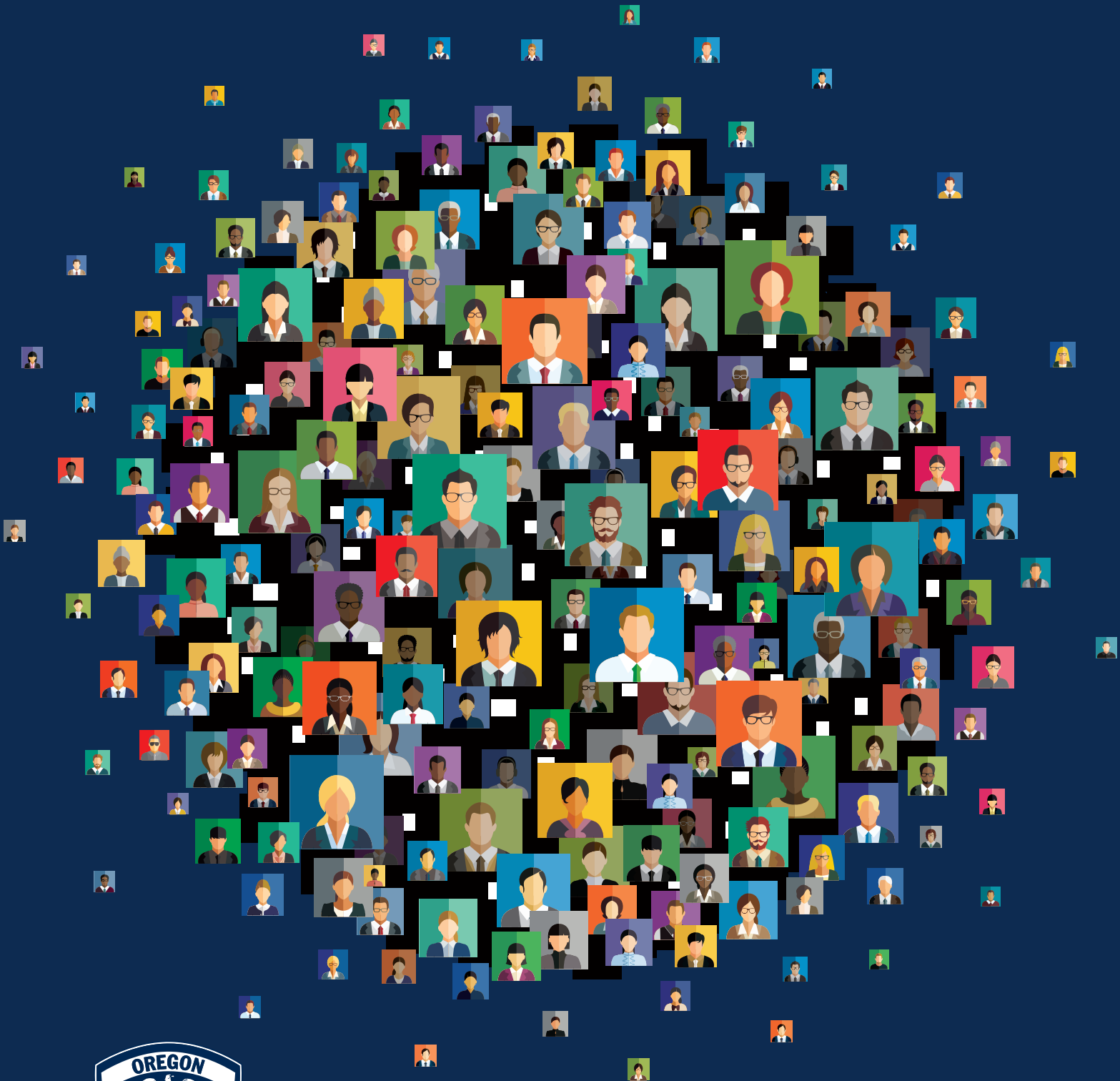


Affirmative Action Plan

2021-2023 Biennium



Oregon Department of Corrections
2575 Center Street NE Salem, OR 97301-4667
Director Colette S. Peters



Oregon

Kate Brown, Governor

Oregon Department of Corrections

Office of the Director
2575 Center Street NE
Salem, OR 97301-4667
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August 9, 2021

Office of Governor Kate Brown
Office of Diversity, Equity and Inclusion/Affirmative Action
900 Court Street NE, Room 254
Salem, OR 97301
503.378.8271(o)

Dear Governor Brown,

The Department of Corrections submits our 21-23 Affirmative Action Plan with great commitment and humility. In the wake of 2020, this work is especially important in the field of criminal justice and our place in the criminal justice spectrum as a corrections agency.

While this plan builds upon previous plans submitted, we want to acknowledge that in many ways we, along with the rest of the State of Oregon, are starting anew in our efforts. Previous efforts have not had the staying-power and transformative effect we owe those we employ and those we serve.

As a sign of our commitment, we have reallocated Agency funding to create two DEI positions in the Agency to build lasting change. In February of this year, we contracted with an organizational change and DEI consultant to establish foundational knowledge and structures needed to engender an agency-wide commitment to DEI. We are having regular and uncomfortable conversations with ourselves and our leadership about how DOC uniquely lines up behind your clear call to rebuild Oregon, post pandemic, in a more equitable way.

This Affirmative Action Plan is not a perfect predictor of our Diversity Equity and Inclusion efforts, for we know they will evolve as our learning and commitment grows. For example, we are eager to employ a more diverse workforce and have set goals in this plan to do so. These goals must be tempered by both the need to absorb employees impacted by two prison closures in 2021 and the understanding that an inclusive workplace culture is required for diverse employees to thrive and contribute. Finally, we will soon revisit our agency Mission, Vision and Core Values with an equity lens, the results of which will evolve our identity for the better.

We look forward to reporting back on our progress.

Sincerely,

Colette S. Peters
Director

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Agency Overview

The Oregon Department of Corrections (DOC) was created by the 64th Legislative Assembly in June 1987 and operates under ORS chapter 423. The Oregon Constitution was amended in November 1996 to say, "Laws for the punishment of crimes shall be founded on these principles: protection of society, personal responsibility, accountability for one's actions and reformation." DOC's mission echoes the Oregon constitution.

The department has custody of adults sentenced to prison for more than 12 months, housing approximately 12,080 in 14 state prisons throughout the state. DOC is recognized nationally among correctional agencies for providing Adults in Custody (AIC) with the cognitive, education, and job skills needed to become productive citizens when they transition back to their communities.

Oregon DOC is unique among prisons systems with its Oregon Accountability Model business strategy and its Oregon Way philosophy that run throughout our Agency's culture. The Oregon Way creates secure and habilitative corrections environments by normalizing and humanizing the conditions to improve outcomes for employees, adults in custody and the community. The Oregon Accountability Model was designed to change criminal behavior – during incarceration and post-prison supervision – using evaluation, education, treatment, work, family engagement, and evidence-based community supervision practices. It begins at the assessment phase during intake and impacts individuals throughout incarceration, reintegration, and community supervision.

DOC is more than just prisons. DOC also provides administrative oversight and funding for the community corrections activities of Oregon's 36 counties. Two of Oregon's counties (Linn and Douglas) are managed and supervised by the DOC. Together, DOC and the counties manage the supervision of offenders in those counties who are subject to jail, parole, post-prison supervision, or probation. DOC's community corrections division provides interstate compact administration and jail inspections, as well as central information and data services regarding felons statewide.

The mission of the Oregon Department of Corrections is to promote public safety by holding offenders accountable for their actions and reducing the risk of future criminal behavior.

Vision

- Valuing Employee Wellness
- Engaging Employees
- Operating Safe Facilities
- Implementing Innovative Business

Core Values

- Integrity and Professionalism
- Dignity and Respect
- Safety and Wellness
- Fact Based Decision Making
- Positive Change
- Honoring Our History
- Stewardship

Key Employees

Colette S. Peters

Director, Oregon Department of Corrections

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Deputy Director, Oregon Department of Corrections

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Assistant Director, Employee Services Division

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Constantin Severe

Public Safety Policy Advisor, Office of the Governor

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Affirmative Action & Diversity Representative Employees

Kelly Raths

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Program Manager, Equity, Inclusion & Organizational Change

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Workday Workforce Analyst

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Toni Payseno

Designated Procurement Officer

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(971) 900-7659



Agency Administration Organizational Chart

August 9, 2021

OFFICE OF THE DIRECTOR Director – Colette S. Peters Deputy Director – Heidi Steward

Executive Assistant
Jessica Freeburn

Oregon Corrections Enterprises
Administrator
Josh Cook

Audits
Administrator
Eli Ritchie

Office of Chief Financial Officer
Chief Financial Officer
Steve Robbins

- Budget Office
- Budget Development and Management
- Long-range Construction Plan
- AIC Financial Services
- Central Trust & Statewide Business Services
- Procurement/ Contracts
- AFAMIS Support
- Accounting

Office of Strategic Communications
Administrator
Rem Nivens

- External Communications
- Internal Communications
- Legislative Relations
- Media Relations
- Public Records
- Strategic Planning
- CORE
- Project Management
- Change Management
- Performance Management
- Process Improvement

Office of the Inspector General
General
Craig Prins

- AIC ADA
- AIC Grievance / Discrimination Complaints
- Hearings
- Intelligence Unit
- Legal Coordination
- PREA
- Special Investigations
- Security/Threat Management Unit
- Rules & Policies
- Research and Evaluation

Operations
Assistant Director
Rob Persson

Eastside Institutions
Administrator
Mark Nooth

DRCI
Superintendent
Randy Gilbertson

EOCI
Superintendent
Sue Washburn

PRCI
Superintendent
Tom McLay

SRCI
Superintendent
Jamie Miller

TRCI
Superintendent
Erin Reyes

WCCF
Acting Superintendent
Brad Cain

Chief of Security
Mike Yoder

Transport
John Lewis

Operations Division
Policy Manager
Kyle Page

Westside Institutions
Administrator
Ken Jeske

CCCF
Superintendent
Nichole Brown

GRCI
Superintendent
Doug Sheppard

SFEC
Superintendent
vacant

OSCI
Superintendent
Josh Highberger

SCI/OSPM
Superintendent
Kimberly Hendricks

OSP
Superintendent
Brandon Kelly

WCCF
Superintendent
Brandon Kelly

SCCI
Acting Superintendent
Julie Martin

Program Management Office
Administrator
Charles Kiewer

Correctional Services
Assistant Director
Nathaline Frener

Correctional Case Management
Administrator
Lisa A. Hall

Education
Administrator
Trade Hightower

Intake
Administrator
Toby Tooley

Offender Information & Sentence Computation
Acting Administrator
Dianne Erickson

Office of Population Management
Administrator
Jamie Breyman

Policy & Business Services
Administrator
Cindy Booth

Reentry & Release
Administrator
Amy Bertrand

Religious & Victim Services
Administrator
Daryl Borello

Health Services
Assistant Director
Joe Bugher

Behavioral Health Services
Administrator
Dannel Meyer

Business Operations
Administrator
Bethany Smith

Dental Services
Chief Dentist
Greg Shook

Medical Services
Administrator
Aimee Hughes

Medical Providers
Chief of Medicine
Warren Roberts

Pharmacy & Medical Stores
Chief Pharmacist
Phil Montgomery

Community Corrections
Assistant Director
Jeremiah Stromberg

- Community Corr. Act
- Evidence-based Practices
- Interstate Compact
- Statewide Services

Community Corrections
Administrator
Larry Bennett

Douglas County
Director
Joseph Garcia

Linn County
Director
Maureen Robb

Employee Services
Assistant Director
Gail Levario

HR Administration
Chief HR Administrator
Buffy Rider

Backgrounds/Class-Comp/Recruitment
Administrator
Teresa Plummer

Employee Relations
Administrator
Vacant

Labor Relations
Administrator
Marty Imhoff

HR Investigations
Administrator
Eric Jaroch

HR Operations
Administrator
Vacant

Professional Development
Administrator
Gary Nimman

Payroll
Administrator
Ken Baldwin

Wellness / Equity
Administrator
Kelly Rath

Administrative Services
Assistant Director
Jim Paul

Facilities & Distribution Services
Administrator
Thom Martin

Information Technology Services
Acting Chief Information Officer
Don Pack

Safety Program
Administrator
Bob Adams

Affirmative Action Policies

Numerous workplace protections, at Agency, State and Federal levels, exist for Department of Corrections Employees of all abilities, backgrounds, and identities. This year we have increased ease of access to protection directives by creating a location on our InfoHub, or Agency intranet, where employees will find a listing and link to these governing resources. The charts listing the three levels of directives, agency, state and federal, can be found in Appendix B of the plan.

Complaint Options

The Department of Corrections outlines much of our complaint review process in [Policy 70.1.4 Investigations](#). The purpose of that policy is to ensure complaints of all forms in our business are managed in an objective, thorough and timely fashion. The policy also outlines how investigations are assigned, be it to Employee Services, the Inspector General, Audits or State Police. DOC is somewhat unique from other State Agencies in our custodial role over criminally sentenced adults. As a result, our Agency has an Inspector General with investigative functions, and we partner regularly with the State Police to review employees conduct.

All DOC employees, contractors, and volunteers are expected to report any conduct which appears to involve illegal activity, mistreatment of adults in custody, sexual misconduct, discrimination, or harassment. Based on such a report, an investigation may be initiated in accordance with the Investigations Policy. Within the Employee Services Division, our Employee Relations unit and HR managers are responsible for complaints related to labor relations, collective bargaining agreements, respectful workplace and harassment, discrimination or hostility based on protected class.

In accordance with current Policy and practice, employees issue any variety of misconduct complaints to their manager, Employee Services, the Functional Unit Manager, Inspector General and Inspector General Hotline or combination thereof. The Investigations Policy requires all these entities to communicate with one another to get the complaint to the proper investigative branch.

While we have a very robust report and response structure for complaints, we do not spell out a unique complaint process for employees who experience workplace harassment, discrimination, hostility or other unprofessional actions related to their protected class. Creation and communication of a specific complaint process for these matters is an identified goal in this Plan for the 2021-23 biennium. We see room for improvement in streamlining and communicating specific processes for our employees managing protected class concerns. We are following closely the DAS response to the [2020 Secretary of State Audit on Investigations of Workplace Discrimination and Harassment](#) and will build our revised complaint process in conjunction with DAS guidance.

Roles for Implementation of Affirmative Action Plan

Director and Deputy Director:

Responsibilities

The Director and Deputy Director are responsible for establishing an Affirmative Action Program, including goals, timetables and compliance with all federal and state laws and regulations. The Director and Deputy Director will report annually to the Governor and the Legislature the agency's progress in meeting its affirmative action goals and objectives. The Director will provide leadership and ensure that the agency is compliant with the American with Disabilities Act and Title VII of the Civil Rights Act.

Duties:

The duties of the Director and Deputy Director shall include, but not be 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 incumbents position description.
- Act, if needed, on complaints of discrimination and discriminatory harassment.
- Issue a statement affirming the department's commitment to affirmative action and equal employment opportunity and ensure that such a statement is disseminated to all employees.
- Ensure and articulate a positive climate throughout the agency concerning the goals of the Affirmative Action Plan, EEO and diversity programs.
- Approve decisions and changes in policies, procedures or physical accommodations as may be needed to implement effective affirmative action in the agency.
- Review the affirmative action plan and provide direction in setting goals.
- Value and actively promote equal employment opportunities and incorporate diversity and inclusion principles in annual business plans, strategic plan, and agency's mission.
- Require that all agency directors, managers, and supervisors include responsibility statements for the support of affirmative action, equal opportunity, diversity, and inclusion in their position descriptions and annual objectives.
- Ensure that division directors understand their work performance is evaluated based on their Affirmative Action Plan efforts and results, in conjunction with other managerial responsibilities.
- Recognize the importance of involvement with other state agencies related to diversity and inclusion and continually funds employee attendance at the Annual Statewide Diversity Conference.

Accountability

The Director is accountable directly to the Governor and indirectly to the community, employees, and the adults in custody.

Executive & Leadership Teams

Responsibilities

Agency Executive and Leadership Team members are responsible for implementing all aspects of the agency Affirmative Action Plan and the agency's commitment to affirmative action and equal opportunity.

Duties

The duties of Executive and Leadership Team members shall include, but not be limited to, the following:

- Identify problem areas and eliminate barriers that inhibit equal employment opportunity within their units and the agency.
- Communicate the equal employment opportunity policies and the affirmative action program and plan to all employees assigned to their units.
- Assist the Affirmative Action Officer in conducting periodic audits of hiring and promotion patterns to remove impediments to attaining affirmative action goals and objectives.
- Discuss diversity, equity and inclusion (DEI) regularly with supervisors and employees to ascertain that the agency's equal employment opportunity policies are being followed.
- Demonstrate and practice a discrimination and harassment free work environment for all employees.
- Promote and foster a positive nondiscriminatory climate and a work environment in which all employees are valued and respected in accordance with state policy and agency values.
- Ensure all new and current employees are aware of the agency, division and units DEI efforts and understands the value of a diverse work force.
- Periodically review training programs, policies, hiring and promotion patterns to remove barriers to achieving the agency's goals.

Accountability

Executive and Leadership Team members are accountable directly to the Director and Deputy Director.

Employee Services Division

Responsibilities

The Employee Relations Leadership Team, which includes the Chief Human Resource Administrator and Employee Relations Administrator, ensures equitable and uniform administration of all personnel policies and is responsible for ensuring timely responses to federal state and agency directives identified in Appendix B. This team assists managers and supervisors in human resources management activities.

Duties

- Provide leadership to Employee Service workforce and agency managers to ensure personnel decision-making processes adhere to equal opportunity and affirmative action principles.
- Provide guidance in the development and utilization of selection criteria to ensure they are objective, uniform, and job related.
- Assist in recruitment and retention of protected class persons and notify managers and supervisors of existing disparities.
- Ensure the appropriate review and follow-up on workplace investigative findings. The Administrator of Equity and Wellness will review all investigation reports related to a discrimination and harassment complaint.
- Review policies, procedures, and practices to address any issues negatively impacting affirmative action.
- Ensure affirmative action goals influence recruitment, hiring, retention and promotion, and hiring managers and supervisors have necessary knowledge and skills to support affirmative action hiring goals.
- Initiate and report on specific program objectives contained in the affirmative action plan.
- Ensure that the reasonable accommodation process is implemented and followed for all employees and applicants in need of reasonable accommodation.

Accountability

Division employees are accountable to the Employee Services Assistant Director to enforce all federal state and agency directives relating to diversity, equity and inclusion.

All Employees Responsibilities

Every employee is responsible to conduct themselves in accordance with all federal, state and agency policies and to support the goals of this plan. Employees are expected to know and support the Code of Conduct and Code of Ethics which require respectful and non-discriminatory conduct. Employees who believe they have been subjected to discrimination or harassment are encouraged to file a complaint in accordance with [the investigations policy 70.1.4.](#)

Duties:

- Promote and foster a positive nondiscriminatory climate and a work environment in which all employees are valued and respected in accordance with state policy and agency values.
- Complete all required DEI and affirmative action trainings.
- Understand and uphold the agency's equity and inclusion strategies and value of a diverse work force.
- Refrain from any actions that would adversely affect a coworker on the basis of their race, sex, color, creed, religion, age, national origin, disability, marital status, familial 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 Director and Deputy Director.

2019-2021 Affirmative Action Plan Progress Report

1. Use DOC's CORE (Correctional Outcomes through Research and Engagement) program. Key measures will be placed on the Agency Scorecard which is reviewed quarterly by the Executive and Leadership Teams.

Completed. Currently still waiting for AGY_OM_6a and AGY_OM_6 to be updated with new ranges. Three other measures are under review.

2. Have a minimum of a 90 percent completion rate from all managers to complete Respectful Workplace training. *[Training Update: "DAS - CHRO - 2020 Preventing Discrimination and Harassment in the Workplace"]*

85.9%

3. All employees will complete Maintaining a Harassment Free and Professional Workplace training with a minimum of 90 percent completion rate from each EEO-4 Category. *[Training Update: "DAS - CHRO - 2020 Preventing Discrimination and Harassment in the Workplace"]*

All Employees 3407 out of 4615 employees. 73.83%

Employee Counts				Percent
EEO-4 Groups	Completed	Not Completed	Grand Total	Completed
Administrative Support	328	102	430	76.3%
Officials and Administrators	151	32	183	82.5%
Paraprofessionals	23	14	37	62.2%
Professionals	808	227	1035	78.1%
Protective Service Workers	1777	641	2418	73.5%
Service	178	131	309	57.6%
Skilled Craft Workers	80	27	107	74.8%
Technicians	62	34	96	64.6%
Grand Total	3407	1208	4615	

4. Complete Preventing Sexual Harassment training with a minimum of a 90 percent completion rate from each EEO-4 Category.

DAS merged these two trainings into one class in 2020. Goal Removed. See above.

5. Increase the diversity of the applicant pools by use of social media.

Status: We post jobs on LinkedIn a couple times a week and once a week on Facebook. Newly hired DEI employees (2) in Employee Services began embedding with our Recruitment Unit in September 2020 to align AA recruitment, hire, retention, and promotion goals with current practices.

6. Increase the number of people with disabilities in all EEO categories.

Status: Slight increase this reporting period.

7. Increase the number of women in the Protective Services Workers EEO category, specifically Correctional Officers, Corporal, and Sergeant Classifications.

Status as of: 7/1/2019 = 406 Employees. 10/20/2020 = 422 Employees. Gain of 16 Employees.

8. Increase the number of women in the Professionals EEO category.

Status as of: 7/1/2019 = 533 employees. 10/20/2020 = 535 Employees. Gain of 2 Employees

9. Increase the number of women in the Skilled Craft Worker EEO category.

Status as of: 7/1/2019 = 1 Employee. 10/20/2020 = 1 Employee. No Gain

10. DEI will provide data to all superintendents and division heads quarterly on the workforce demographics of the employees under their supervision.

Status: Completed

11. DEI will provide timely reports to senior managers informed on current DEI, EEO, and AAP workplace issues and successes.

Status: Completed as needed.

12. Update DOC's policies related to DEI mission and vision.

Status: DEI Mission and Vision were updated in 2020.

Other accomplishments worth noting in addition to goal status.

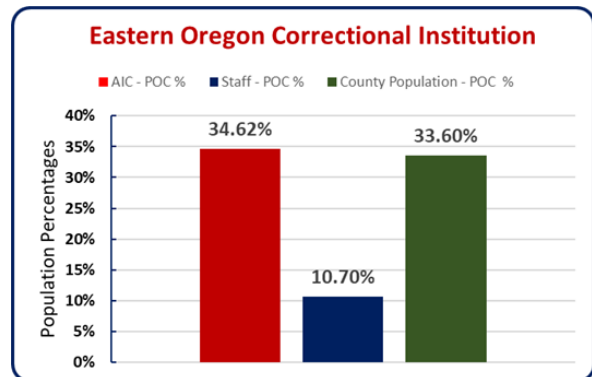
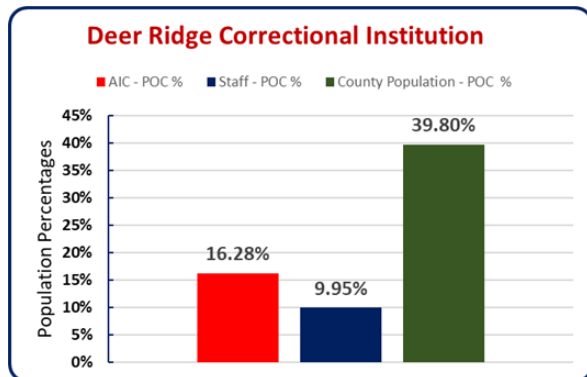
13. Repurposed employee positions to create an Administrator of Equity and Wellness (PEM F) July 1, 2020 and brought a Lieutenant into a job rotation as Program Manager, Equity, Inclusion, & Organizational Change made permanent OP3 April 1, 2021
14. Entered contract with a DEI consultant for six months with the possibility to renew for 18 months total.
15. Executive Team members have all participated in individual DEI coaching interviews and 12+ hours of DEI training in first six months of 2021.
16. DEI readiness survey completed by all Human Resource Managers, Investigators and Employee Services Leadership Team. Employee Services Leadership Team completed four hours DEI training.
17. Implicit Bias Training: Over 700 Correctional Services Employees (health care, counselors, trainers) received four hours of Implicit Bias Training in 2019

Demographic Analysis

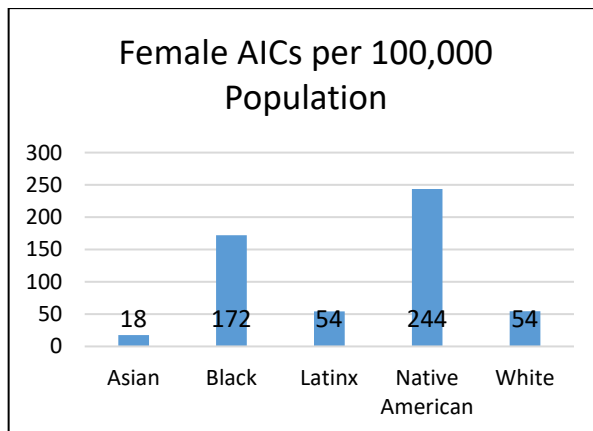
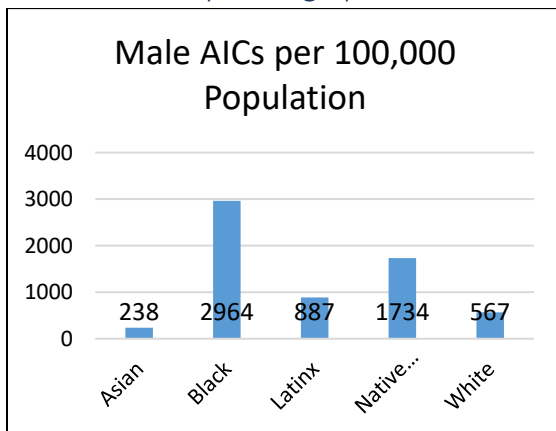
All tables required by the Governor’s Affirmative Action Office can be found in the Appendix A. Below are tables of data we wish to highlight that directly correlate to our goals, outcomes, and measures for the 2021-22 biennia.

ODOC Employee Comparisons to AIC's and Local County Populations

Location Facility	AIC Facility	AIC POC	AIC POC	AIC Under		County	
	Total	Totals	Percentage	Staff POC	Represented	Population	Staff Under
				Percentag	%	POC %	Represented
Coffee Creek Correctional Facility	1316	251	19.1%	18.0%	-1.1%	17.7%	0.3%
Columbia River Correctional Institution	487	131	26.9%	28.0%	1.1%	34.2%	-6.2%
Deer Ridge Correctional Institution	774	126	16.3%	10.0%	-6.3%	39.8%	-29.9%
Eastern Oregon Correctional Institution	1528	529	34.6%	10.7%	-23.9%	33.6%	-22.9%
Mill Creek Correctional Facility	236	63	26.7%	5.9%	-20.8%	34.2%	-28.3%
Oregon State Correctional Institution	757	204	26.9%	20.1%	-6.9%	34.2%	-14.1%
Oregon State Penitentiary	1913	593	31.0%	16.6%	-14.4%	34.2%	-17.6%
Powder River Correctional Facility	296	51	17.2%	11.0%	-6.3%	9.2%	1.8%
Santiam Correctional Institution	353	88	24.9%	17.3%	-7.7%	34.2%	-16.9%
Shutter Creek Correctional Institution	171	19	11.1%	10.1%	-1.0%	14.6%	-4.5%
Snake River Correctional Institution	2910	873	30.0%	16.0%	-14.0%	38.6%	-22.6%
South Fork Forest Camp	184	34	18.5%	13.2%	-5.3%	15.5%	-2.3%
Two Rivers Correctional Institution	1856	616	33.2%	20.8%	-12.4%	33.6%	-12.8%
Warner Creek Correctional Facility	409	97	23.7%	9.6%	-14.1%	15.3%	-5.7%
Totals	13190	3675	27.9%	16.8%	-11.1%		



Adult in Custody Demographic Tables



Affirmative Action Plan

2021–2023 Affirmative Action Goals and Strategies

Issue

Diversity is lacking within DOC at all levels of the workforce.

The Agency is rebooting the DEI conversation in a time of significant social change and can capitalize on the universal conversations about race, identity, and equity.

We get to educate and set our employees up for success and accountability with an urgency we have never had before.

We are not confident our baseline demographics of employees and people in custody accurately reflect self-identity.

Jail sanctions for adults on supervision in the community and reactive uses of force for AIC vary disproportionately by race and ethnicity.

Goals

Goal 1: DOC develops cultural competency and inclusive work environments where leadership throughout the organization enforces expectations of cultural competence.

Goal 2: DOC has organizational structures and investments in place to sustain progress towards equity.

Goal 3: DOC meaningfully engages both employees and AIC who self-identify as marginalized with a particular emphasis on racial identity.

Goal 4: DOC recruits, hires, retains and promotes a diverse workforce.

Outcomes, Measures, Implementation & Strategies

Outcome	Measure	Leads and Resources In addition to Equity Employees
Goal 1: DOC develops cultural competency and inclusive work environments where leadership throughout the organization enforces expectations of cultural competence.		
1.a DOC employees will complete DAS training Preventing Discrimination and Harassment in the Workplace.	90% of managers will complete this training	Professional Development Unit Managers
1.b In 2021, The Office of Equity and Wellness will design a four (4) hour training and capacity to deliver the training to fidelity at every DOC location	Training complete in accordance with Professional Development Unit (PDU) standards for Annual Training Trainers identified and equipped to deliver training by December 31, 2021	Professional Development Unit (PDU) Management at statewide locations to identify and relieve trainers for training
1.c In 2022, all DOC employees will attend a mandatory four (4) hour training on cultural	Percentage of employees completing 4-hour training	PDU Employees Manager and Supervisors for reinforcement and

competence, implicit bias, and anti-racism training.		eliminating barriers to attending training
1.d In two (2) years, DOC will have a specialized and elevated complaint process for employees reporting claims of harassment or hostile work environments based on protected classes.	Complaint process designed, policy written, roles assigned, communication plan executed	Gail Levario AD ES Buffy Rider, Chief of HR All managers All employees
Goal 2: DOC has organizational structures and investments in place to sustain progress towards equity.		
2.a In one (1) year, all DOC employees will know how and be encouraged to accurately self-report demographic data in their Workday profile.	Communication plan executed	Communications Office Workday Leads
2.b In two (2) years, DOC will have an accessible method for Adult in Custody (AIC) to self-report demographic data like REALD collected by OHA/DHS.	Interdisciplinary workgroup established with charter, scope and timelines	Interdisciplinary Workgroup Adults in Custody
2.c In two (2) years, DOC will achieve compliance with Executive Order 08-18 requirement that all managers demonstrate support of the Affirmative Action Plan goals and accountability measures will be in place.	Through Workday we can track what managers done to demonstrate support of the Affirmative Action Plan	Buffy Rider All Managers
Goal 3: DOC meaningfully engages both employees and adults in custody who self-identify as marginalized with a particular emphasis on racial identity.		
3.a In one (1) year, DOC will complete an anonymous workplace assessment of DEI attitudes, knowledge, and experiences. Survey results will inform training and strategic planning.	Survey instrument/vendor identified Strategy for employee completion of survey finalized and executed	Gail Levario Research Unit Communications Unit Vendor?
3.b In two (2) years, DOC will develop an Equity Strategic Plan	Quantify numbers of employees who participate in creating and providing feedback on the plan Plan is created Communications Plan is designed and executed to communicate	Executive Team Leadership Team Managers Represented Employees Adults in Custody
3.c In two (2) years, DOC will establish an Equity Council with clear role, scope and expectations.	Research best practices for establishing an Equity Council Create clear scope, roles, expectations	Managers supportive of selected members

	Execute recruitment process	
3.d In two (2) years, DOC will have policy for supporting employee resource groups related to shared affinities	Workgroup established Policy written and approved	Buffy Rider Workgroup Manager support
Goal 4: DOC recruits, hires, retains and promotes a diverse workforce.		
4.a In the next two (2) years, DOC will make measurable progress (10% improvement) in workforce racial and ethnic diversity at:		
4.a.i Eastern Oregon Correctional Institution (EOCI)	Percentage change from baseline	Recruitment EOCI managers and employees
4.a.ii Deer Ridge Correctional Institution (DRCI)	Percentage change from baseline	Recruitment DRCI managers and employees
4.b • In the next two (2) years, we will make measurable progress (10% improvement) in workforce gender diversity at:		
4.b.i Hire more non-male employees in Security Classifications	Increase by 10% from 17.09% to 27.09% or higher.	Recruitment Security Hiring Managers
4.b.ii Hire more non-male employees at CCCF	Increase by 10% from 44.42% to 54.42%	Recruitment CCCF Hiring Managers
4.c In two (2) years, DOC will standardize three (3) new DEI practices into the newly revised recruit and hire standards.	Identify DEI recruitment best practices to select from Select and implement three practices Quality assurance	Recruitment Hiring managers

Management

Leadership Evaluation

The Department of Corrections has not complied in a trackable way with the affirmative action evaluation of management as required in ORS 659A.012. We have a plan to comply and have set it as an Agency goal with strategies. On November 2, 2020, we welcomed to DOC Buffy Rider as Human Resources Chief Administrator. Ms. Rider held this same role for Oregon Health Authority where they had a system in place for compliance with this performance evaluation. The Administrator of Equity and Wellness will be partnering with Ms. Rider to implement this provision. Current best thinking is to formally include questions about supporting affirmative action goals as part of TOMP quarterly evaluations.

Succession Plan

In July 2020, DOC Chief Audit Executive Eli Richie created a Succession Planning consultation agreement with Deputy Director Heidi Steward and Gail Levario, Assistant Director of Employee Services. The agreement points to the September 2017 SOS Audit of DAS succession planning structures. As of now, DOC has not developed a formal succession planning process, but possesses most of the elements DAS has identified that would make up such a plan. Through the consultation we have conducted a gap analysis of current DOC programs, documents, resources, and policies in relation to DAS guidance on succession planning. We are now strategizing around closing identified gaps that include identification and planning of critical positions; exit interviews and knowledge transfer; and developing promotion skills.

A copy of that consultation agreement can be found in Appendix C.

Appendix A Affirmative Action Data for the Department of Corrections

Agency Director by Racial Category and Gender.

Racial Categories	Female	Male
American Indian/Alaska Native		
Asian		
Black/African American		
Hispanic		
Native Hawaiian/Other Pacific Islander		
Two Or More Races		
White	1	
Totals	1	0

Agency Executives by Racial Categories & Gender.

Racial Category	Female	Male	All	Pct.
American Indian/Alaska Native			0	0.00%
Asian			0	0.00%
Black/African American			0	0.00%
Hispanic			0	0.00%
Native Hawaiian/Other Pacific Islander			0	0.00%
Two Or More Races			0	0.00%
White	3	7	10	100.00%
Totals	3	7	10	

Agency Executives by Reported Disability & Veteran's Status, and Racial Categories.

Racial Category	Female			Male		
	Disability Reported	Veteran	All	Disability Reported	Veteran	All
American Indian/Alaska Native			0			0
Asian			0			0
Black/African American			0			0
Hispanic			0			0
Native Hawaiian/Other Pacific Islander			0			0
Two Or More Races			0			0
White		1	1			0
Totals	0	1	1	0	0	0

Agency Management by Racial Categories & Gender.

Racial Category	Female	Male	All	Pct.
American Indian/Alaska Native	3	3	6	1.28%
Asian	5	3	8	1.71%
Black/African American	4	10	14	2.99%
Hispanic	7	9	16	3.41%
Native Hawaiian/Other Pacific Islander	1	1	2	0.43%
Two Or More Races	4	5	9	1.92%
White	166	248	414	88.27%
Totals	190	279	469	

Agency Management by Race & Gender.

Race	Female	Male	All	Pct.
POC	24	31	55	100.00%
White	166	248	414	100.00%
Totals	190	279	469	

Agency Management by Reported Disability & Veteran's Status, and Racial Categories.

Racial Category	Female			Male		
	Disability Reported	Veteran	All	Disability Reported	Veteran	All
American Indian/Alaska Native	1		1		1	1
Asian			0		1	1
Black/African American		2	2		2	2
Hispanic	1		1		2	2
Native Hawaiian/Other Pacific Islander			0			0
Two Or More Races			0		2	2
White	3	6	9	5	71	76
Totals	5	8	13	5	79	84

Agency Management by Reported Disability & Veteran's Status, & Gender.

Gender	Reported Disability	Pct.	Veteran	Pct.
Female	5	50.00%	8	9.20%
Male	5	50.00%	79	90.80%
Totals	10		87	

Agency Management by Racial Categories and Gender from 2016-2020.

Racial Categories	Percent Change by Year										5 Year Change	
	2016		2017		2018		2019		2020		2016-2020	
	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male
American Indian/Alaska Native	4	9	50.0%	33.3%	150.0%	100.0%	33.3%	133.3%	300.0%	75.0%	75.0%	33.3%
Asian	1	9	50.0%	33.3%	150.0%	100.0%	33.3%	133.3%	300.0%	75.0%	75.0%	33.3%
Black/African American	4	8	200.0%	55.6%	150.0%	100.0%	66.7%	60.0%	150.0%	133.3%	300.0%	44.4%
Hispanic	7	15	50.0%	125.0%	150.0%	80.0%	166.7%	62.5%	100.0%	180.0%	125.0%	112.5%
Native Hawaiian/Other Pacific Islander	0	0	114.3%	86.7%	100.0%	115.4%	75.0%	53.3%	100.0%	112.5%	85.7%	60.0%
Two Or More Races	0	0	NA	NA	100.0%	50.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
White	208	294	102.9%	97.6%	125.0%	83.3%	80.0%	100.0%	100.0%	100.0%	82.7%	88.4%
Totals	224	335										
Total Percentage												

Agency Workforce by Racial Category and Gender

Racial Categories	Female	Male	All	Pct.
American Indian/Alaska Native	25	40	65	1.42%
Asian	35	50	85	1.85%
Black/African American	32	53	85	1.85%
Hispanic	126	289	415	9.04%
Native Hawaiian/Other Pacific Islander	6	11	17	0.37%
Two Or More Races	35	55	90	1.96%
White	1333	2503	3836	83.52%
Agency Totals	1592	3001	4593	

Agency Workforce by Race and Gender

Race	Female	Male	All	Pct.
POC	259	498	757	100.00%
White	1333	2503	3836	100.00%
Agency Total	1592	3001	4593	

Agency Workforce by Reported Disability & Veteran's Status, and Racial Categories.

Racial Categories	Female			Male		
	Reported Disability	Veteran	All	Disability Reported	Veteran	All
American Indian/Alaska Native	1	1	2		6	6
Asian		2	2		9	9
Black/African American		2	2	2	12	14
Hispanic	1	3	4	2	33	35
Native Hawaiian/Other Pacific Islander			0		1	1
Two Or More Races		2	2	5	15	20
White	13	52	65	32	522	554
Agency Totals	15	62	77	41	598	639

Agency Workforce by Reported Disability & Veteran's Status, & Gender

Gender	Reported Disability	Pct.	Veteran	Pct
Female	15	19.48%	41	6.42%
Male	62	80.52%	598	93.58%
Agency Totals	77		639	

Agency Executive Promotions by Racial Categories & Gender

Racial Categories	Female			Male			All
	Reported Disability	Veterans	Agency Workforce	Reported Disability	Veterans	Agency Workforce	Agency Workforce
American Indian/Alaska Native			0			0	0
Asian			0			0	0
Black/African American			0			0	0
Hispanic			0			0	0
Native Hawaiian/Other Pacific Islander			0			0	0
Two Or More Races			0			0	0
White		1	1			0	1
Agency Totals	0	1	1	0	0	0	1

Workforce Comparisons from 2016-2020

Racial Category	Workforce Changes by Year										5 Year Change	
	2016		2017		2018		2019		2020		2016-2020	
	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male
American Indian/Alaska Native	21	38	-5.0%	-31.0%	-11.1%	-3.6%	21.7%	22.2%	8.0%	5.3%	16.0%	0.0%
Asian	38	53	-8.6%	-8.2%	7.9%	5.8%	-8.6%	-15.6%	-6.1%	11.8%	-15.2%	-3.9%
Black/African American	36	58	-28.6%	-11.5%	0.0%	-15.6%	3.4%	2.2%	-3.6%	4.2%	-28.6%	-20.8%
Hispanic	106	218	0.0%	0.5%	3.6%	3.9%	1.8%	7.7%	3.4%	9.9%	8.6%	20.4%
Native Hawaiian/Other Pacific Islander	0	0	100.0%	100.0%	20.0%	0.0%	16.7%	72.7%	14.3%	8.3%	42.9%	75.0%
Two Or More Races	0	0	100.0%	100.0%	14.3%	4.9%	27.6%	18.0%	14.7%	9.1%	47.1%	29.1%
White	1347	2616	1.7%	0.1%	-0.9%	-1.0%	-1.0%	-1.3%	-2.0%	-1.1%	-2.1%	-3.3%
Percentage												
Totals			NO DATA REQUIRED IN THESE CELLS									

Gender Changes by Year

Category	Year					
	2016	2017	2018	2019	2020	2016-2020
Female	1548	2.1%	-0.2%	0.1%	-1.1%	0.9%
Male	2983	0.9%	-0.6%	0.1%	0.5%	0.9%

Veterans Status Changes by Year

Category	Year					
	2016	2017	2018	2019	2020	2016-2020
Veterans	559	6.68%	2.28%	0.97%	2.98%	12.38%

Reported Disability Changes by Year

Category	Year					
	2016	2017	2018	2019	2020	2016-2020
Reported Disability	46	23.33%	-20.00%	18.03%	-1.67%	23.33%

Out-of-Class Assignments by Racial Categories & Gender

Racial Categories	Female			Male		
	Reported Disability	Veterans	Remaining Workforce	Reported Disability	Veterans	Remaining Workforce
American Indian/Alaska Native						2
Asian			1			
Black/African American			1			1
Hispanic			2	1	1	3
Native Hawaiian/Other Pacific Islander			1			
Two Or More Races			2			1
White	1	2	56	2	15	45
Agency Totals	1	2	63	3	16	52

Bi-Lingual Pay Differentials by Racial Categories & Gender

Racial Categories	Female			Male		
	Reported Disability	Veterans	Remaining Workforce	Reported Disability	Veterans	Remaining Workforce
American Indian/Alaska Native			1			
Asian			1	1		3
Black/African American						
Hispanic			38	1	10	38
Native Hawaiian/Other Pacific Islander						
Two Or More Races			1			2
White			12		2	10
Agency Totals	0	0	53	1	13	53

Teleworking During COVID-19 Pandemic by Racial Categories & Gender

Racial Categories	Female			Male		
	Reported Disability	Veterans	Remaining Workforce	Reported Disability	Veterans	Remaining Workforce
American Indian/Alaska Native	1	1	1			3
Asian			10			4
Black/African American		1	7			1
Hispanic		1	12	1		5
Native Hawaiian/Other Pacific Islander			3			1
Two Or More Races			5		1	3
White	5	8	234	5	37	123
Agency Totals	6	11	272	6	38	140

Appendix B Policies (Agency, State, Federal)

Department of Corrections Directives		
Directive	Name	Where to find it
10.1.8	Diversity and Inclusion	https://www.oregon.gov/doc/rules-and-policies/Documents/10-1-8.pdf
20.4.1	Equal Employment Opportunity and Affirmation Action	https://www.oregon.gov/doc/rules-and-policies/Documents/20-4-1.pdf
20.5.16	ADA and Reasonable Accommodation	https://www.oregon.gov/doc/rules-and-policies/Documents/20-5-16.pdf
20.6.14	Violence - Free Workplace	https://www.oregon.gov/doc/rules-and-policies/Documents/20-6-14.pdf
20.1.2	Code of Ethics	https://www.oregon.gov/doc/rules-and-policies/Documents/20-1-2.pdf
20.1.3	Code of Conduct	https://www.oregon.gov/doc/rules-and-policies/Documents/20-1-3.pdf
70.1.4	Investigations	https://www.oregon.gov/doc/rules-and-policies/Documents/70-1-4.pdf
	Social Media Usage	Forthcoming

State of Oregon Directives		
Directive	Name	Where to find it
DAS 50.020.10	ADA Reasonable Accommodation Policy and Procedure	https://www.oregon.gov/das/Policies/50-020-10.pdf
DAS 50.010.10	Discrimination and Harassment-Free Workplace Policy	https://www.oregon.gov/das/Policies/50-010-01.pdf
DAS 50.045.01	Employee Development and Implementation of Oregon Benchmarks for Workforce Development	https://www.oregon.gov/das/Policies/50-045-01.pdf
DAS 40.055.03	Veterans' Preference in Employment	https://www.oregon.gov/das/Policies/40-055-03.pdf
OAR 105-040-0001	Equal Opportunity and Affirmative Action Rule	https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=45
Executive Order 17-11	Relating to Affirmative Action, Equal Employment Opportunity, Diversity, Equity, and Inclusion	https://www.oregon.gov/gov/Documents/executive_orders/eo_17-11.pdf

Federal Directives

Directive	Name	Where to find it
29 U.S.C. § 621	Age Discrimination in Employment Act of 1967	www.eeoc.gov/laws/statutes/adea.cfm
42 USC § 12101	Disability Discrimination Act Title I of the Americans with Disabilities Act of 1990	www.ada.gov/pubs/adastatute08.htm
29 U.S.C. § 206	Equal Pay and Compensation Discrimination Equal Pay Act of 1963	www.eeoc.gov/laws/statutes/epa.cfm
42 USC § 2000e	Title VII of Civil Rights Act 1964 <ul style="list-style-type: none"> • Equal Pay Discrimination • Sexual Harassment Discrimination • National Origin Discrimination • Pregnancy Discrimination • Race/Color Discrimination • Religious Discrimination • Retaliation Discrimination • Sex-based Discrimination 	www.eeoc.gov/laws/statutes/titlevii.cfm
42 USC § 2000FF	Title II of Genetic Information Nondiscrimination Act of 2008	www.eeoc.gov/laws/statutes/gina.cfm
Executive Order 11246	Equal Employment Opportunity	https://www.dol.gov/agencies/ofccp/executive-order-11246/ca-11246

Appendix C Succession Plan

To: Gail Levario, DOC Assistant Director of HR; Heidi Steward, DOC Deputy Director

From: Eli Ritchie, DOC Chief Audit Executive

Re: Consultation Agreement: DOC Succession Planning

Date: 7/29/2020

Hello Gail and Heidi,

Earlier this summer, Gail and I discussed Internal Audit's potential involvement in assessing DOC's current state regarding succession planning and potential areas of growth. This project appears to fit better as a consulting engagement rather than an audit, given its small scope and risk profile.

This memo details the scope and objectives of the proposed consulting engagement, provides an initial estimate of resources required, and describes how this consultation meets professional standards followed by DOC Internal Audit.

Background

In September 2017, the Secretary of State Audits Division published a performance audit report of DAS on statewide succession planning efforts. The audit found DAS should enhance statewide succession planning to address workforce risks and challenges.

While DOC was not an auditee, we were selected as part of the sample of agencies to provide information on current practices as part of the evaluation of DAS. DOC did not have a formal succession planning process or agency-wide plan, but provided auditors with a variety of related documentation, such as the strategic plan, professional development and training materials and policies, management and leadership resources, recruitment processes, and HR performance measures. As of now, DOC has not developed a formal succession planning process or plan but continues to maintain many of the elements which would comprise such a plan.

In response to the audit recommendations, DAS has developed guidelines and resources to assist state agency succession planning efforts, and a process to monitor and assess those efforts. Recently, DAS requested an update from agencies on succession planning efforts in the form of a survey, a process that is likely to be repeated in the future. Given current HR workforce capacity and priorities, it appears Internal Audit may be able to assist HR and provide value to the agency performing work in this area.

Scope and Objectives

The objective of this engagement is to compare DAS guidance on succession planning elements to currently available DOC programs, documents, resources, and policies to identify gaps in succession planning efforts and make recommendations for improvement. As succession-planning is an agency-wide effort, requests and recommendations may be directed to HR, other divisions, or to the Executive Team for consideration.

Internal audit will rely on the audit findings and DAS materials as criteria for the elements of succession plans rather than perform significant research into expected practices in this field, in order to avoid duplication of work and provide timely assistance to management.

Internal Audit Resource Requirements

Chief Audit Executive Eli Ritchie will participate in this engagement. The consulting engagement is anticipated to conclude in the late summer or early fall of 2020.

Standards

Internal Auditing Standards allow for internal auditors to engage in consultations at the request of management that are not audits in nature, but they must refrain from assuming the role of management in doing so to preserve independence and role clarity. My analysis of the requested consultation is that DOC Internal Audit would be providing advice, expertise, and assurance to a new process, then handing responsibility for continuous monitoring and improvement off to management at the end of the proposed monitoring period, thereby not assuming management’s responsibility.

Approval

Please indicate your approval of the terms, scope and objective of this engagement by email.

Elements of Succession Plan:

Area	Element	DOC
Strategy	Mission	DOC Policy 20.1.1 The mission of the Oregon Department of Corrections is to promote public safety by holding offenders accountable for their actions and reducing the risk of future criminal behavior
	Vision	DOC Policy 20.1.1 Valuing employee wellness, engaging employees, operating safe facilities, implementing innovative business practices, preparing offenders for re-entry, and partnering with our stakeholders
	Values	DOC Policy 20.1.1 Integrity and professionalism; dignity and respect; safety and wellness; fact-based decision making; positive change; honoring our history; stewardship
	Strategic Plan	Destination 2026 People and skills: staff pride in working for the agency, public value of the work, attracting and retaining a diverse and excellent workforce, providing world class training, active employee engagement

		Employee Wellness Respect culture Strategic Initiatives: Workforce planning, developing managers, developing leaders phase II and III DEI and Affirmative Action Plan
	Branding strategy	Style guide Destination 2026 posters
Critical Positions	Identification of Strategic positions with necessary planning	
	Competencies for identified positions	Manager Competencies
Data	Retirement Data	Quarterly Report and Other Reports
	Other vacancy data	Turnover Report Vacancy Report
Budget	Staffing level planning and post factor	Post factor Institution staffing system Budget process
	Pay and classification	Merit Pay System 20.2.1, see CHRO 20.005.05 Pay Practices and Differentials – 20.2.2, see CHRO 20.005.10 and 20.005.11 Position management and reclassification 20.3.2
Recruitment	Recruitment plan	DPSST Medical Section Guidelines Essential Functions of Certifiable Positions in CO Class 20.1.5 Recruitment and selection process 20.4.5 School to work 20.4.13 Recruitment Guide Document Multiple CORE measures Leadership Fair Recruitment Questions
	MQ and position description review	PD Review at initiation of hiring process
	Hiring process	Recruitment guide: planning and job analysis, PD update, Announcement and recruitment, short list, assessment,
	Pay equity	Equal employment opportunity and affirmative action 20.4.1
	Background	HR Background investigation unit LEDs Applicants with prior convictions 20.4.2 CORE: background investigations completed timely
	Diversity and Inclusion	19-21 Affirmative Action Plan ADA and Reasonable Accommodation 20.5.16 Discrimination and Harassment free-workplace DAS policy 50-010-01

		CORE: female COs, Ethnic diversity, training, discrimination and harassment discipline, DEI manager training Labor Agreements
Onboarding	Entrance survey	
	Orientation	BCC – basic corrections course New Employee Orientation CORE Measures SP1.2
	Mentoring	Field Training Officers
	Trial service	Trial Service 20.4.7 Labor Agreement CORE SP1c
Employee Management and Development	Performance measurement and management	Code of Ethics 20.1.2 Code of Conduct 20.1.3
	Expectation for direct management by supervisor	Participatory work environment 20.5.1
	Career planning and development	Performance Planning 20.5.3
	Ongoing training	Professional Development Training 20.7.1 Annual training Annual training CORE SP1.2 Annual certified staff required training (DPSST)
	Specialized training	
	Credentialing and further education	
	Management and leadership training	CMD – 100% new managers (D2026)
	Rotations	Job Rotation 20.5.5 Alternate Methods of filling positions 20.4.11 Labor Agreements – Job Sharing
	Employee Engagement and Wellness	Wellness Policy 20.6.18 Wellness surveys and research 8 dimensions of wellness Employee assistance programs Newsletters Events calendar Wellness plan CORE SP1.3
	Alternative work schedules	Telework 20.5.6 Labor Agreements
Promotion	Interview training	
	Resume writing	
	Leadership	DOC Leadership Philosophy and Attributes
	Interview and hiring process	Recruitment plan Labor Agreements

Separation	Resignation	Labor Agreements
	Retirement	Labor Agreements
	Transfer	Transfer 20.4.12 Hardship Transfer 20.4.14 Relocation Allowance 20.2.6
	Removal	Code of Ethics 20.1.2 Code of Conduct 20.1.3 Management service layoff/removal 20.5.7 Labor Agreements
	Knowledge Transfer	
	Exit Survey	Noted in Affirmative action plan, needs follow up DAS exit survey? Low participation rate as of AA Plan