals with whom State employees interact in the course of employees' work for the State, such as advocates, lobbyists, and representatives of individuals or entities with business with any branch of Minnesota state government

## Exclusions

N/A

## Statutory References

42 U.S.C. § 2000e, et al.

M.S. Ch. 363A

M.S. Ch. 43A

## General Standards and Expectations

### I. Prohibition of Sexual Harassment

Sexual harassment of any employee or third party in the workplace or public service environment, or which affects the workplace or public service environment, is strictly prohibited.

Sexual harassment under this policy is any conduct or communication of a sexual nature which is unwelcome. The victim, as well as the harasser, can be of any gender. The victim does not have to be of the opposite sex as the harasser. Sexual harassment includes, but is not limited to:

1. Unwelcome sexual innuendoes, suggestive comments, jokes of a sexual nature, sexual propositions, degrading sexual remarks, threats;
2. Unwelcome sexually suggestive objects or pictures, graphic commentaries, suggestive or insulting sounds, leering, whistling, obscene gestures;
3. Unwelcome physical contact, such as rape, sexual assault, molestation, or attempts to commit these assaults; unwelcome touching, pinching, or brushing of or by the body;
4. Preferential treatment or promises of preferential treatment for submitting to sexual conduct, including soliciting or attempting to solicit an individual to submit to sexual activity for compensation or reward;
5. Negative treatment or threats of negative treatment for refusing to submit to sexual conduct;
6. Subjecting, or threatening to subject, an individual to unwelcome sexual attention or conduct.

### II. Employee and Third Party Responsibilities and Complaint Procedure

Sexual harassment will not be tolerated. All employees and third parties are expected to comply with this policy.

Employees and third parties are encouraged to report all incidents of sexual harassment. Individuals are encouraged to report incidents of sexual harassment as soon as possible after the incident occurs. Individuals may make a complaint of sexual harassment to any of the following:

1. Any agency's managers or supervisors
2. The agency's affirmative action officer
3. An agency's human resource office
4. Agency management, up to and including the agency head

If the report concerns an agency head, the complainant may contact Minnesota Management and Budget's Office of Equal Opportunity, Diversity, and Inclusion.

To ensure the prompt and thorough investigation of a report of sexual harassment, the complainant may be asked to provide information in writing, which may include, but is not limited to:

1. The name, department, and position of the person(s) allegedly causing the harassment
2. A description of the incident(s), including the date(s), location(s), and identity of any witnesses
3. The name(s) of other individuals who may have been subject to similar harassment
4. What, if any, steps have been taken to stop the harassment
5. Any other information the complainant believes to be relevant

**Individuals are encouraged to use the agency's internal complaint procedure but may also choose to file a complaint or charge externally with the Equal Employment Opportunity Commission (EEOC) and/or the Minnesota Department of Human Rights (MDHR), or other legal channels.**

### III. Manager/Supervisor Responsibility

Managers and Supervisors must:

1. Model appropriate behavior
2. Treat all reports of sexual harassment seriously
3. Appropriately respond to a report or problem when they receive a report of sexual harassment, or when they are otherwise aware a problem exists
4. Immediately report all allegations or incidents of sexual harassment to human resources or the agency Affirmative Action Officer
5. Comply with their agency's complaint and investigation procedures and/or the agency's Affirmative Action Plan

Managers and supervisors who knowingly participate in, allow, or tolerate sexual harassment or retaliation are in violation of this policy and are subject to discipline, up to and including discharge.

### IV. Human Resources Responsibilities

Agency human resources must:

1. Model appropriate behavior
2. Distribute the sexual harassment policy to all employees, through a method whereby receipt can be verified
3. Treat all complaints of sexual harassment seriously
4. Comply with the agency's complaint and investigation procedures and/or their Affirmative Action Plan

#### V. Affirmative Action Officer or Designee Responsibilities

Agency Affirmative Action Officer/designee must:

- Model appropriate behavior
- Treat all complaints of sexual harassment seriously
- Comply with the agency's complaint and investigation procedures
- Keep the agency apprised of changes and developments in the law and policy

#### VI. Investigation and Discipline

State agencies will take seriously all reports of sexual harassment and retaliation, and will take prompt and appropriate action. When conducting an investigation, managers and supervisors, human resources, and Affirmative Action Officers must follow their agency's investigation procedures.

State agencies will take prompt and appropriate corrective action when there is a violation of this policy.

Employees who are found to have engaged in conduct in violation of this policy will be subject to disciplinary action, up to and including discharge.

Third parties who are found to have engaged in conduct in violation of this policy will be subject to appropriate action. Appropriate action for policy violations by third parties will depend on the facts and circumstances, including the relationship between the third party and the agency. Agencies may contact MMB's Office of Equal Opportunity, Diversity, and Inclusion for assistance in determining appropriate action for third parties. MMB may refer agencies to the appropriate resources, which may include, for example, the Department of Administration with respect to policy violations by vendors or contractors.

Employees who knowingly file a false report of sexual harassment or retaliation will be subject to disciplinary action, up to and including discharge.

#### VII. Non-Retaliation

Retaliation against any person who opposes sexual harassment, who reports sexual harassment, or who participates in an investigation of such reports, is strictly prohibited. Retaliation also includes conduct or communication designed to prevent a person from opposing or reporting sexual harassment or participating in an investigation. Retaliation will not be tolerated. Any employee who is found to have engaged in retaliation in violation of this policy will be subject to discipline, up to and

including discharge. Third parties who are found to have engaged in retaliation in violation of this policy will be subject to appropriate action.

## **RESPONSIBILITIES**

Agencies are responsible for:

- Adopting this policy.
- Disseminating this policy to agency employees through a method whereby receipt can be verified.
- Posting this policy in a manner that can be accessed by all employees and third parties.
- Including this policy in their Affirmative Action Plan.
- Implementing this policy, which includes:
  - Implementing an educational program
  - Developing and implementing a procedure for reporting complaints
  - Communicating the complaint procedure to employees
  - Developing and implementing a procedure under which reports will be addressed promptly
- Enforcing this policy.
- Reporting annually dispositions of reports of sexual harassment using the Affirmative Action Report.

MMB is responsible for:

- Ensuring that state agencies carry out their responsibilities under this policy, developing training, and updating this policy as necessary.

## **FORMS AND SUPPLEMENTS**

For a sample investigation procedure, please review the documents available on the [MMB Equal Opportunity, Diversity, and Inclusion website](#), including:

- Agency AAP Planning Guide
- For agencies with more than 25 employees
- For agencies with 25 or fewer employees

[Harassment Complaint Form](#)

Acknowledgment Form (below) – This form may be used to verify receipt by agency employees.

### **Acknowledgement**

I acknowledge that I have received and read the policy, HR/LR Policy #1329, Sexual Harassment Prohibited, including the policy's complaint procedure.

understand that sexual harassment and retaliation are strictly prohibited. I understand that if I engage in conduct in violation of the policy toward any State employee, or any “third party” as defined by the policy, I will be subject to disciplinary action, up to and including discharge.

I understand that if I believe that I have been subjected to sexually harassing or retaliatory conduct as defined by the policy by any State employee, or by any “third party” as defined by the policy, I am encouraged to report that behavior. I understand that I can make a report to any of my agency’s managers or supervisors, the agency’s affirmative action officer, the agency’s human resources office, or agency management, up to and including the agency head. I understand that if my report concerns an agency head, I may contact Minnesota Management and Budget.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Employee Name: \_\_\_\_\_

### **C. Complaint Procedure for Processing Complaints Under the Harassment and Discrimination Prohibited Policy or the Sexual Harassment Prohibited Policy:**

The agency has established the following complaint procedure to be used by all individuals alleging harassment, discrimination, or retaliation in violation of the Harassment and Discrimination Prohibited Policy or the Sexual Harassment Prohibited Policy. Coercion, retaliation, or intimidation against anyone filing a complaint or serving as a witness under this procedure is prohibited.

#### **Who May File:**

Any individual who believes that they have been subject to harassment, discrimination, or retaliation in violation of the Harassment and Discrimination Prohibited Policy or the Sexual Harassment Prohibited Policy is encouraged to use this internal complaint procedure.

If the individual chooses, a complaint can be filed externally with the Minnesota Department of Human Rights (MDHR), the U.S. Equal Employment Opportunity Commission (EEOC), or through other legal channels. The MDHR, EEOC and other legal channels have time limits for filing complaints; individuals may contact the MDHR, EEOC, or a private attorney for more information.

Retaliation against any person who has filed a complaint either internally through this complaint procedure or through an outside enforcement agency or other legal channels is prohibited.

Individuals who knowingly file a false complaint will be subject to disciplinary or corrective action.

The following are the procedures for filing a complaint:

1. The individual may, but is not required to, complete the “Harassment and Discrimination Prohibited/Sexual Harassment Prohibited Policies Complaint Form” provided by the Human Resources office. Individuals are encouraged to file a complaint within a reasonable period of

time after the individual becomes aware that a situation may involve conduct in violation of the Harassment and Discrimination Prohibited Policy or the Sexual Harassment Prohibited Policy. The Human Resources Director or designee will, if requested, provide assistance in filling out the form.

2. The Human Resources Director or designee determines if the complainant is alleging conduct in violation of the Harassment and Discrimination Prohibited Policy or the Sexual Harassment Prohibited Policy; or if the complaint instead is of a general personnel concern or a general concern of respect in the workplace.
  - If it is determined that the complaint is not related to conduct that would violate the Harassment and Discrimination Prohibited Policy or the Sexual Harassment Prohibited Policy, but rather involves general personnel concerns or general concerns of respect in the workplace, the Human Resources Director or designee will inform the complainant, in writing, within ten (10) business days.
  - If it is determined that the complaint is related to conduct that would violate the Harassment and Discrimination Prohibited Policy or the Sexual Harassment Prohibited Policy, the Human Resources Director or designee will determine whether corrective action may be taken without an investigation. If it is determined that an investigation is necessary, the Human Resources Director or designee shall investigate the complaint.
3. The Human Resources Director or designee shall create a written investigation report of every investigation conducted. If the investigation shows sufficient evidence to substantiate the complaint, appropriate corrective action will be taken.
4. Within (60) days after the complaint is filed, the Human Resources Director or designee shall provide a written answer to the complainant, unless reasonable cause for delay exists. The complainant will be notified if the written answer is not expected to be issued within the sixty (60) day period. The written answer to the complainant must comply with the data privacy restrictions of the Minnesota Government Data Practices Act.
5. Disposition of the complaint will be filed with the Commissioner of Minnesota Management and Budget within thirty (30) days after the final determination.
6. The status of the complaint may be shared with the complainant(s) and respondent(s). All data related to the complaint are subject to the provisions of the Minnesota Government Data Practices Act.
7. The Human Resources Director or designee shall maintain records of all complaints, investigation reports, and any other data or information the Human Resources Director or designee deems pertinent for seven (7) years after the complaint is closed.

8. In extenuating circumstances, the employee or applicant may contact the State Affirmative Action Officer in the Office of Equal Opportunity at Minnesota Management and Budget for information regarding the filing of a complaint (for example, if the complaint is against the agency head or the agency Human Resources Director).

## D. Teachers Retirement Association Harassment and Discrimination Prohibited/Sexual Harassment Prohibited Policies Complaint Form Template

The Harassment and Discrimination Prohibited/Sexual Harassment Prohibited Policies Complaint Form shown below is available through contacting Human Resources.

**[AGENCY]**

**Harassment and Discrimination Prohibited/  
Sexual Harassment Prohibited Policies  
Complaint Form**

Agency Name \_\_\_\_\_  
 Street Address \_\_\_\_\_  
 City, State Zip Code \_\_\_\_\_  
 Telephone Number \_\_\_\_\_

**Complainant (You)**

Complainant's Name \_\_\_\_\_ Job Title \_\_\_\_\_  
 Agency \_\_\_\_\_ Telephone \_\_\_\_\_  
 Work Address \_\_\_\_\_ Division \_\_\_\_\_  
 City, State Zip Code \_\_\_\_\_ Manager \_\_\_\_\_

**Respondent (Person Against whom you are filing the complaint)**

Name \_\_\_\_\_ Respondent's Job Title \_\_\_\_\_  
 Agency \_\_\_\_\_ Respondent's Telephone \_\_\_\_\_  
 Work Address \_\_\_\_\_ Division \_\_\_\_\_  
 City, State Zip Code \_\_\_\_\_ Manager \_\_\_\_\_

**The Complaint**

**Basis of Complaint**

Place an "X" in the box for all that apply:

<input type="checkbox"/> Race	<input type="checkbox"/> Marital Status	<input type="checkbox"/> Gender Expression
<input type="checkbox"/> Sex	<input type="checkbox"/> Gender Identity	<input type="checkbox"/> Religion
<input type="checkbox"/> Familial Status	<input type="checkbox"/> National Origin	<input type="checkbox"/> Genetic Information
<input type="checkbox"/> Age	<input type="checkbox"/> Creed	<input type="checkbox"/> Retaliation
<input type="checkbox"/> Color	<input type="checkbox"/> Sexual Orientation	<input type="checkbox"/> Membership or Activity in a Local Human Rights Commission
<input type="checkbox"/> Sexual Harassment	<input type="checkbox"/> Reliance on Public Assistance	
<input type="checkbox"/> Disability		

Describe, in as much detail as possible, the conduct that you believe violates the Harassment and Discrimination Prohibited Policy or the Sexual Harassment Prohibited Policy. List dates, locations, names and titles of people involved. Explain why you believe the conduct was based on the item(s) checked in the "Basis of Complaint" section above. Use additional paper if needed and attach to this form. Attach any documents you believe may be relevant.

Date most recent act of discrimination/harassment in violation of policy took place: \_\_\_\_\_

If you filed this complaint with another agency, give the name of that agency: \_\_\_\_\_

Information on Witnesses Who You Believe Can Support Your Complaint

Witness Name	Witness Work Address	Witness Work Telephone

Additional witnesses may be listed in "Additional Information" or on a separate sheet attached to this form.

This complaint is being filed based on my honest belief that I have been subjected to conduct in violation of the Harassment and Discrimination Prohibited Policy or the Sexual Harassment Prohibited Policy. I hereby certify that the information I have provided in this complaint is true, correct, and complete to the best of my knowledge.

Complainant Signature \_\_\_\_\_ Date signed \_\_\_\_\_

Complaint Received by:  
(Affirmative Action Officer Signature) \_\_\_\_\_ Date signed \_\_\_\_\_

**NON-RETALIATION:** Retaliation against any person who reports conduct under the Harassment and Discrimination Prohibited Policy or the Sexual Harassment Prohibited Policy is strictly prohibited and will not be tolerated. If you believe that you have been subjected to retaliation, you are encouraged to report such behavior.

This material is available in alternative formats for individuals with disabilities by contacting \_\_\_\_\_

Additional Information  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Innovative Programs

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Minnesota Statute 2023, section 43A.191, subdivision 3, (e).

An agency is encouraged to develop other innovative ways to promote awareness, acceptance, and appreciation for diversity and affirmative action. These innovations will be considered when evaluating an agency's compliance with this section. TRA, for example:

- Provides training for all staff on topics related to diversity and inclusion, such as TRA's upcoming live Civility in the Workplace training.
- Provides training for leadership on topics related to diversity and inclusion, such as the TRA-sourced preventing unconscious bias in interviewing and hiring training video.
- Promotes statewide employee resource groups on TRA's Human Resources office newly developed internal SharePoint page for staff *Health, Wellness, & Community Resources*.
- Offers the ability to include employee pronouns in our standardized email signatures.

# Appendices

## Appendix A: Progress Report

Females (Promo = promotion)

Job Category	Prior AAP Total Employee #	Prior AAP Total Females #	Prior AAP Total Females %	Prior AAP Availability Females %	Total Hires & Promo #	Total Hired #	Male Hired #	Females Hired #	Un-known Hired #	Females Hired %	Total Promo #	Male Promo #	Females Promo #	Un-known Promo #	Females Promo %	Actual Females Hiring (%)	Females Had Goals in Prior AAP?	Females Goal Met?
Officials and Managers	<10	<10	**.**%*	28.03%	<10	<10	<10	<10	<10	**.**%*	<10	<10	<10	<10	**.**%*	**.**%*	-	-
Professionals	74	42	56.76%	53.38%	35	21	<10	14	<10	66.67%	14	<10	<10	<10	**.**%*	65.71%	-	-
Technicians	<10	<10	**.**%*	65.92%	<10	<10	<10	<10	<10	**.**%*	<10	<10	<10	<10	**.**%*	**.**%*	-	-
Administrative Support	<10	<10	**.**%*	65.92%	<10	<10	<10	<10	<10	**.**%*	<10	<10	<10	<10	**.**%*	**.**%*	-	-
<b>Total</b>	86	52	60.47%		38	23	<10	16	<10	69.57%	15	<10	10	<10	66.67%			

Racial or Ethnic Minorities (Promo = promotion; RE = Racial or Ethnic Minorities)

Job Category	Prior AAP Total Employee #	Prior AAP Total RE #	Prior AAP Total RE %	Prior AAP Availability RE %	Total Hires & Promo #	Total Hired #	Non-RE Hired #	RE Hired #	Un-known Hired #	RE Hired %	Total Promo #	Non-RE Promo #	RE Promo #	Un-known Promo #	RE Promo %	Actual RE Hiring (%)	RE Had Goals in Prior AAP?	RE Goal Met?
Officials and Managers	<10	<10	**.**%*	16.06%	<10	<10	<10	<10	<10	**.**%*	<10	<10	<10	<10	**.**%*	**.**%*	-	-

Professionals	74	15	20.27%	15.85%	35	21	17	<10	<10	**.**%*	14	10	<10	<10	**.**%*	**.**%*	-	-
Technicians	<10	<10	**.**%*	26.48%	<10	<10	<10	<10	<10	**.**%*	<10	<10	<10	<10	**.**%*	**.**%*	-	-
Administrative Support	<10	<10	**.**%*	26.48%	<10	<10	<10	<10	<10	**.**%*	<10	<10	<10	<10	**.**%*	**.**%*	-	-
<b>Total</b>	86	17	19.77%		38	23	19	<10	<10	**.**%*	15	11	<10	<10	**.**%*			

**Persons with Disabilities (Promo = promotion; PWD = Persons with Disabilities)**

Job Category	Prior AAP Total Employee #	Prior AAP Total PWD #	Prior AAP Total PWD %	Prior AAP Availability PWD %	Total Hires & Promo #	Total Hired #	PWD Hired #	Non-PWD Hired #	Un-known Hired #	PWD Hired %	Total Promo #	Non-PWD Promo #	PWD Promo #	Un-known Promo #	PWD Promo %	Actual PWD Hiring (%)	PWD Had Goals in Prior AAP?	PWD Goal Met?
Officials and Managers	<10	<10	**.**%*	6.22%	<10	<10	<10	<10	<10	**.**%*	<10	<10	<10	<10	**.**%*	**.**%*	-	-
Professionals	74	<10	**.**%*	7.26%	35	21	14	<10	<10	**.**%*	14	10	<10	<10	**.**%*	**.**%*	-	-
Technicians	<10	<10	**.**%*	6.30%	<10	<10	<10	<10	<10	**.**%*	<10	<10	<10	<10	**.**%*	**.**%*	-	-
Administrative Support	<10	<10	**.**%*	6.31%	<10	<10	<10	<10	<10	**.**%*	<10	<10	<10	<10	**.**%*	**.**%*	-	-
<b>Total</b>	86	<10	**.**%*		38	23	14	<10	<10	**.**%*	15	11	<10	<10	**.**%*			

## Appendix B: Separation Analysis

**Total Separations** (Sep = Separation; RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Separation Type	Total % by Sep Type	Sep Type <sup>1</sup> Females % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total Females Sep	Sep Type <sup>1</sup> RE % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total RE Sep	Sep Type <sup>1</sup> PWD % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total PWD Sep
Dismissal or Non-Certification	**.**%*	**.**%*	**.**%*	0.00%	0.00%	**.**%*	**.**%*
Resignation	**.**%*	**.**%*	**.**%*	**.**%*	**.**%*	**.**%*	**.**%*
Enhanced Separation	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Retirement	**.**%*	**.**%*	**.**%*	**.**%*	**.**%*	**.**%*	**.**%*
Death	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Lay-off	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Termination without Rights	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Total Separations</b>	<b>100.00%</b>	<b>62.50%</b>	<b>100.00%</b>	<b>**.**%*</b>	<b>100.00%</b>	<b>**.**%*</b>	<b>100.00%</b>

**Officials and Managers** (Sep = Separation; RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Separation Type	Total % by Sep Type	Sep Type <sup>1</sup> Females % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total Females Sep	Sep Type <sup>1</sup> RE % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total RE Sep	Sep Type <sup>1</sup> PWD % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total PWD Sep
Dismissal or Non-Certification	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Resignation	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Enhanced Separation	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Retirement	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Death	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Lay-off	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Termination without Rights	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Total Separations</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>

**Professionals** (Sep = Separation; RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Separation Type	Total % by Sep Type	Sep Type <sup>1</sup> Females % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total Females Sep	Sep Type <sup>1</sup> RE % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total RE Sep	Sep Type <sup>1</sup> PWD % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total PWD Sep
Dismissal or Non-Certification	*.***%	**.*%*	**.*%*	0.00%	0.00%	**.*%*	**.*%*
Resignation	*.***%	**.*%*	**.*%*	**.*%*	**.*%*	**.*%*	**.*%*
Enhanced Separation	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Retirement	*.***%	**.*%*	**.*%*	**.*%*	**.*%*	**.*%*	**.*%*
Death	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Lay-off	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Termination without Rights	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Total Separations</b>	<b>100.00%</b>	<b>62.50%</b>	<b>100.00%</b>	<b>**.*%*</b>	<b>100.00%</b>	<b>**.*%*</b>	<b>100.00%</b>

**Technicians** (Sep = Separation; RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Separation Type	Total % by Sep Type	Sep Type <sup>1</sup> Females % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total Females Sep	Sep Type <sup>1</sup> RE % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total RE Sep	Sep Type <sup>1</sup> PWD % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total PWD Sep
Dismissal or Non-Certification	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Resignation	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Enhanced Separation	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Retirement	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Death	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Lay-off	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Termination without Rights	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Total Separations</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>

**Administrative Support** (Sep = Separation; RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Separation Type	Total % by Sep Type	Sep Type <sup>1</sup> Females % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total Females Sep	Sep Type <sup>1</sup> RE % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total RE Sep	Sep Type <sup>1</sup> PWD % within Sep Type	Sep Type <sup>2</sup> Sep Type % within Total PWD Sep
Dismissal or Non-Certification	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Resignation	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Enhanced Separation	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Retirement	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Death	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Lay-off	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Termination without Rights	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Total Separations</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>

## Appendix C: Job Category Analysis

### Officials and Managers

Job Code	Job Title
002695	Agency Chief Financial Officer
003639	State Prog Admin Manager
003719	State Prog Admin Manager Prin
003681	Financial Services Director
008069	Deputy Director TRA
003903	Retirement Services Manager
008155	Exec Dir Teachers Ret Assoc

### Professionals

Job Code	Job Title
000498	Human Resources Specialist 1
000633	Accounting Officer Senior
000647	Information Officer 2
000979	Accounting Officer Inter
003171	Agency Policy Specialist
003586	Information Technology Spec 4
003587	Information Technology Spec 5
003604	State Prog Admin
003605	State Prog Admin Intermediate
003606	State Prog Admin Sr
003608	State Prog Admin Coordinator
003712	State Prog Admin Supv Prin
000003	Accounting Director
000004	Accounting Officer
003726	Human Resources Supervisor 3
002277	Auditor Principal Supervisor
000102	Auditor

<b>Job Code</b>	<b>Job Title</b>
003585	Information Technology Spec 3
001000	Information Syst Manager
003584	Information Technology Spec 2
001089	Systems Supervisor
003583	Information Technology Spec 1
003427	Retirement Services Prog Coord
002272	Retirement Services Spec Sr
000613	Retirement Services Spec
000907	Retirement Services Director
001425	Retirement Services Supervisor
000660	Retirement Services Spec Inter
008755	Proj Consultant Sr

**Technicians** (RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

<b>Job Code</b>	<b>Job Title</b>
003709	State Prog Admin Tech Spec

**Administrative Support**

<b>Job Code</b>	<b>Job Title</b>
000294	Office Services Supervisor 3
000632	Account Clerk Senior
003628	Office & Admin Specialist Int
003629	Office & Admin Specialist Sr
003635	Customer Svcs Specialist

## Appendix D: Feeder Jobs

### Officials and Managers (RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Job Code	EEO Category	Job Title	Weighted Females %	Weighted RE %	Weighted PWD %
002695	Officials and Administrators	Agency Chief Financial Officer	4.17%	0.00%	0.00%
003639	Officials and Administrators	State Prog Admin Manager	4.17%	0.00%	0.00%
003681	Officials and Administrators	Financial Services Director	4.17%	0.00%	0.00%
008069	Officials and Administrators	Financial Services Director	0.00%	0.00%	0.00%
003903	Professionals	Deputy Director TRA	0.00%	0.00%	0.00%
008155	Professionals	Accounting Officer Senior	1.35%	0.00%	1.35%
003587	Professionals	Agency Policy Specialist	12.50%	12.50%	0.00%
003608	Professionals	Information Technology Spec 5	0.00%	0.00%	0.00%
000003	Professionals	State Prog Admin Coordinator	4.17%	0.00%	0.00%
002277	Professionals	Accounting Director	4.17%	0.00%	4.17%
001000	Professionals	Auditor Principal Supervisor	0.00%	0.00%	0.00%
001089	Professionals	Information Syst Manager	0.00%	0.00%	4.17%
000907	Professionals	Systems Supervisor	4.17%	4.17%	8.33%
Total			41.67%	16.67%	20.83%

### Professionals (RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Job Code	EEO Category	Job Title	Weighted Females %	Weighted RE %	Weighted PWD %
000498	Professionals	Human Resources Specialist 1	0.00%	1.35%	1.35%
000633	Professionals	Accounting Officer Senior	0.00%	0.00%	0.00%
000647	Professionals	Information Officer 2	0.00%	0.00%	0.00%
000979	Professionals	Accounting Officer Intermediate	1.35%	0.00%	0.00%
003171	Professionals	Agency Policy Specialist	1.35%	0.00%	1.35%

<b>Job Code</b>	<b>EEO Category</b>	<b>Job Title</b>	<b>Weighted Females %</b>	<b>Weighted RE %</b>	<b>Weighted PWD %</b>
003586	Professionals	Information Technology Spec 4	4.05%	2.70%	1.35%
003587	Professionals	Information Technology Spec 5	4.05%	4.05%	0.00%
003604	Professionals	State Prog Admin	1.35%	0.00%	0.00%
003605	Professionals	State Prog Admin Intermediate	1.35%	0.00%	0.00%
003606	Professionals	State Prog Admin Sr	2.70%	0.00%	0.00%
003608	Professionals	State Prog Admin Coordinator	0.00%	0.00%	0.00%
003712	Professionals	State Prog Admin Supv Prin	1.35%	0.00%	0.00%
000003	Professionals	Accounting Director	1.35%	0.00%	0.00%
000004	Professionals	Accounting Officer	1.35%	0.00%	1.35%
003726	Professionals	Human Resources Supervisor 3	1.35%	1.35%	0.00%
002277	Professionals	Auditor Principal Supervisor	1.35%	0.00%	1.35%
000102	Professionals	Auditor	1.35%	0.00%	0.00%
003585	Professionals	Information Technology Spec 3	6.76%	4.05%	0.00%
001000	Professionals	Information Syst Manager	0.00%	0.00%	0.00%
003584	Professionals	Information Technology Spec 2	1.35%	1.35%	0.00%
001089	Professionals	Systems Supervisor	0.00%	0.00%	1.35%
003583	Professionals	Information Technology Spec 1	0.00%	0.00%	0.00%
003427	Professionals	Retirement Services Prog Coord	4.05%	1.35%	0.00%
002272	Professionals	Retirement Services Spec Sr	5.41%	1.35%	2.70%
000613	Professionals	Retirement Services Spec	9.46%	1.35%	1.35%
000907	Professionals	Retirement Services Director	1.35%	1.35%	2.70%
001425	Professionals	Retirement Services Supervisor	1.35%	0.00%	0.00%
000660	Professionals	Retirement Services Spec Inter	0.00%	0.00%	0.00%
008755	Professionals	Proj Consultant Sr	1.35%	0.00%	0.00%
<b>Total</b>			<b>55.41%</b>	<b>20.27%</b>	<b>14.86%</b>

**Technicians** (RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Job Code	EEO Category	Job Title	Weighted Females %	Weighted RE %	Weighted PWD %
003709	Technicians	State Prog Admin Tech Spec	12.50%	0.00%	0.00%
000632	Administrative Support	Account Clerk Senior	12.50%	12.50%	0.00%
003628	Administrative Support	Office & Admin Specialist Int	37.50%	12.50%	0.00%
003629	Administrative Support	Office & Admin Specialist Sr	12.50%	0.00%	0.00%
003635	Administrative Support	Customer Svcs Specialist	25.00%	0.00%	12.50%
Total			100.00%	25.00%	12.50%

**Administrative Support** (RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Job Code	EEO Category	Job Title	Weighted Females %	Weighted RE %	Weighted PWD %
000294	Administrative Support	Office Services Supervisor 3	12.50%	0.00%	12.50%
000632	Administrative Support	Account Clerk Senior	12.50%	12.50%	0.00%
003628	Administrative Support	Office & Admin Specialist Int	37.50%	12.50%	0.00%
003629	Administrative Support	Office & Admin Specialist Sr	12.50%	0.00%	0.00%
003635	Administrative Support	Customer Svcs Specialist	25.00%	0.00%	12.50%
Total			100.00%	25.00%	25.00%

## Appendix E: Determining Availability

Officials and Managers (RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Factor	Weight Ratio	Raw Statistics Females	Raw Statistics RE	Raw Statistics PWD	Weighted Statistics Females	Weighted Statistics RE	Weighted Statistics PWD	Source of Statistics	Reasons for External and Internal Weight Ratio
<b>1: External</b> - Percentage of females, persons with disabilities, and racial or ethnic minorities with requisite skills in the reasonable recruitment area.	84.27%	25.20%	16.60%	5.00%	21.24%	13.99%	4.21%	US	TRA has a small workforce, and thus only has a relatively small number of positions that would likely promote into or transfer within this category. There will be a much larger candidate pool of females, minorities, and individuals with disabilities from the recruitment area at large, by default. Due to ongoing labor market challenges realized during the pandemic, TRA has expanded the search for official and administrator positions to often include nationwide recruitment. SOC code 11-1011/11-1031.
<b>2: Internal</b> - Percentage of females, persons with disabilities, and racial or ethnic minorities among those promotable, transferable, and trainable with your agency.	15.73%	41.67%	16.67%	20.83%	6.55%	2.62%	3.28%	Employee workforce for the job classifications that constitute feeders to this job category.	Over the past 3 years, 2 out of 7 of these positions were filled. Both were internal candidates. The agency has been in process of restructuring departments and positions during this timeframe as well. As an agency with a small workforce, TRA has a relatively small number of higher-level advanced individual contributor/supervisory/management positions (approximately 24) that would like directly promote, transfer, or be appointed into this category. Based on these approximate positions, 15.73% reflects the percentage of TRA employees who are females, minorities, and/or individuals with disabilities who

**Appendix E: Determining Availability (continued)**

**Officials and Managers** (RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

Factor	Weight Ratio	Raw Statistics Females	Raw Statistics RE	Raw Statistics PWD	Weighted Statistics Females	Weighted Statistics RE	Weighted Statistics PWD	Source of Statistics	Reasons for External and Internal Weight Ratio
									could potentially transfer or promote to one of the higher-level/administrator roles from their current position (at the time this data was collected).
The value of weight must equal to 100.00% →	100.00%			<b>Final Avail %</b>	<b>27.79%</b>	<b>16.61%</b>	<b>7.49%</b>		

**Professionals** (RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

<b>Factor</b>	<b>Weight Ratio</b>	<b>Raw Statistics Females</b>	<b>Raw Statistics RE</b>	<b>Raw Statistics PWD</b>	<b>Weighted Statistics Females</b>	<b>Weighted Statistics RE</b>	<b>Weighted Statistics PWD</b>	<b>Source of Statistics</b>	<b>Reasons for External and Internal Weight Ratio</b>
<b>1: External</b> - Percentage of females, persons with disabilities, and racial or ethnic minorities with requisite skills in the reasonable recruitment area.	44.94%	53.20%	13.30%	2.10%	23.91%	5.98%	0.94%	Select one Reasonable Recruitment Area	TRA has a small workforce, and thus has limitations in the number of individuals who could potentially promote into or within this category. The remainder of hires/promotions would be filled with external candidates. Due to ongoing labor market challenges realized during the pandemic, TRA has expanded the search for professional positions to often include statewide recruitment (if not national). SOC code 13-1199.
<b>2: Internal</b> - Percentage of females, persons with disabilities, and racial or ethnic minorities among those promotable, transferable, and trainable with your agency.	55.06%	55.41%	20.27%	14.86%	30.51%	11.16%	8.18%	Employee workforce for the job classifications that constitute feeders to this job category.	The bulk of our positions are in this category, and historically, 50% of our hires are promoted into or within this category, at least once. Based on a projected continuation of this trend for the current 74 positions in this category, 55.06% reflects the percentage of TRA employees who are female, minority, and/or individuals with disabilities who could potentially transfer or promote to a higher-level professional role from their current position (at the time this data was collected).
The value of weight must equal to 100.00% →	100.00%			<b>Final Avail %</b>	<b>54.41%</b>	<b>17.14%</b>	<b>9.13%</b>		

**Technicians** (RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

<b>Factor</b>	<b>Weight Ratio</b>	<b>Raw Statistics Females</b>	<b>Raw Statistics RE</b>	<b>Raw Statistics PWD</b>	<b>Weighted Statistics Females</b>	<b>Weighted Statistics RE</b>	<b>Weighted Statistics PWD</b>	<b>Source of Statistics</b>	<b>Reasons for External and Internal Weight Ratio</b>
<b>1: External</b> - Percentage females, persons with disabilities, and racial or ethnic minorities with requisite skills in the reasonable recruitment area.	92.13%	62.90%	26.30%	5.60%	57.95%	24.23%	0.00%	Select one Reasonable Recruitment Area	TRA has less than 10 technician job(s). These position(s) have not been filled externally in the recent past; assumption has been made that the job(s) could potentially be a promotional opportunity for current employees, based on last hire. SOC code 43-4051.
<b>2: Internal</b> - Percentage of females, persons with disabilities, and racial or ethnic minorities among those promotable, transferable, and trainable with your agency.	7.87%	100.00%	25.00%	12.50%	7.87%	1.97%	0.98%	Employee workforce for the job classifications that constitute feeders to this job category.	TRA has less than 10 technician job(s). These position(s) have not been filled in the recent past, but were filled with an internal transfer(s) when last filled. At the time this data was collected, up to 7 internal employees were potentially eligible for promotion or transfer into these role(s)--all of these individuals are females, minorities, and/or individuals with disabilities.
The value of weight must equal to 100.00% →	100.00%			<b>Final Avail %</b>	<b>65.82%</b>	<b>26.20%</b>	<b>0.98%</b>		

**Administrative Support** (RE = Racial or Ethnic Minorities; PWD = Persons with Disabilities)

<b>Factor</b>	<b>Weight Ratio</b>	<b>Raw Statistics Females</b>	<b>Raw Statistics RE</b>	<b>Raw Statistics PWD</b>	<b>Weighted Statistics Females</b>	<b>Weighted Statistics RE</b>	<b>Weighted Statistics PWD</b>	<b>Source of Statistics</b>	<b>Reasons for External and Internal Weight Ratio</b>
<b>1: External</b> - Percentage of females, persons with disabilities, and racial or ethnic minorities with requisite skills in the reasonable recruitment area.	92.13%	62.90%	26.30%	5.60%	57.95%	24.23%	5.16%	Metro-MSP	TRA has less than 10 administrative support job(s). Only 1 position has been filled externally in the last 3 years. Assumption has been made that the job(s) could be filled externally, based on last hire. SOC code 43-4051.
<b>2: Internal</b> - Percentage of females, persons with disabilities, and racial or ethnic minorities among those promotable, transferable, and trainable with your agency.	7.87%	100.00%	25.00%	25.00%	7.87%	1.97%	1.97%	Employee workforce for the job classifications that constitute feeders to this job category.	TRA has less than 10 administrative support job(s). At the time this data was collected, up to 7 internal employees were potentially eligible for promotion or transfer into these role(s)--all of these individuals are females, minorities, and/or individuals with disabilities. Based on most recent hire and historical data, however, an assumption has been made that some external hiring may continue for jobs in this category.
The value of weight must equal to 100.00% →	100.00%			<b>Final Avail %</b>	<b>65.82%</b>	<b>26.20%</b>	<b>7.13%</b>		

## Appendix F: Utilization-Goal Analysis

### Females

Job Categories	Total Number of Employee in Job Category	Total Number of Females Employee in the Job Category	% of Females Employee in the Job Category	Females Availability %	Females Establish Goals?	If Yes, Goals for FY 2024-2026
Officials and Managers	<10	<10	**.**%	27.79%		
Professionals	74	41	55.41%	54.41%	Monitor	
Technicians	<10	<10	**.**%	65.82%	Monitor	
Administrative Support	<10	<10	**.**%	65.82%		
Totals	89	54	60.67%			

### Racial or Ethnic Minorities (RE)

Job Categories	Total Number of Employee in Job Category	Total Number of RE Employee in the Job Category	% of RE Employee in the Job Category	RE Availability %	RE Establish Goals?	If Yes, Goals for FY 2024-2026
Officials and Managers	<10	<10	**.**%	16.61%	Monitor	
Professionals	74	15	20.27%	17.14%		
Technicians	<10	<10	**.**%	26.20%	Monitor	
Administrative Support	<10	<10	**.**%	26.20%	Monitor	
Totals	89	17	19.10%			

**Persons with Disabilities (PWD)**

Job Categories	Total Number of Employee in Job Category	Total Number of PWD Employee in the Job Category	% of PWD Employee in the Job Category	PWD Availability %	PWD Establish Goals?	If Yes, Goals for FY 2024-2026
Officials and Managers	<10	<10	**.**%*	7.49%	<b>Monitor</b>	
Professionals	74	11	14.86%	9.13%		
Technicians	<10	<10	**.**%*	0.98%	<b>Monitor</b>	
Administrative Support	<10	<10	**.**%*	7.13%		
Totals	89	13	14.61%			

## Definitions of Terms Used in This Affirmative Action Plan

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**Applicant:** "Applicant" means a person who has satisfied the minimum requirements for application established by the commissioner of management and budget ([M.S. 43A.02, subd. 4](#)).

**Availability:** an estimated percentage of qualified females, persons with disabilities, and racial or ethnic minorities in the relevant labor market who are available for positions in a given job category at a state agency. The final availability is determined by considering two factors: the statistics from the outside labor market and the internal state agency workforce for the Affirmative Action Plan year.

**Connect 700 (C700) Program:** an alternative selection process for individuals whose disabilities prevent them from demonstrating their skills in a standard competitive selection process. If selected, this program allows eligible individuals to demonstrate their skills in an on-the-job trial work experience of up to 700 hours. See [Minnesota Statutes, section 43A.15, subdivision 14](#).

**Feeder job:** staffed positions within the agency that can be promoted and/or transferred into other EEO job categories.

**Hiring goal:** a numerical objective designed to correct an identified deficiency in the utilization of protected group members. For example, the professional job category has identified underutilization, and the availability is 30%, the goal (or hiring goal) for females in the job category is for 30% of the new hires/rehires and promotions for that Affirmative Action Plan year would be females. Goals/hiring goals should never be implemented as quotas, nor should they be used as criteria in decision-making regarding qualifications.

**Job category:** a group of jobs that are linked by a common purpose and skill set (or sometimes certificates/educational degrees) and are grounded on the job categories identified by the U.S. Equal Employment Opportunity Commission (EEOC).

**Labor market area or Reasonable recruitment area:** a geographic area in which an agency is seeking a worker in a particular goal unit and where there is an available supply of workers employed or seeking jobs in that goal unit.

**Promotion:** the appointment of an employee to a position in a class assigned to a salary range which is two or more steps higher at the maximum than the employee's current job class or which requires an increase of two or more steps to pay the employee at the minimum of the new range.

**Protected groups:** Females, persons with disabilities, and members of the following Minorities: Black, Hispanic, Asian or Pacific Islander, and American Indian or Alaskan Native ([M.S. 43A.02, subd. 33](#)).

**Snapshot:** one particular point in time. A snapshot of a workforce is taken at one particular point in time as the basis for Affirmative Action Plan analyses because the workforce numbers are always fluctuating.

**Supported Work Program:** The state legislature established the program in 1987 to expand employment opportunities for people with significant disabilities. but has been expanded to include individuals who experience other significant disabilities, including, but not limited to, head injury, mental illness, and deaf blindness. Under the program, a supported worker must require ongoing support and may share a single position with up to two other supported work employees.

**Underutilization:** the representation of females, persons with disabilities, and racial or ethnic minorities in a specific job category is less than reasonably would be expected given from workforce participation in the labor market area.