
STATE OF MINNESOTA

DEPARTMENT OF REVENUE

Affirmative Action Plan

August 2014 – August 2016

600 N Robert Street

St. Paul, MN 55146

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I. EXECUTIVE SUMMARY

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Review revealed underutilization of the following protected group(s) in the following job categories:

Table 1. Underutilization Analysis of Protected Groups

PROTECTED GROUPS			
Job Categories	Women	Racial/Ethnic Minorities	Individuals with Disabilities
Officials/Administrators			
Professionals		X	X
Protected Services: Sworn			
Protected Services: Non-sworn			
Office/Clerical			X
Technicians			X
Skilled Craft			
Service Maintenance			

Once approved, information about how to obtain or view a copy of this plan will be provided to every employee of the agency. Our intention is that every employee is aware of the Department of Revenue's commitments to affirmative action and equal employment opportunity. The plan will also be posted on the agency's website and maintained in the Affirmative Action Office.

This Affirmative Action Plan meets the requirements as set forth by Minnesota Management and Budget, and contains affirmative action goals and timetables, as well as reasonable and sufficiently assertive hiring and retention methods for achieving these goals.

Affirmative Action Officer Signature: Kathy Turner Date: 5/21/15

HR Director/Designee Signature: Kathy Zieminski Date: 5/21/15

Commissioner/Agency Head Signature: [Signature] Date: 5/21/15

II. STATEMENT OF COMMITMENT

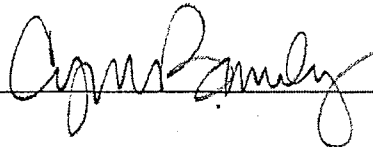
This statement reaffirms the Department of Revenue's commitment to Minnesota's statewide affirmative action efforts and providing equal employment opportunity to all employees and applicants in accordance with equal opportunity and affirmative action laws.

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 with regard to race, sex, color, creed, religion, age, national origin, sexual orientation, disability, marital status, status with regard to public assistance, familial status or membership or activity in a local human rights commission.
- 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 minorities, women, and individuals with disabilities 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 Signature: _____



Date: _____

5/21/15

III. INDIVIDUALS RESPONSIBLE FOR DIRECTING/IMPLEMENTING THE AFFIRMATIVE ACTION PLAN

A. Commissioner Cynthia Bauerly, Commissioner

Responsibilities:

The Commissioner is responsible for the establishment of an Affirmative Action Plan that complies with all federal and state laws and regulations.

Duties:

The duties of the Commissioner shall include, but are not limited to the following:

- 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 harassment;
- Ensure the Affirmative Action Plan is effectively communicated to all employees on an annual basis;
- Make decisions and changes in policy, procedures, or accommodations as needed to facilitate effective affirmative action and equal employment opportunity;
- Actively promote equal opportunity employment;
- Require all agency directors, managers, and supervisors include responsibility statements for supporting affirmative action, equal opportunity, diversity, and/or cultural responsiveness in their position descriptions and annual objectives.
- To serve, or designate a representative, as executive sponsor of the iLEAD Diversity Committee;
- To include accountability for the administration of the Agency's Affirmative Action Plan in his/her position description; and
- To issue a written statement to all employees affirming support of the State of Minnesota's Equal Opportunity Policy and the Department of Revenue Affirmative Action Program.

Accountability:

The Commissioner is accountable directly to Governor and indirectly to the Minnesota Management and Budget Commissioner on matters pertaining to equal opportunity and affirmative action.

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B. Affirmative Action Officer

Karly Turner, Affirmative Action Officer and ADA Coordinator

Responsibilities:

The Affirmative Action Officer or designee is responsible for implementation of the agency's affirmative action and equal opportunity program, and oversight of the agency's compliance with equal opportunity and affirmative action laws.

Duties:

The duties of the Affirmative Action Officer or designee shall include, but are not limited to the following:

- Prepare and oversee the Affirmative Action Plan, including development and setting of agency-wide goals;
- Monitor compliance and fulfill all affirmative action reporting requirements;
- Inform the agency's Commissioner or Deputy Commissioner of progress in affirmative action and equal opportunity and report potential concerns;
- Review the Affirmative Action Plan at least annually and provide updates as appropriate;
- Provide an agency-wide perspective on issues relating to affirmative action and equal opportunity and assist in the identification and development of effective solutions in problem areas related to affirmative action and equal opportunity;
- Identify opportunities for infusing affirmative action and equal opportunity into the agency's considerations, policies, and practices;
- Participate in and develop strategies to recruit individuals in protected groups for employment, promotion, and training opportunities;
- Maintain contacts with protected class resources for recruitment purposes, and hold membership in community organizations to keep abreast of new developments in the area of affirmative action;
- Determine the need for affirmative action and cultural diversity training and initiate the development of appropriate training programs in coordination with Employee Development Services;

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- Monitor employee exit interviews, investigate identified complaints of employment practices within the Department of Revenue and determine the impact on protected group members;
- Stay current on changes to equal opportunity and affirmative action laws and interpretation of the laws;
- Oversee the Department's pre-hire review process;
- Investigate alleged discrimination and harassment complaints and submit written summaries of these issues, findings, and conclusions to the Deputy Commissioner;
- Provide consultation, technical guidance, and/or training to directors, managers, supervisors, and staff regarding best practices in recruitment, selection, and retention, progress on hiring goals, reasonable accommodations, and other opportunities for improvement;
- Lead and serve as a non-rotating member of the iLEAD Diversity Committee; and
- Serve as the agency liaison with Minnesota Management and Budget's Office of Equal Opportunity and Diversity and enforcement agencies.

Accountability:

The Affirmative Action Officer is accountable directly to Deputy Commissioner and indirectly to the Commissioner on matters pertaining to affirmative action and equal opportunity.

C. Americans with Disabilities Act Coordinator

Karly Turner, Affirmative Action Officer and ADA Coordinator

Responsibilities:

The Americans with Disabilities Act Coordinator or designee is responsible for the oversight of the agency's compliance with the Americans with Disabilities Act Title I – Employment and Title II – Public Services, in accordance with the Americans with Disabilities Act - as amended, the Minnesota Human Rights Act, and Executive Order 96-09.

Duties:

The duties of the Americans with Disabilities Act Coordinator or designee shall include, but are not limited to the following:

- Provide guidance, coordination, and direction to agency management with regard to the Americans with Disabilities Act in the development and implementation of the agency's policy, procedures, practices, and programs to ensure they are accessible and nondiscriminatory;

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- Ensure that appropriate processes are in place to provide for the prompt and equitable resolution of complaints and inquiries from the Department of Revenue employees and the public regarding compliance with the ADA and other applicable federal and state laws regarding discrimination on the basis of disability.
- Maintain current information regarding state and federal laws and regulations and best practices concerning the rights of persons with disabilities and ways of providing reasonable accommodations to persons with disabilities while maintaining Department of Revenue performance standards.
- Provide consultation, technical guidance, and/or training to directors, managers, supervisors, and staff regarding best practices in recruitment, selection, and retention of individuals with disabilities, provisions of reasonable accommodations for employees and applicants, and other opportunities for improvement; and
- Track and facilitate requests for reasonable accommodations for employees and applicants, as well as members of the public accessing the agency's services, and report reasonable accommodations annually to Minnesota Management and Budget.

Accountability:

The Americans with Disabilities Act Coordinator reports directly to the Deputy Commissioner and indirectly to the Commissioner.

D. Human Resources Director

Kathy Zieminski, Director Human Resources

Responsibilities:

The Human Resources Director is responsible for ensuring equitable and uniform administration of all personnel policies including taking action to remove barriers to equal employment opportunity with the agency.

Duties:

The duties of the Human Resources Director include, but are not limited to the following:

- Provide leadership to human resources staff and others to ensure personnel decision-making processes adhere to equal opportunity and affirmative action principles;
- Ensure, to the extent possible, development and utilization of selection criteria that is objective, uniform, and job-related;
- Ensure, to the extent possible, that interview questions are centered around minimum and/or preferred qualifications as listed in the job posting;

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- Initiate and report on specific program objectives contained in the Affirmative Action Plan as needed;
- Ensure pre-hire review process is implemented and receives support from directors, managers, and supervisors;
- Include the Affirmative Action Officer in the decision-making process regarding personnel actions involving protected group members, including hiring, promotion, disciplinary actions, reallocation, transfer, termination, and department and division-wide classification studies;
- Include responsibility statements for supporting affirmative action, equal opportunity, diversity, and/or cultural responsiveness in position descriptions and annual objectives;
- Assist in recruitment and retention of individuals in protected groups, and notify directors, managers, and supervisors of existing disparities;
- Designate a human resources representative to serve as member of the iLEAD Diversity Committee; and
- Make available to the Affirmative Action Officer and Americans with Disabilities Act Coordinator all necessary records and data necessary to perform duties related to equal opportunity, affirmative action and ADA accommodation.

Accountability:

The Human Resources Director is directly accountable to Deputy Director.

E. Directors, Managers, and Supervisors

Responsibilities:

Directors, Managers, and Supervisors are responsible for implementation of equal opportunity and affirmative action within their respective areas of supervision and compliance with the agency's affirmative action programs and policies to ensure fair and equal treatment of all employees and applicants.

Duties:

The duties of directors, managers, and supervisors include, but are not limited to the following:

- Assist the Affirmative Action Officer in identifying and resolving problems and eliminating barriers which inhibit equal employment opportunity;
- Communicate the agency's affirmative action policy to all employees in their unit;

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- Carry out supervisory responsibilities in accordance with the equal employment opportunity and affirmative action policies embodied in this plan;
- Maintain a consistent standard within the workforce so that employees are evaluated, recognized, developed, and rewarded on a fair and equitable basis;
- Include responsibility statements for supporting affirmative action, equal opportunity, diversity, and/or cultural responsiveness in staff position descriptions and annual objectives;
- Follow the pre-hire processes when appointing a non-disparate applicant.
- Assist and make recommendations to the Affirmative Action Officer in recruitment activities;
- Discuss and document training needs and career planning goals with each employee during the scheduled performance evaluations;
- Provide a positive and inclusive work environment;
- Ensure that sufficient time is allowed for employees in their unit to participate in iLEAD Diversity Committee meetings and/or spotlight events; and
- Refer complaints of discrimination and harassment to the appropriate parties.

Accountability:

Directors, managers, and supervisors are accountable directly to their designated supervisor and indirectly to the agency's Commissioner.

F. All Employees

Responsibilities:

All employees are responsible for conducting themselves in accordance with the agency's equal opportunity and Affirmative Action Plan and policies.

Duties:

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

- Exhibit an attitude of respect, courtesy, and cooperation towards fellow employees and the public; and
- Refrain from any actions that would adversely affect the performance of a coworker with respect to their race, sex, color, creed, religion, age, national origin, disability, marital

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status, status with regard to public assistance, sexual orientation, gender identity, gender expression, or membership or activity in a local human rights commission.

Accountability:

Employees are accountable to their designated supervisor and indirectly to the agency's Commissioner.

G. iLEAD Committee

Responsibilities:

All members are responsible for furthering diversity and inclusion throughout all levels of the agency.

Duties:

The duties of iLEAD committee members shall include, but are not limited to the following:

- Advocate for diversity and integrate it into daily work activities and continuously model the values of diversity.
- Communicate diversity events, initiatives and other related information to employees.
- Advise Department leaders about various diversity issues and make recommendations as appropriate.
- Represent co-workers and Department leaders to the iLEAD Team and the iLEAD Team to our coworkers and leaders.
- Provide diversity awareness training and education through quarterly Spotlight sessions, a calendar of diversity activities and a bulletin board celebrating the diversity of the Department's employee population.
- Act as a diversity resource to employees and Department recruiters, and to other state agency diversity groups.

Accountability:

iLEAD committee members are accountable directly to the Affirmative Action Officer and indirectly to the agency's Commissioner.

IV. COMMUNICATION OF THE AFFIRMATIVE ACTION PLAN

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

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A. Internal Methods of Communication

- A memorandum detailing the location of the Affirmative Action Plan and the responsibility to read, understand, support, and implement equal opportunity and affirmative action will be sent from the agency's leadership or alternatively, the Affirmative Action Officer, to all staff on an annual basis.
- The agency's Affirmative Action Plan will be posted to R-Space and available in print copy to anyone who requests it. As requested, the agency will make the plan available in alternative formats.
- Notification of the location of the Affirmative Action Plan will be sent to the Department management team (supervisors and manager) and the Affirmative Action Officer will attend cluster meetings held by each Assistant Commissioner and present the new Plan.
- Nondiscrimination and equal opportunity statements and posters are prominently displayed and available in areas frequented and accessible to employees.
- Information regarding the plan will be included in new employee welcome packets provided by Human Resources on the first day of employment, presented in New Employee Orientation training within the first two months of employment and covered in required yearly training for all employees.

B. External Methods of Communication

- The agency's Affirmative Action Plan is available on the agency's external website at http://www.revenue.state.mn.us/taxpayer_rights/Documents/affirmative_action_plan.pdf and in print copy to anyone who requests it. As requested, the agency will make the plan available in alternative formats.
- The agency's website homepage, letterhead, publications, and all job postings, will include the statement "an equal opportunity employer."
- Recruitment materials and activities will contain information regarding the Department's commitment to diversity and inclusion.
- The Affirmative Action Officer will be identified in the Agency section of the State Telephone Directory.
- Nondiscrimination and equal opportunity statements and posters are prominently displayed and available in areas frequented by and accessible to members of the public. Examples of

posters displayed include: Equal Employment Opportunity is the law, Employee Rights under the Fair Labor Standards Act, and the Americans with Disabilities Act Notice to the Public.

V. POLICY PROHIBITING DISCRIMINATION AND HARASSEMENT

It is the policy of the of the Department of Revenue to prohibit harassment of its employees based on race, color, creed, religion, national origin, sex, marital status, familial status, status with regard to public assistance, membership or activity in a local human rights, disability, sexual orientation, or age. This prohibition with respect to harassment includes both overt acts of harassment and those acts that create a negative work environment.

Any employee subjected to such harassment should file a complaint internally with the agency's Affirmative Action Officer or designee. If the employee chooses, a complaint can be filed externally with the Minnesota Department of Human Rights, the Equal Employment Opportunity Commission, or through other legal channels. These agencies have time limits for filing complaints, so individuals should contact the agencies for more information. In extenuating circumstances, the employee should contact the State Affirmative Action Program Coordinator in the Office of Equal Opportunity and Diversity at Minnesota Management and Budget for information regarding the filing of a complaint. Any unintentional or deliberate violation of this policy by an employee will be cause for appropriate disciplinary action.

Each employee is responsible for the application of this policy. This includes initiating and supporting programs and practices designed to develop understanding, acceptance, commitment, and compliance within the framework of this policy. All employees must be informed that harassment is unacceptable behavior. The Affirmative Action Officer or designee will be expected to keep the Department of Revenue and its employees apprised of any changes in the law or its interpretation regarding this form of discrimination. The Affirmative Action Officer is also responsible for:

- Notifying all employees and applicants of this policy; and
- Informing all employees of the complaint procedure and ensuring that all complaints will be investigated promptly and carefully.

Definitions:

Discriminatory harassment is any behavior based on protected class status which is not welcome, which is personally offensive, which, therefore, may effect morale and interfere with the employee's ability to perform. For example, harassment based on national origin has been defined by the U.S. Equal Employment Opportunity Commission as "Ethnic slurs and other verbal or physical conduct relating to an individual's national origin."

Sexual harassment has also been specifically defined by the Minnesota Human Rights Act, which states in regard to employment, that:

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“Sexual harassment” includes unwelcome sexual advances, requests for sexual favors, sexually motivated physical contact or other verbal or physical conduct or communication of a sexual nature when:

- Submission to that conduct or communication is made a term or condition, either explicitly or implicitly, of obtaining employment;
- Submission to or rejection of that conduct or communication by an individual is used as a factor in decision affecting that individual's employment; or
- That conduct or communication has the purpose or effect of substantially interfering with an individual's employment, and in the case of employment, the employer knows or should know of the existence of the harassment and fails to take timely and appropriate action.

It is possible for discriminatory harassment to occur:

- Among peers or coworkers;
- Between managers and subordinates; or
- Between employees and members of the public.

Employees who experience discrimination or harassment should bring the matter to the attention of the Department of Revenue's Affirmative Action Officer. In fulfilling our obligation to maintain a positive and productive work environment, the Affirmative Action Officer and all employees are expected to address or report any suspected harassment or retaliation.

Varying degrees of discriminatory harassment violations can occur and require varying levels of progressive discipline. Individuals who instigate harassment are subject to serious disciplinary actions up to and including suspension, demotion, transfer, or termination. Additionally, inappropriate behaviors that do not rise to the level of discriminatory harassment, but are none the less disruptive, should be corrected early and firmly in the interests of maintaining a barrier-free work place. Individuals who participate in inappropriate behaviors at work are also subject to disciplinary actions.

Any employee or applicant who believes that they have experienced discrimination or harassment based on race, color, creed, religion, national origin, sex, marital status, status with regard to public assistance, membership or activity in a local human rights commission, disability, sexual orientation, familial status or age may file a complaint of discrimination.

Complaints of discrimination or harassment can be filed using the internal complaint procedure included in this Affirmative Action Plan.

VI. COMPLAINT PROCEDURE FOR PROCESSING COMPLAINTS FOR ALLEGED DISCRIMINATION/HARASSMENT

The Department of Revenue has established the following discrimination/harassment complaint procedure to be used by all employees and applicants. Coercion, reprisal, or intimidation against anyone filing a complaint or serving as a witness under this procedure is prohibited.

Responsibility of Employees:

All employees shall respond promptly to any and all requests by the Affirmative Action Officer or designee for information and for access to data and records for the purpose of enabling the Affirmative Action Officer or designee to carry out responsibilities under this complaint procedure.

Who May File:

Any employees or applicants who believes that they have been discriminated against or harassed by reason of race, color, creed, religion, national origin, sex, marital status, familial status, status with regard to public assistance, membership or activity in a local human rights commission, disability, sexual orientation, or age may file a complaint. Employees who are terminated are encouraged to file their internal complaint prior to their actual separation; however, complaints will be taken for a reasonable period of time subsequent to the actual separation date.

Complaint Procedure:

The internal complaint procedure provides a method for resolving complaints involving violations of this agency's policy prohibiting discrimination and harassment within the agency. Employees and applicants are encouraged to use this internal complaint process. Retaliation against a person who has filed a complaint either internally or through an outside enforcement agency or other legal channels is prohibited. The Affirmative Action Officer may contact the Office of Diversity and Equal Opportunity if more information is needed about filing a complaint.

Filing Procedures:

1. The employee or applicant completes the "Complaint of Discrimination/Harassment Form" provided by the Affirmative Action Officer or designee. Employees are encouraged to file a complaint within a reasonable period of time after the individual becomes aware that a situation may involve discrimination or harassment. The Affirmative Action Officer or designee will, if requested, provide assistance in filling out the form.
2. The Affirmative Action Officer or designee determines if the complaint falls under the purview of Equal Employment Opportunity law, i.e., the complainant is alleging discrimination or harassment on the basis of race, color, creed, religion, national origin, sex, marital status, status with regard to public assistance, membership or activity in a local human rights commission, disability, sexual orientation, or age; or if the complaint is of a general personnel concern. The Affirmative Action Officer or designee shall also discuss other options for resolution, such as workplace mediation.

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- If it is determined that the complaint is not related to discrimination but rather to general personnel concerns, the Affirmative Action Officer designee will inform the complainant, in writing, within fifteen (15) working days.
3. Once it is determined the complaint is related to discrimination, the Affirmative Action Officer or designee shall then investigate the complaint. At the conclusion of the investigation, the Affirmative Action Officer or designee shall notify the complainants and respondents that the investigation is completed. The Affirmative Action Officer or designee shall then review the findings of the investigation.
 - If there is sufficient evidence to substantiate the complaint, the Affirmative Action Officer will present the findings to the Deputy Commissioner and Human Resources Director (and Division Director as appropriate) to determine the appropriate action to be taken.
 - If insufficient evidence exists to support the complaint, a letter will be sent to the complainants, respondents and Division director dismissing the complaint.
 4. A written notice will be provided to the parties within sixty (90) days after the complaint is filed. Some investigations may not be completed within 90 days because of extenuating circumstances. The complainants will be notified should extenuating circumstances prevent completion of the investigation within sixty (90) days.
 5. Disposition of the complaint will be filed with the Commissioner of the Minnesota Management and Budget within thirty (30) days after the final determination.
 6. All documentation associated with a complaint shall be considered investigative data under the Minnesota Government Data Practices Act. The status of the complaint will be shared with the complainants and respondents. After an investigation is completed and all appeals are exhausted, all documentation is subject to the provisions of the Minnesota Government Data Practices Act.
 7. All data collected may at some point become evidence in civil or criminal legal proceedings pursuant to state or federal statutes. An investigation may include, but is not limited to, the following types of data:
 - Interviews or written interrogatories with all parties involved in the complaint, i.e., complainants, respondents, and their respective witnesses; officials having pertinent records or files, etc.; and
 - All records pertaining to the case i.e., written, recorded, filmed, or in any other form.

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8. The Affirmative Action Officer or designee shall maintain records of all complaints and any pertinent information or data for three (3) years after the case is closed.

VII. REASONABLE ACCOMMODATION POLICY

The Department of Revenue is committed to the fair and equal employment of individuals with disabilities. Reasonable accommodation is the key to this nondiscrimination policy. While many individuals with disabilities can work without accommodation, other qualified employees and applicants face barriers to employment without the accommodation process. It is the policy of the Department of Revenue to reasonably accommodate qualified individuals with disabilities unless the accommodation would impose an undue hardship.

In accordance with the Minnesota Human Rights Act and the Americans with Disabilities Act, as amended, accommodations will be provided to qualified individuals with disabilities when such accommodations are directly related to performing the essential functions of a job, competing for a job, or to enjoy equal benefits and privileges of employment. This policy applies to all applicants, employees, and employees seeking promotional opportunities.

Definitions:

Disability: For purposes of determining eligibility for a reasonable accommodation, an individual with a disability is one who has a physical or mental impairment that substantially limits one or more major life activities; or a record of such an impairment; or being regarded as having such an impairment.

Reasonable Accommodation: A reasonable accommodation is a modification or adjustment to a job, an employment practice, or the work environment that makes it possible for a qualified individual with a disability to enjoy an equal employment opportunity.

Examples of accommodations may include acquiring or modifying equipment or devices, modifying training materials, making facilities readily accessible, modifying work schedules, and reassignment to a vacant position.

Reasonable accommodation applies to three (3) aspects of employment:

- To assure equal opportunity in the employment process;
- To enable a qualified individual with a disability to perform the essential functions of a job; and
- To enable an employee with a disability to enjoy equal benefits and privileges of employment.

Undue hardship: An undue hardship is an action that is unduly costly, extensive, substantial, or disruptive, or that would fundamentally alter the nature or operation of this agency.

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Procedure for Current Employees and Employees Seeking Accommodation:

1. This agency will inform all employees that this accommodation policy can be made available in accessible formats.
2. The employee shall inform their supervisor or the ADA Coordinator of the need for an accommodation.
3. The ADA Coordinator may request documentation of the individual's functional limitations to support the request. Any medical documentation must be collected and maintained on separate forms and in separate, locked files. No one will be told or have access to medical information unless the disability might require emergency treatment.
4. When a qualified individual with a disability has requested an accommodation, the employer shall, in consultation with the individual:
 - Discuss the purpose and essential functions of the particular job involved. Completion of a step-by-step job analysis may be necessary;
 - Determine the precise job-related limitation;
 - Identify potential accommodations and assess the effectiveness each would have in allowing the individual to perform the essential functions of the job; and
 - Select and implement the accommodation that is the most appropriate for both the individual and the employer. While an individual's preference will be given consideration, the agency is free to choose among equally effective accommodations and may choose the one that is less expensive or easier to provide.
5. The ADA Coordinator will work with the employee to obtain technical assistance, as needed.
6. The ADA Coordinator or designee will provide a decision to the employee within a reasonable amount of time.
7. If an accommodation cannot overcome the existing barriers or if the accommodation would cause an undue hardship on the operation of the business, the employee and the ADA Coordinator shall work together to determine whether reassignment may be an appropriate accommodation.

Procedure for Job Applicants:

1. The job applicant shall inform the ADA Coordinator of the need for an accommodation. The ADA Coordinator or designee will discuss the needed accommodation and possible alternatives with the applicant.

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2. The ADA Coordinator or designee will make a decision regarding the request for accommodation and, if approved, take the necessary steps to see that the accommodation is provided.

Policy for Funding Accommodations:

Funding must be approved by the Department for accommodations that do not cause an undue hardship.

Procedure for Determining Undue Hardship:

In determining whether or not providing a reasonable accommodation would impose an undue hardship, the agency will consider at least the following factors:

- Overall size of the unit (i.e., number and type of facilities, size of budget);
- Type of the operation including the composition and structure of the work force;
- Nature and cost of the accommodation needed;
- Reasonable ability to finance the accommodation; and
- Documented good-faith efforts to explore less restrictive or less expensive alternatives including consultation with the individual with the disability or with knowledgeable individuals with disabilities or organizations.

Appeals:

Employees or applicants who are dissatisfied with the decisions pertaining to an accommodation request may file an appeal with the Commissioner or agency head, within a reasonable period of time, for a final decision.

If the individual believes the decision is based on discriminatory reasons, then they may file a complaint internally through the agency's complaint procedure as outlined in this plan.

Supported Work:

This agency will review vacant positions and assess the current workload and needs of the office to determine if job tasks might be performed by a supported employment worker(s). If appropriate, the agency will work with the ADA Coordinator and organizations that provide employment services to individuals with disabilities to recruit and hire individuals for supported employment if such a position is created.

VIII. EVACUATION PROCEDURES FOR INDIVIDUALS WITH DISABILITIES

A copy of the agency's weather and emergency evacuation plans can be found on the RSpace page under the heading "Emergencies" or at:

<http://exec/public/cio/bc/Employee%20Emergency%20Information/Emergency%20Plan.pdf>

1. Managers and Supervisors will meet individually with employees with known physical disabilities (mobility and/or sensory), including those with a temporary disability, to discuss emergency and evacuation procedures.
2. Managers and supervisors will address issues related to emergency procedures for individuals with physical disabilities by ensuring that employees have the opportunity to inform the agency of any special needs they may have. They will ensure the selection of Assistants and consult with persons with physical disabilities to determine appropriate emergency procedure.
3. Managers and Supervisors should assign two Assistants to each individual with physical disabilities to ensure that, in an emergency, the employee will be able to comply with the instructions given by the Stassen Building Emergency Director, Building Emergency Staff or Capitol Security Staff.
4. Managers and supervisors will instruct persons with physical disabilities and their Assistants to move to the main elevator lobby stairwell in the case of an emergency and wait for emergency personnel. They will also instruct persons with physical disabilities to move into the stairwell if they feel threatened at any time during an emergency.
5. In the event of an emergency, the floor warden will confirm the location of employees with physical disabilities and report their location to the Stassen Building Emergency Director, Emergency Staff or Capitol Security staff.
6. During evacuations, employees with disabilities should move to the main elevator lobby and wait for the emergency personnel (fire, police, and first responders). If threatened at any time move into the stairwell and wait for the emergency personnel. If safe, the assistant will find the employee and evacuate him/her to the evacuation area or main elevator lobby, and wait for the emergency personnel. If at any time the assistant or the employee feels threatened, they will move into the stairwell. One Assistant should stay with the employee. The second Assistant should evacuate and report the location of the employees with disabilities and Assistants to the Stassen Building Emergency Director located in the main lobby or to the Building Emergency Staff at the exit doors or ramp.
7. During relocations, employees with disabilities should move to the nearest relocation area. If safe, assistants will locate the employee requiring assistance and help them to the relocation area. Assistants should not try to return to their work area if danger is imminent; that is the reason for having two assistants.

Evacuation Options:

Individuals with disabilities have four basic 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 individuals with disabilities. These areas, located on floors above or below the building's exits, can be used by individuals with disabilities until rescue can be facilitated by emergency responders; and/or

IX. GOALS AND TIMETABLES

Through the utilization analysis, the Department of Revenue has determined which job categories are underutilized for women, minorities, and individuals with disabilities within the agency and has set the following hiring goals for the next two years (Reference Table 2).

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Table 2. Underutilization Analysis and Hiring Goals for 2014-2016

Job Categories	# of Current Employees	UNDERUTILIZATION – # OF INDIVIDUALS			HIRING GOALS FOR 2014-2016		
		Women	Racial/ Ethnic Minorities	Individuals With Disabilities	Women	Racial/ Ethnic Minorities	Individuals With Disabilities
Officials/Administrators	34						
Professionals	1186		1	14		1	3
Protected Services: Sworn							
Protected Services: Non-sworn							
Office/Clerical	197			2			1
Technicians	80			1			0
Skilled Craft							
Service Maintenance							

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Availability:

The agency determined the recruitment area to be both statewide and metropolitan for all job categories. The percentages of employees in the metropolitan area, greater Minnesota, and outside of Minnesota were calculated. The availability percentage was then prorated according to percentage of employees in each area. The percentage of employees outside of MN was negligible, so only data from the metropolitan area and greater Minnesota were used. In conducting its underutilization analysis, the agency used two-factor analysis. The agency determined it was best to use this type of analysis because both internal and external recruitment is used in filling positions.

Underutilization Analysis worksheets are attached in the appendix. Numbers less than 10 are indicated with "<10" in accordance with Minnesota Management and Budget's guidance on data privacy.

Women:

The Department met and exceeded its goals for the 2012-2014 plan years. The population of women employees with the Department of Revenue has either improved or remained the same in all job categories. Availability of women also increased in all job categories. The data is positive, suggesting that the rate at which the Department hired female employees increased in proportion to the increase in availability. It is difficult to determine the exact reason for the improvement, but several changes are likely to have contributed.

- Prior to 2012, the Taxpayer Advocate served a dual role and was not able to focus solely on affirmative action and ADA activities. During the 2012-2014 plan years, the Department hired a full-time Affirmative Action Officer and ADA Coordinator, dedicating more time to focus solely on equal opportunity employment practices.
- In 2012, the Human Resourced Department altered the job description of one of their employees to include recruitment activities, increasing recruitment activities significantly.

No goals were set as there is no underutilization.

Minorities:

The Department met and exceeded its goals for the 2012-2014 plan years. The population of minority employees with the Department of Revenue has improved in all job categories. Availability of minorities also increased in all job categories. The data is neutral, suggesting that the rate at which the Department retained minority employees kept pace with increase in availability. It is difficult to determine the exact reason for the improvement, but several changes are likely to have contributed.

- Prior to 2012, the Taxpayer Advocate served a dual role and was not able to focus solely on affirmative action and ADA activities. During the 2012-2014 plan years, the Department hired a full-time Affirmative Action Officer and ADA Coordinator, dedicating more time to focus solely on equal opportunity employment practices.
- In 2012, the Human Resourced Department altered the job description of one of their employees to include recruitment activities, increasing recruitment activities significantly.

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Underutilization of minority employees exists only in the Professionals category. The hiring goal in the Professionals category is equal to the number underutilized. The hiring goal was not decreased due to the feasibility of the goal. The hiring goal was not increased because the Department of Revenue plans to emphasize internal promotions for the foreseeable future.

Individuals with Disabilities:

At the agency, the population of individuals with disabilities has improved in all job categories, but goals were not met. Several factors contributed to the marginal improvement:

- The Department implemented additional ADA and accommodation training for its supervision and management staff in 2013.
- Prior to 2012, the Taxpayer Advocate served a dual role and was not able to focus solely on affirmative action and ADA activities. During the 2012-2014 plan years, the Department hired a full-time Affirmative Action Officer and ADA Coordinator, dedicating more time to focus solely on equal opportunity employment practices.
- In 2012, the Human Resources Department altered the job description of one of their employees to include recruitment activities, increasing recruitment activities significantly.

The new underutilization number is significantly lower than in previous years. The main reason for the decrease in underutilization can be attributed to the adoption of 7% as the external availability as determined by MMB. Previously, external availability was set at 10%.

The hiring goal in the Professionals job category is set at 25% of the number underutilized. In order to maintain a balanced budget, the Department of Revenue plans to emphasize internal promotion over external hiring for the foreseeable future. It is not feasible for the Department to increase the number of employees with disabilities in the Professionals job category when the internal availability of employees with disabilities is minimal.

No goal was set for the Technician category. The number of employees in the category is too small and it is anticipated that the number of employees in the Technician category will decrease due to attrition and will most likely not be filled.

A decrease in the number of positions within the Clerical category is expected. In order to maintain a balanced budget, attrition will be allowed to occur and vacant positions will not be filled unless critical in nature. A hiring goal of one (1) was selected due to the fact that the Clerical employee population is currently small and is anticipated to decline.

X. AFFIRMATIVE ACTION PROGRAM OBJECTIVES

In pursuing the agency's commitment to affirmative action, the agency will take the following actions during the 2014-2016 plan years:

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Objective #1: The Affirmative Action Officer (AAO) will make every effort to maintain current information of EEOC guidelines, new policies, procedures and trends within the field in order to effectively implement Affirmative Action at the Minnesota Department of Revenue.

Action Steps:

- Regularly visit the EEOC/DOJ/DOHR, etc. websites to research policy changes.
- Regularly attend ACCESS (Alliance for Cooperation and Collaboration in Employment and State Service, formerly Affirmative Action Coordinators group) meetings.
- Review training materials (i.e. discrimination, harassment, sexual harassment, affirmative action and the Americans with Disabilities Act) to ensure accuracy and compliance with current law.
- Develop a relationship with Minnesota Management and Budget to facilitate interactions and support with any questions or concerns pertaining to the above topics.
- Provide training and self-evaluation on discrimination, harassment, ADA, and recruitment/retention efforts to all Division Directors, Managers, and Supervisors.
- Identify development needs and appropriate training opportunities for all staff in coordination with management such as dealing with conflict and employment law issue identification.
- Partner with other state agencies to develop a network of resources for affirmative action issues.
- Consult with hiring supervisors regarding how to achieve affirmative action goals and reduce missed opportunities.
- Consult with Human Resources staff to insure that a Self-Declaration Form is sent to all candidates not required to complete a standard state application.

Evaluation:

This is an on-going objective, continued from the 2012-2014 plan. This objective is consistently met as it is part of the Affirmative Action Officer job description. The Affirmative Action officer is a member of several professional diversity associations and attends conferences related to equal opportunity employment several times per year in addition to self-directed continuing education.

Objective #2: Minnesota Department of Revenue will continue to hire affirmatively and include affirmative action consideration in the hiring process where a disparity exists.

Action Steps:

- The AAO will maintain and provide information pertaining to disparities upon request of the Senior Management Team.
- All hires in which a disparity exists, HRM/AAO will conduct a pre-hire review prior to the final hiring decision.

Evaluation:

This is an on-going objective, continued from the 2012-2014 plan. It is the policy of the Department of Revenue to conduct pre-hire reviews for each hire prior to offering the position to the desired candidate.

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Objective #3: The AAO will monitor Minnesota Department of Revenue's pre-employment review procedure in a consistent and fair manner, ensuring that hiring personnel do not have access to protected group information.

Action Steps:

- Meet with hiring personnel and monitor the hiring process for job groups in which there are disparities
- Review hiring responsibilities and procedures with hiring managers

Evaluation:

This is an on-going objective, continued from the 2012-2014 plan. Protected group information is kept separate from materials used to make hiring decisions. Monitor the hiring process forms are completed for jobs in which a disparity exists.

Objective #4: The AAO will educate all hiring personnel regarding their equal employment opportunity responsibilities.

Action Steps:

- Develop and/or update curriculum to train hiring personnel about AAO responsibilities related to DOR's Affirmative Action Plan and equal opportunity employment procedures.
- Develop and/or update educational materials outlining the hiring process for vacancies in which a disparity exists directly addressing the role of the hiring personnel.
- Develop and/or update educational materials specifically addressing the hiring manager's role in implementing the Affirmative Action Plan and specific supervisory responsibilities that contribute to the retention of protected group members.
- Inform all hiring personnel of external training pertaining to Affirmative Action/Equal Employment Opportunity, the Americans with Disabilities Act and discrimination/harassment.
- AAO will attend division management meetings and provide training related to AAO responsibilities and ADA accommodation guidelines.

Evaluation:

This is an on-going objective, continued from the 2012-2014 plan, and has been met consistently. Training materials are consistently updated and new hiring managers are trained within a reasonable amount of time from their start date.

Objective #5: To enhance the appreciation and recognition of diversity at the Minnesota Department of Revenue by offering a wide variety of programs and presentations which feature diversity related topics.

Action Steps:

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- Designate a budget for programs and presentations.
- AAO and iLEAD diversity team research possible speakers, performers, and trainers in diversity.
- Invite speakers, performers, and trainers to the Department of Revenue.

Evaluation:

This is an on-going objective, continued from the 2012-2014 plan, and has been met consistently. The iLEAD team hosts quarterly spotlight events focusing on diversity related topics, a quarterly book group, and multiple brown bag events each year. Cultural competency and related training for supervisors and managers is researched and implemented when needed.

Objective #6: Maximize employment opportunities for Protected Group members.

Action Steps:

- Advertise in publications serving protected group members when job openings become available

Evaluation:

This is an on-going objective, continued from the 2012-2014 plan, and has been met consistently. The Department drastically increased its attendance at job fairs targeting diverse communities. In an effort to balance its budget the Department of Revenue will focus on internal recruitment for the foreseeable future. However, when external hiring occurs, resources will target job fairs and job websites that attract a diverse pool of applicants.

Objective #7: Accessibility Matters Campaign: Ensuring that employees and stakeholders with disabilities can contribute to the workforce and access similar information and resources as other individuals.

Action Steps:

- Develop marketing material and resources
- Distribute marketing material and resources to staff and stakeholders.
- Partner with other State agencies to plan coordinated events to educate both employees and the stakeholders of accessibility requirements and options.
- Partner with MN.IT and communications to increase the accessibility of software and documents.
- Partner with employees with disabilities to increase the accessibility of software and documents.

Evaluation:

This is a new objective. The AAO will work with the Communications Division to develop and implement a plan and appropriate procedures.

XI. METHODS OF AUDITING, EVALUATING, AND REPORTING PROGRAM SUCCESS

A. Pre-Employment Review Procedure/Monitoring the Hiring Process

The Affirmative Action Officer and HRM staff will advise the managers and supervisors of protected class disparities when opportunities for new hires and promotional opportunities become available.

The Pre-Employment Review

1. The hiring supervisor completes and submits a personnel requisition and a position description for the vacancy to be filled to their Personnel Representative in Human Resources Management Division.
2. If a disparity exists, the Affirmative Action Officer and/or the Human Resource staff works closely with the hiring supervisor in an effort to eliminate the disparity according to the following procedures:
 - a. All position descriptions shall contain job related criteria (knowledge, skills, and abilities) that are required to perform the essential functions of the identified tasks.
 - b. Job related minimum requirements (and desired requirements) must be clearly defined and documented on the vacancy announcement.
 - c. HRM, with input from the hiring supervisor, determines if an external recruitment effort is required.
 - d. If an external recruitment effort is required, efforts will include resources that have contacts with protected class candidates.

Pre-interview

1. Prior to the commencement of the interview process, the hiring supervisor shall submit a list of uniform job related interview questions to the Affirmative Action Officer. The Affirmative Action Officer shall review and approve all interview questions to determine:
 - a. Will the answers to this question, if used in making the selection, have a disparate effect in screening out protected group people.
 - b. Is this information (is it job related) to judge an applicant's competence or qualification for the job in question
 - c. Is the question culturally neutral?
 - d. Are the questions within the legal parameters of the Equal Employment Opportunity guidelines.

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2. Hiring supervisors will ensure that each candidate is asked the same structured interview questions. Leeway is allowed for follow-up questions of clarity.
3. Candidate resumes will be referred to hiring supervisors by HR and will include those individuals who self-nominated to the vacancy posting, as well as those resulting from conducting a skill search of the resume database (using Resumix).
4. HR, in concert with the hiring supervisor, will review the resumes (self-nominees and skill search resumes) to determine which candidates meet the minimum qualifications as defined in the vacancy announcement. Candidates who meet the minimum qualifications will constitute the final eligible list of candidates to be considered in this pre-hire process.
5. If the number of candidates on the eligible list (as defined in 4 above) is large and needs to be more narrowly defined to come up with a "reasonable" number to interview, the hiring supervisor may further rank the candidates based upon job related qualification required and desired for the position as defined in the vacancy announcement.
6. To the extent possible, the disparate group percentage will be reflected in the final interview applicant pool. However, the primary consideration in determining the interview pool will be the job related qualifications required (and desired) of the position to be filled.

Post interview

1. The interview team will compare the qualifications of candidates based on available evidence and the requirements of the job. Only in the final selection process will the affirmative action goals and current disparities be considered.
2. If the hiring team wishes to select a non-disparate group candidate where there is a disparity, the hiring supervisor shall provide the Affirmative Action Officer with a written statement of explanation outlining the reasons, with sufficient specificity, why the preferred candidate is substantially more qualified than the disparate group candidates. The Affirmative Action Officer shall review the documentation. Until that review is complete no offer of employment can be made to any candidate. If it is concluded that the reasons for the non-selection are not satisfactory, and the Affirmative Action Officer is unable to resolve the matter with the supervisor, the AAO will arrange an appointment for the Supervisor to meet with the Commissioner to explain the reasons for the selection. The decision of the Commissioner is final. If a Manager or Supervisor fails to follow these parameters prior to making the job offer, he/she will be held accountable.
3. Those candidates who self-nominated to the vacancy, and skill search candidates who were invited to interview, are notified of the hiring status/decision.
4. Supervisors and managers are not to disclose information about the candidate's protected group status. The protected group status of an individual is identified as private data; in

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accordance with the Minnesota Government Data Practices Act which governs the collection and disclosure of all government data, including personnel data. Minn. Stat. §13.43, subd. 2.

5. HRM will keep documentation on the selection process for all appointments for at least one year. The AAO will keep data on every appointment where there is a disparity to explain the justification for the hiring decision.
6. Hiring supervisors will maintain documentation on the selection process including the identification of job related qualifications, the ranking of resumes to determine who met minimum qualifications, and who was invited to interview, as well as interview notes and documentation for at least one year.

B. Pre-Review Procedure for Layoff Decisions

The Human Resources Manager/Director shall inform the Affirmative Action Officer of pending layoffs where ADA affects a layoffee bumping eligibility.

C. Other Methods of Program Evaluation

1. Maintain a system of tracking protected group representation in the applicant pool for unclassified positions, including the review of the monthly affirmative action monthly report goal achievement report.
2. Periodic review of reasonable accommodation requests to determine patterns and improvements needed at the Department of Revenue.
3. The agency submits the following compliance reports to Minnesota Management and Budget as part of the efforts to evaluate the agency's affirmative action program:
 - Quarterly Monitoring the Hiring Process Reports;
 - Biannual Affirmative Action Plan;
 - Annual Americans with Disabilities Act Report;
 - Annual Internal Complaint Report; and
 - Disposition of Internal Complaint (within 30 days of final disposition).

XII. RECRUITMENT PLAN

The objective of this recruitment plan is to ensure the agency's recruitment programs are publicly marketed, attract, and obtain qualified applicants, enhance the image of state employment, and assist in meeting the affirmative action goals to achieve a diverse workforce.

Recruitment costs incurred during the 2012-2014 plan year total: \$5,881.00.

Below are various recruitment methods or strategies utilized by the agency during the past year and plans for the upcoming 2014-2016 plan years.

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A. Advertising Sources

From July 1st, 2012 to June 30th, 2013 the Department of Revenue spent \$250.00 for employment postings posted to paid internet job boards. Revenue also posted job announcements to free internet job boards, at different professional associations' websites, colleges and universities, the State of Minnesota job posting website and the Department of Revenue website. The majority of our job postings were on the latter two websites only.

From July 1st, 2013 to June 30th, 2014, the Department of Revenue spent \$1,427.00 for employment postings posted to paid internet job boards. Revenue also posted job announcements to free internet job boards, at different professional associations' websites, colleges and universities, the State of Minnesota job posting website and the Department of Revenue website. The majority of our job postings were on the latter two websites only.

It is expected that the amount spent on advertising in the following two years will decrease significantly. In effort to maintain a balanced budget, emphasis will be placed on internal hires and promotions, reducing the need for external recruitment. When external recruitment is necessary, emphasis will be placed on free or low-cost advertising sources.

B. Job and Community Fairs

Internal Job Fairs

The Department held 4 internal job fairs in 2012, resulting in 409 applicants and 87 external hires, and 8 internal job fairs in 2013, resulting in 1009 applicants and 164 external hires. These fairs are held yearly in order to fill vacant entry level positions, both seasonal and year-round. Internal job fairs are advertised through a variety of resources including, but not limited to, workforce centers, college job boards, technical schools, minnesotaworks.org, nonprofit organizations, the Department of Revenue website and the State of Minnesota website. Due to such extensive advertisement, the applicant pool is diverse. In effort to maintain a balanced budget, attrition will be allowed to occur at a greater rate than in previous years and emphasis will be placed on internal hires and promotions. Because of the emphasis on internal recruitment, it is expected that the need to fill entry level positions will continue, but at a lower rate than before. Therefore, the Department anticipates a fewer number of hires will result from internal job fairs in the upcoming plan years.

Community Job Fairs

The Department spent a total of \$4,204.00 on community job fairs from 2013-2014. The Department attended 5 community job fairs in 2012 and 7 community job fairs in 2013. The majority of the fairs were hosted by "Working Together Achieving Success", a joint collaboration between the City of Minneapolis and Hennepin County. These job fairs are held throughout the metro area and attract a diverse pool of applicants. Other community job fairs attended include a job fair hosted by Congressman Keith Ellison, Minnesotaworks.net, and HIRED. Additionally, the Department attends the DEED Veteran's job fair yearly. The Human Resources division tracks the success rate of all fairs attended and adjusts attendance

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accordingly. Due to current and anticipated budget constraints, the Department plans to reduce its workforce by selectively filling vacancies and placing an emphasis on internal versus external recruitment. This will necessarily decrease the number of community job fairs to be attended and those attended will be those which provide the largest pool of diverse applicants and greatest number of applicants in general.

C. College and University Recruitment Events

During the 2012-2014 plan year, the Department attended nine (9) college and university career fairs and 2 job fairs at DeVry Institute. When appropriate, positions filled externally are posted to various college and university websites including, but not limited to, Hamline Law School, the University of Minnesota, St Cloud State and Augsburg. Similar to internal and community fairs, college and university recruitment activity is expected to decrease. Positions filled externally will continue to be posted via cost-free websites, but college and university job fairs will be reduced to fairs specifically targeting diverse applicants, such as the St. Cloud Diversity Job and Intern Fair.

D. Recruitment for Individuals with Disabilities

In addition to internal job fairs, the Department of revenue works in partnership with the Rehabilitation Program Specialist 1 at the Minnesota Department of Employment and Economic Development to coordinate and post entry level positions to potential candidates with disabilities. The Department of Revenue also participated in the Get Job employment fair and the Veterans Career Fair hosted by DEED. These job fairs were open to all potential applicants, including applicants with disabilities. In addition to recruitment via job fairs, the Department commits to the following:

- 1) Review of job postings for physical and sensory requirements and ensure that qualifications in job postings are inclusive and do not pose any unnecessary barriers.
 - a. Our agency will review all job postings for physical and sensory requirements and determine if the qualifications for the position are job-related and consistent with business necessity. Additionally, our agency will edit language pertaining to physical and sensory requirements and change this language to reflect more inclusive language for job qualifications.
- 2) Self-Identification
 - a. At the time of application and once a year, our agency will communicate to our employees that we collect summary data related to the number of individuals who have applied for positions and who are in our workforce. We will inform employees that we collect this summary data to make determinations about where we need to improve in terms of recruitment, selection, or retention of individuals with disabilities.
- 3) Accessibility Matters Campaign
 - a. Our agency will distribute marketing material and resources to our staff to remind them to create accessible electronic documents and systems, so that employees

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with disabilities coming into the workforce can contribute to the workforce and will be able to access similar information and resources as other employees.

- 4) Reasonable Accommodations
 - a. We will prominently display on our career site that we will provide reasonable accommodation to qualified individuals with a disability who apply for our positions where needed. Once hired, we will educate employees, supervisors, and managers on accommodating employees in the workplace.
- 5) Strategic Partnerships
 - a. Our agency will build continue its strategic partnerships with DEED - Vocational Rehabilitation Services (“VRS”), DEED - State Services for the Blind (“SSB”), and other state agency partners to conduct job evaluations and to assist in recruitment or referral of candidates to open positions. Our agency will continue to inform VRS or SSB when a position is posted or prior to a posting, if possible, about the positions.
- 6) Self-Analysis
 - a. Our agency will conduct periodic self-checks to determine if our systems and documents are accessible, language in our job postings is inclusive, reasonable accommodations have been provided and staff have been trained on how to provide reasonable accommodations.

E. Relationship Building and Outreach

The Department of Revenue aimed to improve community outreach and community involvement at the beginning of 2012 with a new initiative dedicated to increase the pool of minority job applicants through public speaking and attending diverse job fairs. The initiative was moderately successful. The Department was able to increase attendance of diverse job fairs which led to an increase in the number of diverse applicants. Turnover in the Affirmative Action role prevented the realization of the public speaking portion of the initiative. The practicality and effectiveness of public speaking will be assessed as the opportunity arises.

Going forward, Human Resources staff and the Affirmative Action Officer will do the following order to increase relationship building and outreach:

- Actively collaborate with the Statewide recruiter to ensure job postings reach diverse applicants and communities.
- Attend events and meetings held by the Council on Asian-Pacific Minnesotans, Chicano Latino Affairs Council, Council on Black Minnesotans, Minnesota Indian Affairs Council, and Minnesota State Council on Disability.
- Attend Minnesota Community Advisors on Recruitment & Retention Solutions meetings to network with local nonprofit agencies aimed at providing gainful employment for persons with disabilities.
- Attend Twin Cities Diversity Roundtable meetings in order to network with other organizations committed to equal employment opportunity.

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- Continue to work in partnership with the Rehabilitation Program Specialist 1 at the Minnesota Department of Employment and Economic Development to coordinate and post positions to potential candidates with disabilities
- Actively seek out relationship building and outreach opportunities within the community.

F. Internships

In 2012 and 2013, the Department of Revenue hired paid interns for the Revenue Tax Specialist positions, student workers from law schools to support the Appeals and Legal Division; and interns from the Tax Research Partnership with the Humphrey Institute at the University of Minnesota. The Department also participated in the Step-Up program in 2013 and 2014. In 2013, the Department hired fourteen (14) Step-Up interns. In 2014, the Department hired five (5) Step-Up interns. The Department of Revenue plans to continue offering all of the same intern opportunities during the 2014-2016 plan years.

H. Supported Employment (M.S. 43A.191, Subd. 2(d))

The agency supports the employment of individuals with disabilities and will review vacant positions to determine if job tasks can be performed by a supported employment workers. We will work with community organizations that provide employment services to individuals with disabilities to recruit for these positions.

I. Additional Recruitment Activities

Other methods of recruitment included: referrals made by current Department of Revenue employees and positions posted for all employees via Business Notices on our RSpace site.

XIII. RETENTION PLAN

The agency is committed to not just the recruitment of women, minorities, individuals with disabilities, and veterans, but also to the retention of these protected groups.

A. Individual(s) Responsible for the Agency's Retention Program/Activities

The Affirmative Action Officer and Human Resources Division are responsible for coordinating and supervising the recruitment and retention activities for the Department of Revenue. The Affirmative Action Officer and Human Resources Division will provide training on discrimination, harassment, ADA, and recruitment/retention efforts to all Division Directors, Managers, and Supervisors; will identify development needs and appropriate training opportunities for all staff in coordination with management such as dealing with conflict and employment law issues; and will partner with other state agencies to develop a network of resources for affirmative action issues.

Karly Turner is the Affirmative Action Officer and can be contacted at 651-566-6042 or karly.turner@state.mn.us

B. Separation and Retention Analysis by Protected Groups

July, 1 2012 – June 30, 2014:

- Minority employees make up 13% of the workforce. 37 (13.7%) protected employees based on their ethnic groups were promoted within the Department of Revenue, 20 (12.4%) were reallocated, 37 (14.5%) separated, and 80 (22.3%) started work at the Department of Revenue.
- Compared, 234 (86%) Caucasian employees were promoted, 141 (87%) reallocated, 224 (85.5%) separated, and 278 (77.7%) started work at the Department of Revenue.

Analysis: According to the separation and retention data, it is clear that minority employees are not advancing within the organization at the same rate as non-minority employees. To illustrate, minorities make up 13% of the workforce, yet only 13% of those minority employees are promoted whereas non-minority employees make up 87% of the workforce and 86% of these employees are promoted. In general, Asian/Pacific Islander employees are promoted and reallocated more often than other minority employees. In terms of hiring, Asian/Pacific Islander and African American employees are hired at the same rate.

While separation and retention data may indicate that there is work to be done, underutilization numbers show that, in general, minority employees are not underutilized across the agency. The only area that shows minor underutilization is in the Professionals category. However, for the majority of the 2012-2014 plan years, there was no underutilization in the Professionals category.

- Female employees make up 60% of the workforce. 153 (56.7%) female employees were promoted within the Department of Revenue, 87 (54%) were reallocated, 129 (49.4%) separated, and 188 (52.5%) started work at the Department of Revenue.
- Compared, 118 (43.5%) male employees were promoted, 74 (46%) were reallocated, 132 (50.6%) separated, and 170 (47.5%) started work at the Department of Revenue.

Analysis: The data shows that female and male employees are proportional in terms of promotion, reallocation, separation and hires. The underutilization goals reflect this equality.

- Employees with disabilities make up 4.8% of the workforce. 4 (1%) employees with disabilities were promoted within the Department of Revenue, 3 (2%) were reallocated, 19 (7.28%) separated and 5 (3%) started work at the Department of Revenue.
- Compared, 267 (99%) employees without disabilities were promoted, 158 (98%) were reallocated, 242 (261%) separated, and 349 (97%) started work at the Department of Revenue.

Analysis: According to the separation and retention data, it is clear that employees with disabilities are not advancing within the organization at the same rates as employees

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without disabilities. To illustrate, only 4 employees with disabilities were promoted during the 2012-2014 plan years. Underutilization numbers reflect the gap. However, the hiring and promotion of employees with disabilities improved during the 2012-2014 plan years. This is most likely due to an increased emphasis on training regarding the ADA and the Department's accommodation policy.

Organization-wide, separations consisted mainly (86%) of retirements and resignations for positions outside of state government. Most of the resignations outside of state government were for positions with higher pay and more responsibility. Specific EEO-4 data is only available upon request due to employee data privacy laws.

C. Methods of Retention of Protected Groups

The Department of Revenue has applied the following retention efforts and will continue to do so:

- Offering soft perks like telecommuting, flex schedules and the ability to work from locations other than the physical location of the employee's supervisor.
- Promoting a positive, non-hostile, open environment to assist the Department with the recruitment and retention of valuable employees and qualified members of underutilized groups. The leadership role of the Commissioner, all Division Directors, Managers, and Supervisors supporting a positive working environment assisted and promoted the retention of employees of protected class status and influenced the attitude toward the diverse workforce.
- Building a culture that supports the active resolution of issues to facilitate the dialogue between conflicting parties; and to allow for the settlement of most disputes.
- Encouraging the involvement of employees of protected class status on committees or in decision-making groups based on their interests and strengths.
- Recognizing employees for their efforts through achievement awards and other events to recognize individuals who have performed admirably or become leaders in their field.
- Supporting continuing education through tuition reimbursement, training, and transparency to encourage protected class employees to apply and achieve growth. This openness will demonstrate that diversity is welcome in all levels of the Department.

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- Leveraging the iLEAD diversity committee in the promotion of a diverse and inclusive work environment through employer sponsored education events, brown bag events and other activities.
- Analyzing employee satisfaction and exit surveys and taking steps to improve the work environment based on employee feedback.

In addition, the Affirmative Action Officer will implement the following retention efforts:

- Meet with Division directors individually to discuss division-specific recruitment and retention of protected class individuals.
- Develop cultural competency training to be led by iLEAD team members within their units/divisions.
- Update the Affirmative Action intranet page to include accessible information regarding affirmative action, equal opportunity employment and disability accommodations.

APPENDIX

A. Complaint of Discrimination/Harassment Form

Minnesota Department of Revenue
 600 Robert St N
 St. Paul, MN 55146

COMPLAINT OF DISCRIMINATION/HARASSMENT FORM

Please Read Before Completion of Form

Any complaint of harassment/discrimination is considered confidential data under Minnesota Statute 13.39, Subd. 1 and 2. This information is being collected for the purpose of determining whether harassment/discrimination has occurred. You are not legally required to provide this information, but without it, an investigation cannot be conducted. This information may only be released to the Affirmative Action Officer designee, the complainant, the respondent, and appropriate personnel.

COMPLAINANT (YOU)		
Name	Job Title	
Work Address	Agency	Telephone ()
City, State, Zip Code	Division	Supervisor

RESPONDENT (PERSON WHO HARASSED/DISCRIMINATED AGAINST YOU)		
Name	Job Title	
Work Address	Agency	Telephone ()
City, State, Zip Code	Division	Supervisor

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This complaint is being filed on my honest belief that the State of Minnesota has harassed/discriminated against me. I hereby certify that the information I have provided in this complaint is true, correct and complete to the best of my knowledge and belief.	
Complainant Signature	Date

Affirmative Action Officer Signature	Date
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B. Employee/Applicant Request for ADA Reasonable Accommodation Form



STATE OF MINNESOTA – DEPARTMENT OF REVENUE

EMPLOYEE/APPLICANT REQUEST FOR ADA REASONABLE ACCOMMODATION FORM

The State of Minnesota 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 your position and 2) have a disability that 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.

Employee/Applicant Name:	Job Title:
Work Location:	Phone Number:

Data Privacy Statement: This information may be used by your agency human resources representative, ADA Coordinator or designee, your agency legal counsel, or any other individual who is authorized by your 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, your agency may refuse to provide a reasonable accommodation.

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Questions to clarify accommodation requested.

1. What specific accommodation are you requesting?

2. If you are not sure what accommodation is needed, do you have any suggestions about what options we can explore.
 - a. If yes, please explain.

Questions to document the reason for the accommodation request *(please attach additional pages if necessary)*.

1. What, if any job function are you having difficulty performing?

State of Minnesota – Department of Revenue
Reasonable Accommodation Request Form, Page 2

2. What, if any employment benefit are you having difficulty accessing?

3. What limitation as result of your physical or mental impairment is interfering with your ability to perform your job or access an employment benefit?

4. If you are requesting a specific accommodation, how will that accommodation be effective in allowing you to perform the functions of your job?

Information Pertaining to Medical Documentation

In the context of assessing an accommodation request, medical documentation may be needed to determine if the employee 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 will be provided with the appropriate forms to submit to their medical provider. The employee has the responsibility to ensure that the medical provider follows through on requests for medical information.

This authorization 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.

Employee/Applicant Signature:	Date:
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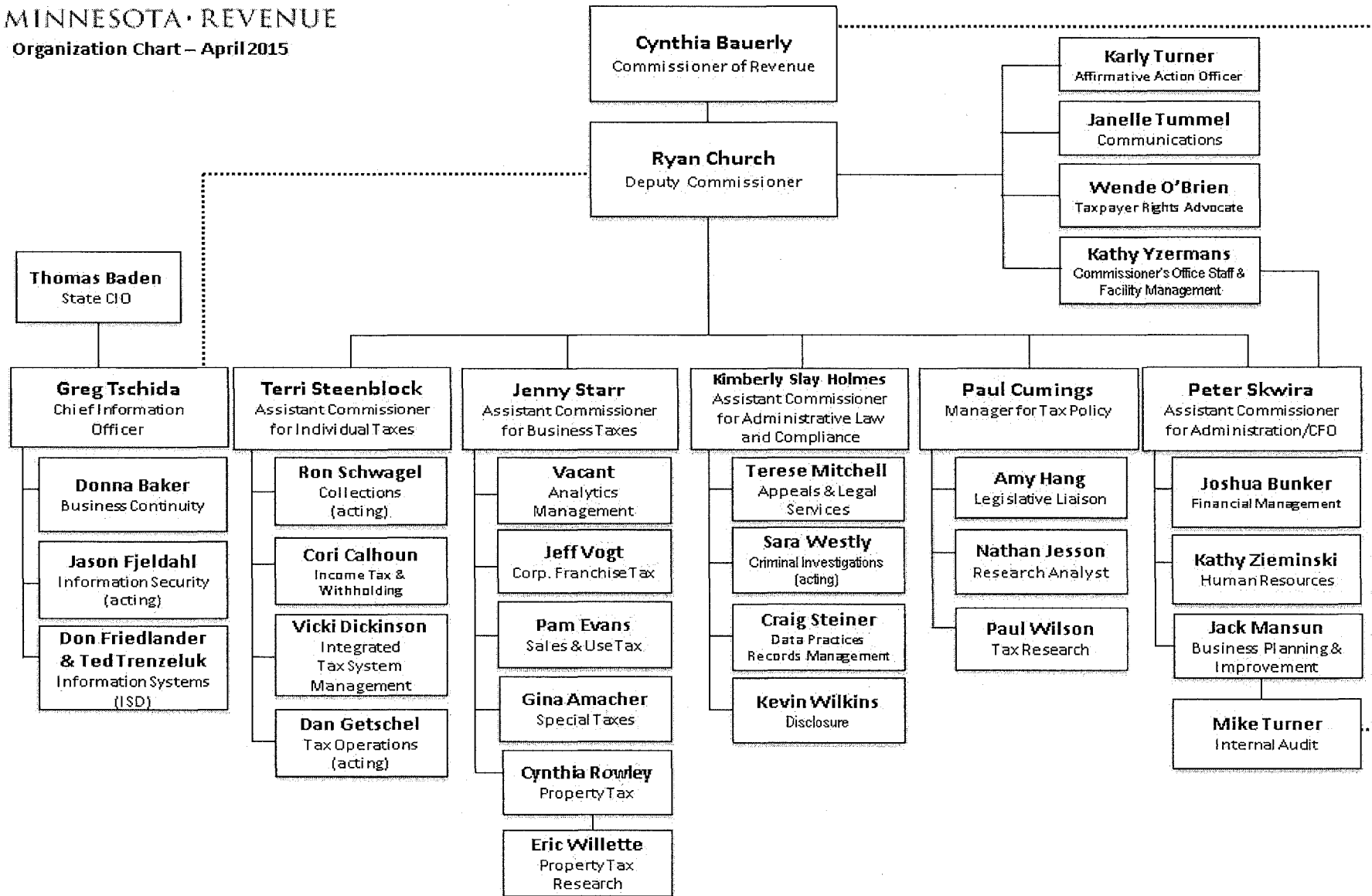
C. Agency Profile and Organizational Chart

The Minnesota Department of Revenue manages the state's revenue system and administers state tax laws. We manage 28 different taxes, collecting over \$12 billion annually. This money funds education, property tax relief, highways and transit, health care, social services, local government services, economic development incentives for businesses and workers, parks, correctional facilities and other state programs. Our mission is to gain compliance with tax laws to fund public services for Minnesota. Everyone voluntarily reports and pays the right amount of tax: no more, no less.

On average, the Department of Revenue employs 1500 employees. The Affirmative Action Officer/ADA Coordinator is physically located within the Commissioner's suite and reports directly to the Deputy Commissioner and to the Commissioner indirectly.

DEPARTMENT OF REVENUE
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MINNESOTA • REVENUE
Organization Chart – April 2015



DEPARTMENT OF REVENUE
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D. Underutilization Analysis Worksheets

WOMEN									
Job Categories	Total Employees in Job Group	Total Number of Women in Group	% of Women in the Group	Availability %	Availability Number	AAP 2014-2016 Number Underutilized	AAP 2012-2014 Underutilized	Improved, Not Improved, Same	Numerical Difference in the Two Plans
Officials/Administrators	34	17	50.00%	48.76%	17	0	1	improved	1
Professionals	1186	661	55.73%	55.01%	652	-9	0	improved	9
Office/Clerical	197	165	83.76%	78.00%	154	-11	0	improved	11
Technicians	80	58	72.50%	53.29%	43	-15	0	improved	15
Totals	1497	901	60.19%						
MINORITIES									
Job Categories	Total Employees in Job Group	Total Number of Minorities in Group	% of Minorities in the Group	Availability %	Availability Number	AAP 2014-2016 Number Underutilized	AAP 2012-2014 Underutilized	Improved, Not Improved, Same	Numerical Difference in the Two Plans
Officials/Administrators	34	<10	2.94%	3.94%	1	0	1	improved	1
Professionals	1186	143	12.06%	12.14%	144	1	0	not improved	1
Office/Clerical	197	42	21.32%	19.00%	37	-5	0	improved	5
Technicians	80	13	16.25%	13.75%	11	-2	0	improved	2
Totals	1497	198	13.23%						
INDIVIDUALS WITH DISABILITIES									
Job Categories	Total Employees in Job Group	Total Number of Individ./ with Disabilities in Group	% of Individ. w/ Disabilities in the Group	Availability %	Availability Number	AAP 2014-2016 Number Underutilized	AAP 2012-2014 Underutilized	Improved, Not Improved, Same	Numerical Difference in the Two Plans
Officials/Administrators	34	<10	11.76%	11.01%	4	0	0	same	0
Professionals	1186	48	4.05%	5.24%	62	14	64	improved	50
Office/Clerical	197	<10	4.06%	5.24%	10	2	15	improved	13
Technicians	80	<10	5.00%	6.86%	5	1	0	not improved	1
Totals	1497	48	4.28%						

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Two Factor Availability Analysis

Worksheet for calculating job group availability percentages, considering internal and external availability.

Agency name: Department of Revenue

EEO4 Category: Professionals

A		Women		Minorities		Persons with Disabilities	
	Assigned Weight (%)	Initial Statistics (%)	Weighted Statistics	Initial Statistics (%)	Weighted Statistics	Initial Statistics (%)	Weighted Statistics
Internal Availability	59.5	B 55.73	33.16	D 12.06	7.18	F 4.05	2.41
External Availability	40.5	C 53.96	21.85	E 12.26	4.97	G 7	2.84
Total Assigned Weight (must equal 100%)	100						

Job Group Availability %		
Women	Minorities	Disabilities
55.01	12.14	5.24

	H Source of Initial Statistics
Internal Availability	Promotions, Transfers & Movements
External Availability	MN Metro Area 87%, Greater MN 13%

Use the percentages above to complete the Job Group Availability/Utilization/Underutilization and Goals Analysis. Include this worksheet with your AAP.

DEPARTMENT OF REVENUE
AFFIRMATIVE ACTION PLAN 2014-2016

Two Factor Availability Analysis

Worksheet for calculating job group availability percentages, considering internal and external availability.

Agency name: Department of Revenue
EEO4 Category: Technicians

A		Women		Minorities		Persons with Disabilities	
	Assigned Weight (%)	Initial Statistics (%)	Weighted Statistics	Initial Statistics (%)	Weighted Statistics	Initial Statistics (%)	Weighted Statistics
Internal Availability	7%	B 73%	5.08	D 16%	1.14	F 5%	0.35
External Availability	93%	C 52%	48.21	E 14%	12.61	G 7%	6.51
Total Assigned Weight (must equal 100%)	100%						

Job Group Availability %		
Women	Minorities	Disabilities
53.29	13.75	6.86

H	
	Source of Initial Statistics
Internal Availability	Promotions, Transfers & Movements
External Availability	MN Metro Area 87%, Greater MN 13%

Use the percentages above to complete the Job Group Availability/Utilization/Underutilization and Goals Analysis. Include this worksheet with your AAP.

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Two Factor Availability Analysis

Worksheet for calculating job group availability percentages, considering internal and external availability.

Agency name: Department of Revenue

EEO4 Category: Office/Clerical

A		B		D		F	
		Women		Minorities		Persons with Disabilities	
Assigned Weight (%)		Initial Statistics (%)	Weighted Statistics	Initial Statistics (%)	Weighted Statistics	Initial Statistics (%)	Weighted Statistics
Internal Availability	71%	84.7%	0.60%	21.3%	0.15%	4.2%	0.03%
External Availability	29%	61.6%	0.18%	13.0%	0.04%	7.0%	0.02%
Total Assigned Weight (must equal 100%)	100%						

Job Group Availability %			
Women	Minorities	Disabilities	
0.78%	0.19%	0.05%	

Use the percentages above to complete the Job Group Availability/Utilization/Underutilization and Goals Analysis. Include this worksheet with your AAP.

H	
Source of Initial Statistics	
Internal Availability	Promotions, Transfers and Movement
External Availability	MN Metro Area 87%, Greater MN 13%

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Two Factor Availability Analysis

Worksheet for calculating job group availability percentages, considering internal and external availability.

Agency name: Department of Revenue

EEO4 Category: Officials and Administrators

A		Women		Minorities		Persons with Disabilities	
	Assigned Weight (%)	Initial Statistics (%)	Weighted Statistics	Initial Statistics (%)	Weighted Statistics	Initial Statistics (%)	Weighted Statistics
Internal Availability	84.20%	B 50.0%	42.10%	D 2.94%	2.48%	F 11.76%	9.90%
External Availability	15.80%	C 42.1%	6.66%	E 9.26%	1.46%	G 7.00%	1.11%
Total Assigned Weight (must equal 100%)	100%						

Job Group Availability %		
Women	Minorities	Disabilities
48.76%	3.94%	11.01%

Use the percentages above to complete the Job Group Availability/Utilization/Underutilization and Goals Analysis. Include this worksheet with your AAP.

H	
	Source of Initial Statistics
Internal Availability	Promotions, Transfers and Movement
External Availability	MN Metro Area 87%, Greater MN 13%

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E. Separation Analysis by Protected Groups Worksheets

TOTAL SEPARATIONS								
Types of Separation	Total Number	Total Percentage	Total Number of Women	Percentage of Women	Total Number of Minorities	Percentage of Minorities	Total Number of Indiv w/Disabilities	Percentage of Indiv w/Disabilities
Dismissal or Non-Certification	31	11.88%	12	38.71%	6	19.35%	2	6.45%
Resignations	137	52.49%	69	50.36%	31	22.63%	3	2.19%
Enhanced Separation		0.00%		0.00%		0.00%		0.00%
Retirement	87	33.33%	47	54.02%	0	0.00%	12	13.79%
Deaths	5	1.92%	<10	XX	0	0.00%	<10	XX
Lay-off		0.00%		0.00%		0.00%		0.00%
Termination without Rights	1	0.38%	0	0.00%	0	0.00%	0	0.00%
Total Separations	261	100.00%	128	49.04%	37	14.18%	17	6.51%
OFFICIALS/ADMINISTRATORS								
Types of Separation	Total Number	Total Percentage	Total Number of Women	Percentage of Women	Total Number of Minorities	Percentage of Minorities	Total Number of Indiv w/Disabilities	Percentage of Indiv w/Disabilities
Dismissal or Non-Certification	0	0.00%		0.00%		0.00%		0.00%
Resignations	0	0.00%		0.00%		0.00%		0.00%
Enhanced Separation	0	0.00%		0.00%		0.00%		0.00%
Retirement	6	100.00%	<10	XX	0	0.00%	<10	XX
Deaths	0	0.00%		0.00%		0.00%		0.00%
Lay-off	0	0.00%		0.00%		0.00%		0.00%
Termination without Rights	0	0.00%		0.00%		0.00%		0.00%
Total Separations	6	100.00%	0	0.00%	0	0.00%	0	0.00%

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PROFESSIONALS								
Types of Separation	Total Number	Total Percentage	Total Number of Women	Percentage of Women	Total Number of Minorities	Percentage of Minorities	Total Number of Indiv w/Disabilities	Percentage of Indiv w/Disabilities
Dismissal or Non-Certification	28	12.67%	10	35.71%	6	21.43%	1	3.57%
Resignations	131	59.28%	64	48.85%	30	22.90%	3	2.29%
Enhanced Separation		0.00%		0.00%		0.00%		0.00%
Retirement	58	26.24%	22	37.93%	0	0.00%	9	15.52%
Deaths	3	1.36%	<10	XX	0	0.00%	<10	XX
Lay-off		0.00%		0.00%		0.00%		0.00%
Termination without Rights	1	0.45%	0	0.00%	0	0.00%	0	0.00%
Total Separations	221	100.00%	XX	XX	36	16.29%	XX	XX
OFFICE/CLERICAL								
Types of Separation	Total Number	Total Percentage	Total Number of Women	Percentage of Women	Total Number of Minorities	Percentage of Minorities	Total Number of Indiv w/Disabilities	Percentage of Indiv w/Disabilities
Dismissal or Non-Certification	2	9.52%	<10	XX	0	0.00%	0	0.00%
Resignations	3	14.29%	<10	XX	<10	XX	0	0.00%
Enhanced Separation		0.00%		0.00%		0.00%		0.00%
Retirement	14	66.67%	14	100.00%	0	0.00%	<10	XX
Deaths	2	9.52%	0	0.00%	0	0.00%	<10	XX
Lay-off		0.00%		0.00%		0.00%		0.00%
Termination without Rights		0.00%		0.00%		0.00%		0.00%
Total Separations	21	100.00%	XX	XX	<10	XX	<10	XX

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TECHNICIANS								
Types of Separation	Total Number	Total Percentage	Total Number of Women	Percentage of Women	Total Number of Minorities	Percentage of Minorities	Total Number of Indiv w/Disabilities	Percentage of Indiv w/Disabilities
Dismissal or Non-Certification	1	7.69%	<10	XX	0	0.00%	<10	XX
Resignations	3	23.08%	<10	XX	0	0.00%	0	0.00%
Enhanced Separation		0.00%		0.00%		0.00%		0.00%
Retirement	9	69.23%	<10	XX	0	0.00%	<10	XX
Deaths		0.00%		0.00%		0.00%		0.00%
Lay-off		0.00%		0.00%		0.00%		0.00%
Termination without Rights		0.00%		0.00%		0.00%		0.00%
Total Separations	13	100.00%	<10	XX	0	0.00%	<10	XX

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F. Other Relevant Agency Information, Policies, or Documents

1) Our Strategies and Values

MINNESOTA • REVENUE

MISSION

Working together to fund
Minnesota's future

VISION

Everyone reports, pays, and receives
the right amount: no more, no less.

VALUES

Our core values are the foundation of the high standards of performance and behavior.

Integrity We are honest and ethical because trust is the foundation of our reputation and relationships.	Respect We embrace diversity and respect everyone inside and outside of our agency.	Excellence We expect and reward innovation, flexibility, accuracy, timeliness, and collaboration.	Accountability We ensure the fair and efficient administration of Minnesota's revenue system.
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STRATEGIES

1. Provide customers with information, education, and services.
2. Create operational efficiencies and leverage technology to secure customer information, and to meet customer and employee needs.
3. Enforce the tax laws by identifying and addressing patterns of non-compliance.
4. Listen to our customers, identify and develop improvements to the revenue system.
5. Foster a productive, innovative, and healthy work environment that provides opportunities for growth and development.

August 2014

2) Evacuation Plan

EMERGENCIES AND EVACUATIONS PROCEDURES

Emergencies involving probable evacuation include:

- Fire, flame or smoke
- Internal hazard/threat (floods, building mechanical malfunction, etc.)
- External hazard/threat (bomb threats, terrorism, etc.)

Relocation

Emergencies involving possible relocation to safe areas within the interior of the building are:

- Weather related (severe storms, tornadoes, blizzards, etc.)
- Utilities (electrical, gas, sewer or water problems)
- Medical, accidental or health problems
- Chemical, environmental or individual (drugs and alcohol)
- Civil disturbances or demonstrations
- Nuclear, accidental plant emission, or attack
- Hostage situations or terrorism

This plan is designed to provide employees with the basic principles and procedures that should be used in the event of an emergency. The plan will provide:

- A chain of command to disseminate information and acts as an authority in times of an emergency.
- The mechanism for training personnel in response procedures.
- An organized routine for responding to emergencies.
- Alternatives, ideas and procedures to assist in the orderly handling of emergencies.

General Information

Employees that are in the building at night should follow the same emergency procedures that are used during the daytime. However, some exceptions are explained in the procedures.

Public Address system (PA) announcements normally cannot be heard in offices and conference rooms because normally there are no PA speakers in these areas. It is the role of the Floor Warden to check and clear these rooms. When a PA announcement is made, it will shut off the white noise. When the announcement is completed and the PA is turned off, the white noise will come back on loud. The volume will lower as it resets.

In the Office of Administrative Hearings (OAH) first floor hearing and conference rooms the white noise and PA announcements are not audible.

The tunnel is the relocation area for anyone (employees and visitors) located in the public areas on first and second floor, such as the conference rooms, cafeteria, lobby, public rest-rooms, and the Office of Administrative Hearings (OAH) public hearing/conference rooms.

General Duties of Emergency Personnel

Stassen Building Emergency Director

- Primary authority for developing and maintaining the Stassen Building Emergency plan, procedures and communications network.
- Primary authority for issuing emergency and emergency-related information to Stassen Building employees.
- Ensure that Warden and Monitor positions are always assigned.
- Provide necessary Floor Warden and Division Monitor training.
- Provide necessary emergency procedures and training to employees.
- Coordinate and conduct at least one annual emergency drill.
- Monitor the National Weather Service emergency broadcasts and coordinate with Capitol Security on weather emergencies.
- Assist Regional Office Safety Coordinators with the development of the regional office emergency plan, procedures and communications network.

Building Emergency Staff

- During an evacuation or relocation move as quickly as possible to the pre-assigned evacuation or relocation areas and carry out your assigned responsibilities.
- Liaison with the Building Emergency Director, Floor Wardens, Floor Monitors and the employees during evacuations and relocations.

Floor Wardens and Floor Monitors (General Information)

- Know the location of life safety equipment: extinguishers, first aid kits, defibrillators, and emergency alarms.
- Know the evacuation routes, alternate evacuation routes and the relocation areas.
- Respond to all emergency situations, alarms or announcements, immediately, and in a calm and orderly fashion.
- Follow the directions of the Stassen Building Emergency Director, Building Emergency Staff or Capitol Security Staff.
- If you are away from your work area during an emergency, evacuate or relocate with the people of the floor you are on. Do not return to your division. The other Wardens and Monitors for your work floor will need to cover for you.
- If the PA system or alarms do not work, the Stassen Building Emergency Director will dispatch Building Emergency Staff to the work areas to make announcements.
- Attend training sessions.

Floor Wardens

- Know your Floor Monitors, Floor Wardens and Building Emergency Staff.
- Check that the floor (not just your division) has been evacuated or employees have relocated to designated areas, including checking and clearing conference rooms, offices and restrooms. Verify with the other Floor Wardens that the floor is clear.
- During an emergency, check and close any open private office doors.
- Confirm the location of employees with physical disabilities. Report their location to the Stassen

Building Emergency Director, Emergency Staff or Capitol Security staff.

- Observe that the appropriate procedures are followed and report any discrepancies to the Stassen

Building Emergency Director or Building Emergency Staff.

- Ensure that Floor Monitor positions are always assigned.
- Oversee emergency planning activities, assure adequate employee contact and schedule meetings of the Floor Monitors to relay information pertaining to emergency routines or special instructions.
- During tests of the public address systems and alarms, serve as liaison between Floor Monitors and the Building Emergency Staff in reporting problems.
- During early or late work hours, fill in for other Floor Wardens and Monitors that have not arrived or have left for the day. Ask how you can assist the Building Emergency Staff or Capitol Security Staff who are located at the front desk or lobby area.
- The conference rooms do not have PA speakers located in them. People meeting in conference rooms will not hear the relocation announcements or the "All Clear" announcements. Floor Wardens need to clear rooms that are not safe. If the room is a designated "safe room" inform those in the room of the relocation announcement and then return to the room to inform when it is all clear.
- Carry out the Floor Warden responsibilities identified in the Evacuation Procedures, Relocation Procedures, If the Power Goes Out and the Quarterly Review Checklist in this plan. Also, please take a leadership role and assist in responding to other emergencies.

Floor Monitors

- Help to maintain clear aisles and stairwells during normal working hours as well as periods of emergencies. Report any discrepancies to the Facilities Management Office.
- Routinely check stairwells for burned out lights and report to Facilities Management Office.
- During tests of public address systems and alarms note sound levels and report any discrepancies to the Floor Warden.
- Maintain an up-to-date roster of the employees assigned to you and account for those employees during an emergency. Also, have an up-to-date roster for other units/areas in your division to account for employees if their monitor is not available.

- Provide timely contact and instructions to new employees.
- Keep all employees assigned to you informed of safety issues and emergency procedures.
- During early or late work hours, fill in for other Floor Wardens and Monitors that have not arrived or have left for the day.
- During evacuations, go to your Evacuation Check-in Area in the ramp and begin conducting a head count of the employees assigned to you.
- Carry out the Floor Monitor responsibilities identified in the Evacuation Procedures, Relocation Procedures, If the Power Goes Out and the Quarterly Review Checklist in this plan. Also, please take a leadership role and assist in responding to other emergencies.

Facilities Management Office

- Coordinating authority, with Capitol Security, Department of Administration and local authorities for the testing and checking of emergency equipment (fire extinguishers, fire alarms, etc.).
- Coordinating authority, with Capitol Security, Department of Administration, and St. Paul Fire Marshal, for fire safety and evacuation requirements.

Human Resource Management Division

- Primary authority for medical emergencies, injuries and illnesses.
- Direct Capitol Security Staff and First Responders to medical emergency location.
- Responsible for first aid kits and defibrillators and the coordinating authority for training and testing of defibrillators, CPR and security equipment.

Criminal Investigations Division

- Primary authority for investigating taxpayer telephone and physical threats.

Capitol Security (Stassen Building)

- Uphold the basic protection of the building against intruders, vandals, and unruly or threatening visitors, vendors or employees.
- Control access.
- Screen persons seeking admittance.
- Enforce Building Rules and Regulations.
- Parking ramp and grounds security.
- Crowd control, if required.
- Provide information, as needed, to visitors.
- Respond to medical emergencies and reports of injury or illness (First Aid, CPR, Defibrillators)
- Monitor the National Weather Service emergency broadcasts.
- Know the location of life safety equipment: extinguishers, first aid kits, defibrillators, and emergency alarms.
- Responsible for locating the source of the fire alarms and ensuring the fire department is notified.
- During business hours, assist the Stassen Building Emergency Director and Building Emergency Staff in responding to emergencies.

- During non-business hours, when Building Emergency Staff are not available and the fire alarm sounds:
 - If necessary, instruct building occupants to move to safety and ensure building is safe/secure.
 - Contact Plant Management Building Engineer or alternate to verify alarm.
 - If known, report missing building occupants to the emergency personnel (police, fire) on the scene.
 - When it is safe to return to the building, announce the “All Clear” to those who have evacuated to the ramp. The announcement will need to be made by walking over to the ramp and instructing the people it is safe to return to the building, or if another security guard is on-site instruct him/her to walk to the ramp and instruct the people it is safe to return to the building.
 - Call Revenue contact to report the alarm and current situation.
- During non-business hours, when Building Emergency Staff are not available, and a tornado warning has been issued for the area, or a tornado has been sighted in the area, or the weather and winds are severe enough to be damaging and could impact employee safety:
 - Calmly make a PA announcement instructing employees to move away from exterior walls and windows and to move to the buildings internal hallway relocation areas. (After 5:00, instruct Tax Operations employees to move to their assigned relocation hallways and other employees in the building to move to the first floor elevator lobby area. [Then everyone is in the same basic area.]])
 - Continue to monitor the weather reports.
 - When the “All Clear” is given by the National Weather Service or Capitol Security, announce the “All Clear” to employees over the PA.

Office Safety Coordinator (Regional Offices)

- Primary authority for developing and maintaining the regional office emergency plan, procedures including establishing the Evacuation Check-in and relocation areas and communications network.
- Primary authority for issuing emergency and emergency-related information to office employees.
- The Office Safety Coordinator can also be the Floor Warden and/or Floor Monitor in some offices.
- Monitor the National Weather Service (NWS) announcements.
- Ensure that Warden and Monitors are trained and positions are always assigned.
- Manage emergency planning activities, employee education and training.

General Duties of Management and Employees

Managers and Supervisors

- Respond to all emergency situations, alarms, announcements or threats immediately, and in

a calm and orderly fashion.

- Meet individually with employees with physical disabilities (mobility and/or sensory), including temporarily disabled, to develop guidelines to effectively communicate emergency and evacuation procedures. Address issues related to emergency procedures for individuals with physical disabilities by ensuring that employees have the opportunity to inform the agency of any special needs they may have. Ensure the selection of Assistants and consult with physically disabled individuals to determine appropriate emergency procedure.
 - Supervisors should assign two Assistants to each individual with physical disabilities to ensure that, in an emergency, the employee will be able to comply with the instructions given by the Stassen Building Emergency Director, Building Emergency Staff or Capitol Security Staff.
 - Instruct physically disabled and their Assistants to move to the main elevator lobby stairwell and wait for the emergency personnel. If they feel threatened at any time they may move into the stairwell and wait for the emergency personnel.
- During evacuation or relocation, if you are in your office, close the door as you exit. Do not return to close your door.
- Provide support in emergencies. Assist anyone who may be injured.
- Understand the plans that the department has in place to respond to threats or unsafe working conditions.
- Maintain open lines of communications with employees and ensure they are trained on all emergency evacuation and relocation procedures, work-related violence response and reporting of incidents.
- Instruct all new employees on the evacuation and relocation procedures and introduce to their Floor Warden and Monitor.

Employees - general information

- Respond to all emergency and threatening situations, alarms or announcements immediately, and in a quick, calm and orderly fashion. Remain quiet or speak softly so you can hear announcements.
- Know the location of life safety equipment: extinguishers, first aid kits, and emergency alarms.
- Know your assigned Floor Monitor.
- If you are away from your work area during an emergency, evacuate or relocate with other personnel on that floor. Do not return to your work area.
- Follow the directions of the Floor Wardens, Floor Monitors and Stassen Building Emergency Director and Building Emergency Staff.
- Keep phone lines open for communications with emergency services; do not call home.
- Do not leave a safe area until directed to do so.
- Take only personal items within immediate reach. Do not take the time or detour to pick up personal belongings.
- If you are with a visitor, show them to the Evacuation Check-in area or the relocation area. Other visitors should be assisted by the first employee encountering them.

Employees - during evacuations:

- Know your evacuation routes, alternate routes and Evacuation Check-in Area in the ramp.
- Do not use the elevator. Use the stairs.
- Everyone is expected to evacuate the building, walking quickly, calmly, carefully and quietly.
- Report in to your Floor Monitor immediately upon arrival in the ramp Evacuation Check-in Area, even if you were in a different part of the building at the time of the evacuation.
- Do not leave your check-in area.
- After evacuating the building, always come back in through the front doors on both sides of the front entrance, and be prepared to show your ID badge as you pass through the turnstiles or emergency gate.
- If the ramp is not safe, alternate instructions on where to locate will be issued over the PA system or by Building Emergency Staff.
- Before opening any closed door, first touch it; if it's hot, use an alternate exit. If the door is not hot, open slightly to check for fire, odor or smoke. If moderate amounts of odor or smoke are detected, have a volunteer check that the route is clear before having others go on. If there are strong odors, smoke or fire, close the door and move to the alternate exit. At some time it may be necessary to move through a smoky area. Smoke rises, so stay low to the floor, keep a shoulder to a wall and move quickly to the exit. Know your exits.

Employees - during relocations:

- Know your relocation area.
- To relieve crowding outside the doors in the internal hallways, spread out in the hallway.
- Be quiet or speak very softly while in the relocation area and wait for the "All Clear" announcement before returning to your work area.
- During relocations, only report in to the Floor Monitor if instructed to over the PA system.
- Remain in the relocation area until the "All Clear" is announced.
- The tunnel is the relocation area for anyone (employees and visitors) located in the public areas on first and second floor, such as the conference rooms, cafeteria, lobby, public rest-rooms, and the Office of Administrative Hearings (OAH) public hearing/conference rooms.

Employees with physical disabilities (mobility and/or sensory, including temporarily disabled)

- Meet individually with your supervisor to develop guidelines to effectively communicate emergency and evacuation procedures.
- Ensure your supervisor has assigned two co-workers as your Assistants to ensure that in an emergency you can comply with the instructions given by the Stassen Building Emergency Director, Building Emergency Staff or Capitol Security staff.
- During evacuations, disabled employees should move to the main elevator lobby and wait for the emergency personnel (fire, police, and first responders). If threatened at any time move into the stairwell and wait for the emergency personnel.
- During **relocations** move to the nearest relocation area.

Assistants

- During evacuations, if safe, find the employee and evacuate him/her to the evacuation area or

main elevator lobby, and wait for the emergency personnel. If at any time you or the employee feels threatened, move into the stairwell. One Assistant should stay with the employee. The second Assistant should evacuate and report the location of the disabled employee and Assistants to the Stassen Building Emergency Director located in the main lobby or to the Building Emergency Staff at the exit doors or ramp.

- **During relocations**, if safe, locate the employee requiring assistance and help them to the relocation area. Do not try to return to your work area if danger is imminent; that is the reason for having two assistants.