

20____ STRATEGIC PLANNING WORKSHEET

Directions: Use the worksheet as a guide in developing your annual strategic goals. The worksheet is not part of the formal EEO-4 Report, and is NOT to be submitted with your report materials.

CY2018	EEO-4 REPORT Strategic Planning Tool	MEASURES
GOAL I	POLICY COMPLIANCE	Choose one focus area for each goal.
	ACCESS TO OFFICIALS	<input type="checkbox"/>
	COMPLAINT REPORTING POLICY	<input type="checkbox"/>
	RISK MANAGEMENT	<input type="checkbox"/>
	CRITICAL DECISION-MAKING	<input type="checkbox"/>
GOAL II	PROGRAM ACCOUNTABILITY	
	ROLES AND POSITION DESCRIPTIONS	<input type="checkbox"/>
	CONFLICTS OF INTEREST	<input type="checkbox"/>
	COMPLAINT TRACKING AND MONITORING	<input type="checkbox"/>
	CREDENTIALLED PERSONNEL	<input type="checkbox"/>
GOAL III	DISCRIMINATION PREVENTION	
	PREVENTATIVE STRATEGIES	<input type="checkbox"/>
	EARLY INTERVENTION	<input type="checkbox"/>
	SELF-ASSESSMENT	<input type="checkbox"/>
	DISCIPLINE POLICY	<input type="checkbox"/>
GOAL VI	COMPLAINT PROCESS	
	INTAKE/COUNSELING	<input type="checkbox"/>
	TIMELY DISPATCH	<input type="checkbox"/>
	IMPARTIAL INVESTIGATION	<input type="checkbox"/>
	MAKING DETERMINATIONS	<input type="checkbox"/>
GOAL V	COMPLAINT MANAGEMENT	
	INTERPERSONAL AND COMMUNICATION SKILLS	<input type="checkbox"/>
	REASONABLE ACCOMMODATION	<input type="checkbox"/>
	FILE AND RECORD MANAGEMENT	<input type="checkbox"/>
	CONFLICT RESOLUTION	<input type="checkbox"/>
GOAL VI	WORKPLACE DIVERSITY	
	DIVERSITY LEADERSHIP	<input type="checkbox"/>
	CORRECTIVE ACTION AND RETRAINING	<input type="checkbox"/>
	BARRIER ANALYSIS	<input type="checkbox"/>
	WORKPLACE CULTURE	<input type="checkbox"/>
GOAL VII	STAFF RESOURCES	
	EQUAL OPPORTUNITY RESOURCES	<input type="checkbox"/>
	INFORMATION ACCESS	<input type="checkbox"/>
	STAFF TRAINING	<input type="checkbox"/>

GOAL I POLICY COMPLIANCE			
A. ACCESS TO OFFICIALS	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Once a complaint has been filed, agency EO officers/coordinators have appropriate ACCESS in some manner TO AGENCY PERSONNEL who can provide information on the issues involved.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Once a complaint has been filed, agency EO personnel have appropriate ACCESS in some manner to the agency's LEGAL COUNSEL who can provide information/guidance on the issues involved.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel have appropriate ACCESS in some manner to the agency's PROPER CONTACT at the Attorney General's Office.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency procedure exists to ensure the reporting of HIGH PROFILE EO COMPLAINTS to the agency DIRECTOR. High profile cases are those covered by the media, cases involving violence or threats of violence, or cases under scrutiny as criminal, etc., as determined by your agency.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A micro/small agency's Standard Operating Procedure for EO complaint intake is reviewed annually with the agency's assigned Shared Service Consultant, and revised as needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. COMPLAINT REPORTING POLICY	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
There exists a CLEAR REPORTING PROCEDURE for employees to file an internal discrimination, harassment, or retaliation complaint.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workers in isolated, field, or satellite work environments are trained to use the agency's complaint procedures, and have access to an alternative complaint filing process if needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
There exists a clear reporting procedure for non-supervisory employees WHO WITNESS an improper incident.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
There exists a clear internal CHAIN OF COMMAND PROTOCOL used by EO personnel to communicate the filing of discrimination complaints to agency officials.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employees are informed of the LIMITED NATURE of confidentiality involved in the agency's reporting process, and in the discrimination complaint process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complainants are apprised of their rights to file anonymously WITH THE UNDERSTANDING THAT progress MAY BE LIMITED as an anonymous complainant.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Appropriate inquiry is made into ANONYMOUS COMPLAINTS filed through internal agency channels to review the issues involved.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Whistleblower complaints (of prohibited practices or unlawful behavior) are routed through the appropriate internal channels for appropriate review and action.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. RISK MANAGEMENT	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The agency has written protocol in place FOR RAPID RESPONSE to high profile complaints, which consists of a team of decision-makers along the chain of command.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO personnel have a mechanism for COLLECTING, ANALYZING, AND REPORTING to leadership the results of aggregated complaint data on an annual basis.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employees receive IN WRITING a summary of their rights and responsibilities AT THE TIME OF FILING a discrimination, harassment, or retaliation complaint.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employees are provided a complaint policy AT THE TIME OF FILING a discrimination, harassment, or retaliation complaint that explains the agency's policy on filing EO COMPLAINTS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL supervisors and managers have been ADEQUATELY TRAINED on the subject of employer liability under Title VII and other civil rights statutes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency conducts as part of its climate/engagement surveys an assessment of the extent to which employees feel free of harassment in the workplace.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency conducts as part of any climate/engagement survey the extent to which employees are aware of the EO complaint reporting process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL supervisors and managers have been ADEQUATELY TRAINED on the proper documentation of employee performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Micro/small agency EO Liaison have developed with ADOA Shared Services a system for confidential reporting of EO issues that includes proper deterrents against communication leakage and gossip.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All whistleblower complaints receive PROMPT INQUIRY.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employees' duties to refrain from GOSSIP AND OVER-SHARING of "need to know" and CONFIDENTIAL information have been included in the agency's handbook.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. CRITICAL DECISION-MAKING	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal

Agency EO protocol guarantees ALL employees the ability to file a discrimination complaint in an UNOBSTRUCTED FASHION, even if claims are ultimately unsubstantiated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL complaints regarding potential discrimination, harassment, or retaliation are timely forwarded to an EO Liaison/coordinator UNENCUMBERED BY ANY OTHER REPORTING PROCEDURE.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO protocol GUARANTEES ALL EMPLOYEES the ability to amend their discrimination claims in the case of "new events" AS REPORTED UNDER THE SAME BASIS until the date a final determination has been made.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency protocol REQUIRES SUPERVISORY EMPLOYEES to address incidents of discrimination, harassment or retaliation occurring under their command.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Micro/small agencies without EO Officers engage Shared Service Consultants in a process of complaint reporting that ensures an UNENCUMBERED REPORTING PROCEDURE for agency employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency protocol directs supervisory employees TO REPORT incidents of discrimination, harassment, or retaliation to the proper agency EO contact.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GOAL II PROGRAM ACCOUNTABILITY			
A. ROLES AND POSITION DESCRIPTIONS	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The EO function is performed SEPARATE AND APART from HR functions during an open internal discrimination complaint as outlined by agency policy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Procedure is developed to ensure the performance of EO complaint management is reserved for personnel who have been EXPRESSLY TRAINED as EO personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO personnel are RESTRICTED by procedure FROM PERFORMING formal "position statements" for the agency in cases of internal complaints that have become external claims.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Procedure is developed to ensure that internal discrimination INVESTIGATIONS are not performed by the same officer who conducts a complainant's Intake/Counseling.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Micro/small agency EO Liaisons have outlined in writing the roles and functions involved in working with Shared Services Consultants in the EO reporting process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A reporting procedure has been created for agency personnel responsible for producing POSITION STATEMENTS, with an alternative plan for conflict-of-interest issues.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The mission of the agency RAPID RESPONSE TEAM has been defined, and organized to respond to incidents of discrimination, harassment and retaliation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Other:			
B. CONFLICTS OF INTEREST	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Alternative reporting processes are used TO AVOID CONFLICTS OF INTEREST in the processing of an internal discrimination complaint.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Clearly written protocol guides agency personnel in the proper ALTERNATIVE REPORTING PROCEDURES to be used in cases of conflicts-of-interest.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Micro/small agencies without EO Officers work with Shared Services Consultants to ensure against conflicts-of-interest in the counseling and any subsequent investigation of EO complaints.			
EO personnel complete a Conflict-of Interest Worksheet ON EVERY EO COMPLAINT FILED as part of the Intake/Counseling process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The performance of Intake/Counseling functions ARE SEPARATED FROM internal Investigation functions to avoid real or perceived conflicts of interest issues.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An agency employee who is PARTY TO ANY OF the underlying issues of a discrimination, harassment or retaliation complaint is AUTOMATICALLY EXCLUDED as a WITNESS to the complaint.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency personnel INVOLVED IN ANY WAY in the underlying issues of a discrimination, harassment or retaliation complaint is AUTOMATICALLY EXCLUDED as the complaint INVESTIGATOR.			
Agency SOP reflects an ALTERNATIVE REPORTING PRACTICE for performing position statements when a conflict-of-interest exists in the normal course of reporting allegations of discrimination, harassment, or retaliation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Micro/small agencies with Shared Service Consultants have a process in place to DIVIDE UP/SHARE the necessary duties for performing EO counseling/intake, investigations, and formal "position statements" so to avoid conflict-of-interest issues.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. COMPLAINT TRACKING AND MONITORING	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Standard operating procedure is in place to assure that internal EO complaints are being closed WITHIN THE TIMELINE REQUIRED by state personnel rules.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The EO Liaison communicates ALL HIGH PROFILE CASES to the appropriate agency Risk Management/Rapid Response Team for immediate review. High profile cases are those covered by the media, cases involving violence or threats of violence, or cases under scrutiny as criminal, etc., as determined by your agency.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

There is a secure data tracking system used to track internal EO complaints in real time.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The EO data tracking system records at a minimum the following data: CASE #, BASIS INVOLVED, ISSUE(S), DATE OPENED, DATE CLOSED, LOCATION BY OFFICE OR DEPARTMENT.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency's EO data tracking system is CAPABLE OF PRODUCING reliable data metrics.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FORMAL EO CHARGE LETTERS are received, recorded, and responded to in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FORMAL CHARGE DATA is recorded in the agency's EO case data tracking system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Micro/small agencies organize a secure filing system to share and track EO complaint data with their assigned Shared Service Consultant.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. CREDENTIALLED PERSONNEL	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Agency EO personnel are trained in performing discrimination, harassment, and retaliation complaint INTAKE AND COUNSELING.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel are trained in performing discrimination, harassment, and retaliation complaint INVESTIGATIONS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel are WELL VERSED in federal and state equal opportunity laws that protect against discrimination on the basis of race, color, religion, sex (including pregnancy), national origin, age (40 or older), disability, pay/compensation or genetic information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel are skilled INTERPERSONAL COMMUNICATORS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel are TRAINED INTERVIEWERS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel execute case management in an impartial, non-biased manner, or in the alternative, recuse themselves from the complaint as early as possible.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel maintain confidentiality in the dispatch of internal complaints as required, adopting a "need to know" standard for sharing case information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GOAL III DISCRIMINATION PREVENTION			

A. PREVENTATIVE STRATEGIES	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Agency leadership has adopted an effective OPEN DOOR POLICY as appropriate in order for employees to communicate issues, concerns, and complaints WITHOUT fear of retaliation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency protocol for EO reporting and complaint management procedures ARE IN WRITING and available to ALL STAFF.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal EO complaint reporting procedures ARE EXPLAINED TO NEW HIRES as part of the agency onboarding process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal EO complaint reporting procedures ARE PROVIDED IN WRITING TO NEW HIRES as part of the agency onboarding process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency conducts regular workplace civility training for the ENTIRE STAFF, commonly called diversity training.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency has implemented metrics in supervisory employees' performance reviews to measure success in managing the agency anti-harassment policy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A harassment PREVENTION POLICY is in place that is easy-to-understand and is regularly communicated to all employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL STAFF is made aware of the opportunity to freely file an informal complaint with the Governor's Office of Equal Opportunity (GOEO).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managers and supervisors are trained to practice "situational awareness" and assess their workforces for 'harassment' risk factors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency has policy in place to deter gossip and REDUCE DISTRACTIVE COMMUNICATION BEHAVIORS during work hours that may run the risk of harassing or retaliatory incidents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A policy to deter gossip and reduce distracting communication behaviors that may lead to harassing or retaliatory incidents is part of the agency's professional STANDARDS OF CONDUCT code.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. EARLY INTERVENTION	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Leadership has assessed harassment risk factors in the last 6 months, and has taken STEPS TO MINIMIZE those risks.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency performs climate/engagement surveys to monitor workplace issues and execute positive intervention as necessary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
As regular practice, managers and supervisors address issues during regularly scheduled meetings with employees, even if the issues are small, and even if they are workplace matters that are not issues of performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

As regular practice, managers and supervisors follow up on workplace issues during 1:1 with an employee until there is resolution of the problem(s).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managers and supervisors are skilled at the proper use of NON-DEFENSIVE COMMUNICATION TECHNIQUES when working with employees and workplace conflict.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency recognizes POSITIVE CONFLICT MANAGEMENT and problem-solving as part of its workplace culture.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency trains its managers and supervisors in PROBLEM-SOLVING best practices.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The elements of a sound RISK MANAGEMENT SYSTEM are reflected in an organized agency risk management plan.		<input type="checkbox"/>	<input type="checkbox"/>
C. SELF-ASSESSMENT	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The EO program performs a SELF-AUDIT of its current equal opportunity program and practices for compliance, on an ANNUAL BASIS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The EO program reviews its ACHIEVEMENTS as part of the annual self-audit, on an annual basis.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A copy of the self-audit is provided to the AGENCY DIRECTOR as requested by the director, in a form most useful to the director.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The EO program audits its CASE MANAGEMENT PRACTICES for compliance, confidentiality, and timeliness, on an annual basis.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency reviews the training competencies and training needs of the EO STAFF on an ANNUAL BASIS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency supports EO personnel in IMPROVEMENT EFFORTS and innovations to the EO program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency legal counsel or representative from the Attorney General's Office IS EQUIPPED WITH THE EXPERTISE TO support EO staff in discrimination, harassment, and retaliation complaints as needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. DISCIPLINE POLICY (HARASSMENT AND RETALIATION)	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Discipline that is prompt, consistent, and PROPORTIONATE TO THE SEVERITY of the harassment is imposed, if harassment is determined to have occurred using the proper standard of determination.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The agency holds accountable mid-level MANAGERS and front-line SUPERVISORS in the prevention and/or resolution of workplace harassment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HANDBOOK POLICY clearly and simply explains the consequences of engaging in conduct unacceptable in the workplace.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Handbook policy clearly and simply describes what unacceptable conduct looks like, USING EXAMPLES that need not be exhaustive.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GOAL IV COMPLAINT PROCESS			
A. INTAKE AND COUNSELING	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
EO personnel mark/stamp all COMPLAINT CORRESPONDENCE as confidential, including email (the use of which is not advised) and external mail envelopes as confidential.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TRAINED EO PERSONNEL determine the validity of a complaint under EO laws within 30 days of the filing of the complaint.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO personnel use a STANDARD INTAKE FORM to document the specific basis and issues involved.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO personnel TIME STAMP or date all interactions with complainant, and record actions taken during the progression of the complaint.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO personnel use a PHONE LOG to document contact during the course of case management.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO personnel REFRAIN FROM USING EMAIL as a method of communication of complaint matters.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO personnel establish DURING INTAKE the manner of relief requested by the complainant that would satisfy the issue(s).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The EO intake counselor ATTEMPTS EARLY RESOLUTION of the issues with the appropriate agency personnel within 30 days of the filing of the complaint.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. TIMELY DISPATCH	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The agency adheres to a timeline for processing discrimination complaints IN COMPLIANCE WITH state and federal requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

EO personnel apprise the agency's rapid response or risk management team of EO complaints WITHOUT DELAY according to written agency protocol.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
No unnecessary documents, work product, or irrelevant materials are placed in an EO complaint file, or work product is removed from the file PRIOR TO CLOSING OR DISMISSING the complaint.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO personnel inform the complainant and the agency of any RELEVANT DELAYS in the timeline for processing a complaint, and provide a reason for those delays, with written notice to the file.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. IMPARTIAL INVESTIGATION	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The EO program UTILIZES well-trained, objective, and neutral investigators.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency has an investigation process that PROTECTS THE PRIVACY of individuals who file complaints or reports, individuals who provide information during the investigation, and person(s) alleged to have engaged in harassment, to the greatest extent possible.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency provides a statement in writing to complainants that any information gathered as part of an investigation will be kept confidential to the extent possible consistent with a thorough and impartial investigation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO investigators document all steps taken from the point of first contact and prepare a FINAL WRITTEN REPORT using standard guidelines to weigh credibility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO investigators ARE TRAINED to impartially weigh the credibility of persons interviewed as part of an EO investigation.			
During the pendency of an investigation, safeguards are in place to ensure that individuals alleged to have engaged in harassment are not "presumed guilty" and are not "punished" unless and until a complete investigation determines that harassment occurred.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The investigator monitors each case for the potential for or evidence of retaliation, and investigates accordingly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. MAKING DETERMINATIONS	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The agency has established a standard process by which determinations are made using internal investigative findings.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO personnel are skilled at presenting a written summary of findings that reviews the elements of each basis of discrimination claimed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

EO personnel refrain from providing written determinations, unless required by agency leadership.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency issues a determination within 60 days of the completion of the EO investigation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Micro/small agencies have on file a standard operating procedure that outlines how determinations are made by Shared Services in the normal course of Shared Services' internal investigative process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GOAL V CONFLICT MANAGEMENT			
A. INTERPERSONAL COMMUNICATION SKILLS	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The EO Liaison is skilled in active listening.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The EO Liaison functions as a skillful fact-finder, and recognizes fact from assumptions, and opinions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The EO Liaison uses questions skillfully to produce the most precise, comprehensive, and relevant information possible.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The EO Liaison is skilled at using summarization, paraphrasing, and reflection as positive communication tools.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. REASONABLE ACCOMMODATION	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Early planning is performed to minimize the negative effects agency renovations or office moves may have on accommodated employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency commits the time, resources, and funding needed to ensure employees have access to training and information in the area of reasonable accommodation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managers and supervisors are explicitly trained to work with reasonable accommodation requests.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A reasonable accommodation log is used with each employee who makes an accommodation request.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The agency reviews and analyzes accommodation decisions to track trends and issues so to ensure compliance with agency policy and law.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supervisors and managers use EO personnel to assist in the processing of reasonable accommodation requests.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Micro/small agency supervisors/managers use Shared Services Consultants to assist in processing reasonable accommodation reviews.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. FILE AND RECORD MANAGEMENT	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Agency EO personnel follows the agency's record retention schedule in the management of EO case files.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If electronic file management is performed, agency EO personnel create a secured access electronic file for each EO complaint and ALL relevant documents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If paper file management is performed, agency EO personnel create a secured access hard copy file of each EO complaint and ALL relevant documents, which remain in a locked file drawer or equivalent location.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
UNTIL AND UNLESS directed otherwise by the agency, EO files are treated as private and confidential.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any external request for a copy of, or review of, an EO file requires permission from the appropriate agency head.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO personnel follow agency protocol for ALL public information requests.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All stages of an internal complaint process are properly memorialized in writing, using standard tools, forms, and language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complaint files are formally opened, dismissed, and closed in writing by the appropriate EO personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. CONFLICT RESOLUTION	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The EO Liaison uses the EO complaint Intake/Counseling process to offer parties the opportunity for early, informal resolution of the issues involved.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency uses mediation as an early informal dispute resolution tool.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency provides clear PROTOCOL for employees who need HR/ER/EO assistance addressing workplace issues WITHOUT the fear of retaliation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The agency provides a SAFE ZONE for employees to seek assistance from HR/ER/EO personnel to deal with workplace issues WITHOUT the fear of retaliation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency supervisors/managers are trained in conflict management.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GOAL VI WORKPLACE DIVERSITY			
A. DIVERSITY LEADERSHIP	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The agency's supervisors/managers are trained in diversity leadership.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal barriers to DIVERSITY IN PROMOTION are being addressed as part of the agency's strategic planning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
External partnerships have been forged to create recruitment pipelines that address internal barriers to DIVERSITY IN HIRING.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency recruiters/hiring managers have been included in strategic workforce planning to assist in addressing internal barriers to hiring, promotion and retention.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. CORRECTIVE ACTION AND RETRAINING	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
When concerns for harassment or retaliation arise, involved employees are provided re-training to increase appropriate workplace behavior, as appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
When concerns for discriminatory behavior arises, involved employees are provided re-training to increase appropriate workplace behavior, as appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If and when a formal complaint of discrimination, harassment or retaliation is substantiated, the agency reviews current practice and produces an action plan for corrective action.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
When the agency revises or updates policy or procedure that touches on equal opportunity rights and responsibilities, ALL STAFF are informed in writing.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
As part of change management or agency-wide corrective action, team-building activities are engaged.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managers direct corrective actions for personnel when required, as part of change management and retraining efforts.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Agency protections against retaliation are provided to parties involved in issues surrounding allegations of retaliation that protections against retaliation will be enforced by the agency.			
C. BARRIER ANALYSIS	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
There are sufficient resources, time, and manpower committed to the barrier analysis of, and strategic planning for, the AGENCY'S WORKFORCE.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
There is a reliable data tracking system being used to regularly measure GAPS in parity in hiring, promotion, and retention.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trend analysis is performed annually on the agency's WORKFORCE PROFILE by race/color, national origin, sex, and disability.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency goals or action plans to address workforce barriers are REVISED EVERY YEAR according to new data.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A BARRIER ANALYSIS report has been reviewed in the last 6 months.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A WORKFORCE ANALYSIS report has been reviewed in the last 6 months.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A HIRING SUMMARY report has been reviewed in the last 6 months.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. WORKPLACE CULTURE	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The agency's handbook policy clearly supports DIVERSITY IN THE WORKPLACE.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff engage in TEAM-BUILDING activities as part of internal training and development events.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In its employee SATISFACTION/CLIMATE SURVEYS, the agency assesses the extent to which diversity awareness is experienced in the workplace.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In its employee SATISFACTION/CLIMATE SURVEYS, the agency assesses the extent to which harassment-free work environments are experienced in the workplace.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employees with isolated work environments or work schedules are INCLUDED IN CENTRAL AGENCY WORKPLACE ACTIVITIES when practicable to reduce extended periods of isolation and allow nonlocal workers to connect.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Alternative DISTANCE COMMUNICATION AND TRAINING PROGRAMS are provided for employees in geographically diverse locations to allow satellite employees to better connect, communicate and train.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Agencies have a procedure in place to follow up with all diversity-related complaints or issues.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GOAL VII STAFF RESOURCES			
C. EQUAL OPPORTUNITY RESOURCES	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Sufficient agency staff is allocated for the operation of an effective EO PROGRAM.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel are in the position to be impartial and are able to provide services as a NEUTRAL PARTY.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel have SUFFICIENT AUTHORITY to guide a discrimination complaint from open to close.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The authority, responsibilities, and functions of agency EO personnel are CLEARLY DEFINED IN WRITING.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency FUNDING or other budget neutral opportunities are provided for the training of EO personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. INFORMATION ACCESS	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
Agency EO personnel HAVE ACCESS TO agency policies, rules, and the organization's STRATEGIC PLAN.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Once a complaint has been filed, agency EO personnel have ACCESS TO AGENCY INFORMATION regarding all matters in the complaint.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
There is written protocol that directs how discrimination, harassment, and retaliation complaints ARE ROUTED INTO the agency EO process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
AGENCY EO PERSONNEL ARE INCLUDED in the performance of the agency's strategic planning and policy reviews.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency employees have EASY ACCESS to all necessary EO complaint reporting forms and EO personnel services.			
The agency posts in its public places and on its website(s) the contact information of its EO Liaison/coordinator.			
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E. STAFF TRAINING	Mark the CY2018 performance measure(s)	In place for your agency in CY2017?	Mark the CY2019 Stretch Goal
The last relevant training date of agency EO personnel can be confirmed. DATE EO PERSONNEL WERE TRAINED: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel receive ANNUAL REFRESHER TRAINING to remain current with changes in EO law and best practice.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency EO personnel are RESOURCES REGULARLY USED for agency training and development on topics relevant to equal opportunity and human capital matters.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL staff receives training on the Equal Opportunity RIGHTS AND RESPONSIBILITIES of employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL staff receives ANNUAL TRAINING on workplace harassment prevention and sexual harassment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALL management staff and supervisors receive ANNUAL TRAINING on workplace retaliation prevention.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The agency reviews its training program for systemic barriers that may keep some employees from FULLY PARTICIPATING in training programs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>