

AASHTO Subcommittee on Personnel and Human Resources 2017 Annual Meeting

May 7-9, 2017

Mystic, Connecticut

“Building HR Bridges”

Welcome

Emily Elliott, Subcommittee Chair, Virginia DOT, opened the meeting with “good morning” and “welcome.” Vicki Aprin, Connecticut DOT, also thanked the attendees for coming and introduced Commissioner James Redeker.

Connecticut DOT Welcome

Commissioner James Redeker welcomed attendees to Connecticut and provided a brief background of his work history which included being retired from New Jersey Transit. When he was interviewed for the DOT Commissioner position, the Governor asked him two interview questions: “How old are you?” and “How long are you going to be here?” There had been huge turnover in the Commissioner position and the Governor needed stability. Redeker has been in the position five years now. He provided some interesting facts about the State of Connecticut, including but not limited to the following:

- The Connecticut state song is Yankee Doodle.
- Connecticut was the first state to have a Constitution.
- Connecticut had the first nuclear submarine.
- Connecticut had the first female Governor.
- Connecticut had the first speed limit law, which was 12 miles per hour.
- Connecticut had the first Department of Transportation, which will soon be 125 years old.
- Connecticut had the first traitor, who was Benedict Arnold.

Connecticut – Let’s Go CT and CT’s Transportation Future

Commissioner Redeker also showed a video about Connecticut DOT, its highway and transit systems, and its recent accomplishments which are numerous.

- Connecticut DOT is tenth in the nation in terms of assets/systems; it is a completely multi-modal DOT with two authorities: air and port.
- Connecticut DOT has 21,500 miles of state and local roads, 9800 state highways, 50 maintenance garages, and 630 plow trucks.
- There are 85 million vehicle miles traveled per day in Connecticut.
- There are 24 rail locomotives and 448 rail coaches.
- There are 1100 transit buses with 40 million bus passengers per year.
- They have implemented an accelerated bridge construction program.
- They have the busiest rail system in the country.
- They have double plowing capacity.
- The Fast Track transit system was built half on abandoned railroads and half they share with Amtrak.
- There were significant public relations challenges, particularly when the former Governor bashed the program publicly, but two years later, there are 22,000 people per day using the system which is considered a huge success.
- They have also paved most of the state in five to six years.
- They have new snow and ice removal equipment.
- They are planting pollinator corridors for bees.
- They finished the \$300 million I-84 widening project one year ahead of schedule.

- There are multiple other projects they have completed in recent years including several major bridge replacement projects.
- There are 68 million new rail riders, and complaints are at an all-time low.
- Rail safety is the top priority, and they have the safest system in the country.
- They replaced all rail cars, and service starts in 2018 for the Hartford Rail Line.
- There are also new buses with real-time technology and automatic fare payment using smart cards. Users get discounts based on usage.
- The UPASS program is \$20 per semester for unlimited rides for college students.
- They have new bus maintenance facilities.
- Let's Go CT includes a \$100 million pedestrian/bike trails and bike safety program.
- Every highway widening program includes wide shoulders for bikes and pedestrians.
- For organizational efficiency, they are advocates of the LEAN program.
- There was organizational resistance to change, but they have completed 33 exercises so far and are providing better, faster service for the customers by expediting project delivery.
- Some of the enterprise teams include: accelerate highway maintenance and rehabilitation, accelerate bridge construction, mega projects strategy, project performance metrics, technology needs and support, streamline contracts, etc.
- Let's Go CT is a 30-year, \$100 billion program designed to address operations, maintenance, enhancements and expansion.
- The Governor's second term was all about transportation. He said, "We cannot afford to repeat history. We must plan for the future, not just fix existing problems."
- Thirty-five percent of the bridges are structurally obsolete or structurally deficient.
- Forty-one percent of all roads are in poor condition.
- They have a "Best in Class" vision. It's about the economy. It's about smart growth, sustainability and livability.
- They use state funds for design, and use state and federal funds for construction which is faster, more efficient, and stretches the dollars farther.
- They have no more people than they had before (actually fewer), but they have a bus stop within half a mile of every home in the State of Connecticut.
- They are facing the end of transportation funding as they know it. The legislature is threatening to cut funding, and general funding is in a state of free fall. This makes the DOT a target, which is a significant challenge.

Commissioner Redeker ended his presentation by thanking the members of the subcommittee for what they do, and said, "Everything that happens at the DOT begins and ends with HR."

Introductions

Subcommittee Chair Emily Elliott advised attendees of the theme for this year's meeting, "Building HR Bridges," and reminded them that information sharing is the most important part of this conference. She asked each person to introduce themselves by giving their name, state, and one subject people should ask them about. The following were the responses:

- Ndumba Lutanga, District of Columbia, career paths
- Brenda Williams, Idaho, horizontal career paths particularly for professional engineers and snow plow operators and foremen
- Amanda Holland, Alaska, workforce development, morale and motivation
- Deborah McQuesten, Rhode Island, new performance metrics, revising job specifications for maintenance

- Kristen Bagwill, Missouri, employee development program
- Jeff Heck, Illinois, expedited hiring
- Susan Rafferty, Colorado, peer support for first responders
- Rontreal Tyler, South Carolina, classification and compensation
- Denise Schwab, Kansas, high turnover, lack of succession planning, no raises since 2009
- Wayne Gammell, Vermont, knowledge transfer, snow plow operators working 20+ hours
- Christine Hetzel, Vermont, change management and LMS
- Tom Jackson, Hawaii, medical marijuana
- Crystal Woods, Arkansas, performance based pay
- Lamar "Bubba" Woodham, Alabama, leadership development
- Steve Dukes, Alabama, under consent decree for 15 years, no hiring/promotions unless court ordered/approved
- Todd Sadler, Iowa, union eliminated except for wages, moving to performance based pay
- Linda Anderson, Iowa, consolidating hiring to HR, six staffing coordinators across the state
- Becky Greene, Maine, recruitment/retention, problems getting applicants for maintenance supervisor positions
- Dana Kilpatrick, Georgia, 10-year succession planning program, management development program
- Victoria (Tori) Kliner, Florida, multigenerational workforce
- Wendy Brazier, Arizona, women in transportation research project, LEAN
- Jennifer Vanvenroy, Arizona, second year of compensation strategies, merit incentives
- Vicki Arpin, Connecticut, cross training

ITD Innovation

Subcommittee Chair Emily Elliott introduced Brenda Williams, Chief Human Resources Officer from Idaho Transportation Department, who gave a presentation about Idaho's Innovation program. They wanted to create a culture that fosters innovation and delivers on customer expectations. They invited MBA students to help with the process and create a website. In 2014, they had about an eight percent employee participation rate. In 2015, participation grew to fifteen percent. Currently, more than one-third of the workforce is participating in the program. Now, employees are engaged to submit strategies to improve performance, which was a radical shift for them. They harnessed employee creativity and encouraged employees to submit their ideas.

Beginning in 2014, the vision was to foster an innovative culture and to continue building that culture in 2015 by focusing on targets and goals. In 2016, the ITD Director visited all districts and employees to promote the program, they hired a Continuous Improvement Facilitator, and identified Innovation Stewards. In 2017, they are targeting improvement events, engaging managers in a one-week Leadership Summit, and visiting all maintenance sheds. They are using a SharePoint site to track the program, which the MBA students helped to create. They are setting targets and measuring outcomes. When they set targets, they have found that employees will find a way to hit those targets. There have been 935 ideas submitted, 600 innovations, with over \$4.7 million in savings. There are innovation steward teams which have increased recognition and employee engagement. The Leadership Summit was a one-week summit about LEAN concepts and continuous improvement, encouraging people to take a problem within the DOT and solve it! Employees are recognized in front of their peers at regional staff meetings where they celebrate success and use score cards to identify and quantify impacts.

The submission process involves an employee inputting an idea into the SharePoint site. An Innovation Steward helps with the input. They identify what problem they are trying to solve, and what they propose for implementation. They can upload documents, videos, images, etc. Then they engage others to help. Basically, they figure out how to make it happen and who needs to be involved. Then they measure performance improvement or try to quantify the results by looking for the return on investment. Finally, they report the impact of the effort into the site by productivity, customer service improvement, or time / money savings. They share their progress with staff and others, and then determine whether the idea is a candidate for the x7 program, which means it can be replicated in all seven districts to multiply the impact. An example of a x7 idea is washing guardrails, which was shown on a video. Someone came up with the idea to mount four hoses on a truck to remove salt from top to bottom, and both sides of the guardrail, in only one pass.

The Innovate ITD! program has advanced the strategic plan, increased efficiency (saving time and money), created trust and accountability with stakeholders, and engaged employees. It has not only resulted in millions of dollars saved, but also saved 148,020 hours of work.

DOT Hot Topic Exchange

Subcommittee Chair Emily Elliott explained that, throughout the year, various members submit questions or surveys about various topics to the committee membership, so several were asked to share their results at the annual meeting.

Pre-employment Physicals – Denise Schwab, Chief, Bureau of Personnel Service, Kansas DOT, received five responses to her survey about pre-employment physicals. In Kansas, they have one provider and not enough testing sites. A few other states indicated they require pre-employment physicals, some with more success than others. For example, Arkansas did a pilot program but determined the return on investment was not there, as only two or three (out of several hundred) candidates were eliminated as a result of a pre-employment physical.

Supervisors with CDL – Crystal Woods, Subcommittee Vice Chair, Arkansas State Highway and Transportation Department, received 20 responses to her survey about requiring a CDL for maintenance supervisors. Thirteen (or 70%) of the respondents require a CDL, and all but one require it to be Class A. Four (or 20%) do not require any type of CDL for supervisors.

Wellness Initiatives – Becky Greene, Director, Office of Human Resources, Maine DOT, shared that Maine DOT has had a Wellness Coordinator for a long time and the program is supported by top management. That person has access to worker's compensation data and health insurance claims. Wellness is a strategic initiative and is part of the strategic plan. They train all their supervisors from the front line to the top. They implemented a Seasonal Readiness Program, which includes employees doing voluntary physical exercises every morning. There is a Wellness Committee and Champion in each District. They have brought in an Occupational Health person to educate employees. They emphasize healthy eating and nutrition to combat diabetes, tobacco cessation, stress management/reduction, and they share information concerning the cost of poor health with employees (see handout):

- Personal care costs (such as medical care and pharmacy) make up about 25% of the total cost of poor health.
- The other 75% relates to productivity costs, such as absenteeism, disability, turnover, temporary staffing, replacement training, off-site travel for care, customer dissatisfaction, etc.
- The State of Maine spent \$213 million on its health plan.

- If this is only 25% of the total cost, then there is three times as much in productivity cost, or an estimated \$639 million.

Permissive Marijuana Laws vs. Transportation Operations

Host Vicki Arpin introduced Lisa Banatoski Mehta and Ashley Marshall, attorneys from the Shipman & Goodwin Law Firm, who spoke in detail about DOT drug testing regulations and the history of the requirement to test employees in safety sensitive positions. They referenced the 1991 Omnibus Transportation Act, 49 CFR Part 40, and the fact that the Office of Drug and Alcohol Policy Compliance is the federal agency responsible for enforcement of the regulations. They provided a detailed handout, which included a summary of marijuana legislation throughout the United States:

- Twenty-nine states and the District of Columbia have legalized the use of the medical marijuana.
- Eight states and the District of Columbia have legalized the use of recreational marijuana.
- Five states do not have sweeping legislation allowing marijuana use but allow for limited access to marijuana under specified circumstances.
- Many states prohibit discrimination against individuals on the basis of their medical marijuana usage, which presents an issue for employers.

They also discussed the conflict between state and federal law, due to the fact that marijuana is still illegal under federal law and has not been removed from the Schedule I list of drugs. Employers may discriminate if required to do so because they are regulated by federal laws. In these circumstances, state laws prohibiting discrimination on the basis of medical marijuana use *do not apply*. The DOT's position on marijuana use is clear: its use by safety-sensitive employees for any purpose is prohibited, regardless of whether state law allows it. MROs have been instructed not to verify a drug test as negative based upon a physician's recommendation of medical marijuana usage. From an ADA standpoint, courts have ruled that employers have *no duty* under the ADA to accommodate medical marijuana use for an underlying disability.

They also provided a lengthy case study from Connecticut; examples of case law in Colorado, California and Washington, and several other relevant cases involving transportation employees and marijuana (see handout for details).

Political Scandals, Professionalism and Public Relations: Best Practices and Lessons Learned

Host Vicki Arpin introduced Hollie Smith, Assistant Professor of Communication Studies and Marine Affairs, University of Rhode Island, who provided a framework for crisis communication and a link to the website www.psandman.com. When is it a crisis? When it has the potential to negatively impact the organization or when there is real physical risk. That is when crisis communication is necessary. When there is not a lot of risk but people are upset, then there is a need for outrage management. There were three examples of crises provided: short-term political, long-term transportation, and reputational.

The Bridgegate crisis in New Jersey was the example of a short-term crisis. This was the busiest bridge in the United States. They closed two out of three lanes for three days, which included the first day of school. Due to the gridlock in traffic, emergency vehicles were unable to respond in a timely manner and a woman died. The first response was denial, despite numerous complaints and requests for help. The second response was to evade responsibility by saying it was due to a traffic study, offering no corrective action and taking no responsibility. The third response, they still didn't take it seriously enough. There were multiple resignations in the Governor's office, and two top aides

were later convicted on all counts. The lessons learned: transparency is key, honesty is the best policy, there is always a paper trail, admit wrongdoing quickly, apologize, and take corrective action – denial is not enough.

The fire under I-85 in Atlanta causing a bridge collapse was the example of a long-term transportation crisis. However, there was a quick and effective response from the DOT. They gave people other options. They proactively shut the bridge down and took responsibility for fixing it. The initial response was a general one with no specific dates until they knew for sure the extent of the damage and could provide a reasonable timeframe for repair. They made more public transportation available by adding additional routes and drivers. What did we learn? Immediate collaboration and response among agencies and communicators, safety first / immediate closure of bridge, and fix it even if it's not your fault. Key lessons: proactive and quick response is key; have a plan for collaboration between agencies, emergency personnel and elected officials; have a clear and unified message, and offer other options to people.

The example of a reputational crisis was United Airlines, when a doctor was forcibly removed from a flight. They said he was randomly selected to be "re-accommodated," but there was immediate public outrage, even though there was little risk involved. The first public relations response was to call it an "upsetting event." The second response was when the company's internal emails to employees went public saying, "You did the right thing; it was his fault," which caused more outrage. The third response was, "It's never too late to do the right thing," when they took full responsibility. Although it was 48 hours later, they finally apologized and assured the public they would fix what's broken to make sure it never happens again. The CEO is stepping down, although only one week prior to this crisis he was named "Communicator of the Year." What did we learn? Slow and inefficient response, internal email denying responsibility, adequate third response only came after increased public outcry at the lack of action taken. What else did we learn? Everyone is a journalist, and the social media culture advances the news cycle and requires a heightened understanding of the complexity of audiences and interaction. Key lessons: internal / external communications must match, it doesn't matter whose fault / take responsibility to fix it, address why it happened in the first place, and respond directly the first time.

Agencies should identify the risks and develop contingency plans. Have an internal plan which includes who calls who, who makes decisions, and when to reach out to other agencies. Have an external plan which includes who is the spokesperson, a set of content guidelines for all forms of media, and what are the guidelines for action. We should also develop prepared statements ahead of time. We should build relationships with reporters, political officials and others we might need in a crisis; work on creating goodwill with the public, and have communication channels ready with multiple audiences. Best practices: Always be available in a crisis, never say "No comment," update your stakeholders / media as much as possible, put the media in contact with representatives, and know the real work is before and after a crisis. Planning is absolutely necessary for timely and professional response. Build and nurture the relationships you might need BEFORE you need them. Maintain open and clear communication before, throughout, and after the event.

Optimizing the Workforce through Organizational Review

Amanda Holland, Administrative Services Director, Alaska DOT & Public Facilities, spoke about Alaska's organizational review, including the mission statement: "Clarity and disciplined decision making is critical within budget crisis." They recognized their primary drivers as federal code, Alaska statutes, Alaska reality, service to Alaskans, and sustainable workforce. Their focus questions were:

- What are we doing that isn't in our mission? What might we divest or transfer or stop?
- How are we organized? Where might we have waste or redundancy?
- What functions/core competencies must be accomplished by a DOT&PF employee?
- How do we ensure maximum efficiency and effectiveness per dollar received and spent?

In 2014 and 2015, they focused on maximizing resource allocation within fiscal constraints and consolidating Information Systems and Services. In 2016, the organizational review was expanded to include: action learning team input, organizational analysis and structure review, policy and procedure review, planning consolidation, rural aviation consolidation, identifying other potential opportunities for consolidation, and results based alignment. In 2017, they have continued their focus department-wide, into shared services, capital program optimization, and results based alignment. They expect to continue making continuous improvements into 2018 by deleting 177 marine vessel positions and 76 design and engineering positions.

Organizational effectiveness is directly linked to how activities, reporting structures, and decision making processes are connected and coordinated. This structure and workflow drives effectiveness and efficiency. Productive organizations find the right balance between differentiation and integration, between centralization and decentralization, and between standardization and mutual adjustment. Balance is the key to effectiveness. Routines help managers be more productive by providing recurring solutions. When routines become rules, the organization can get in a rut and be unable to change and adapt. Alaska is using the organizational review to better understand what is working well, ensure good practices are supported, ascertain what is not working well, and propose an agenda for change and development. Middle management is the key; therefore, Alaska does a lot of "emerging leader" training. They identified the minimum number of hierarchical levels needed to deliver, and flattened their reporting structure to no supervisor with less than five subordinates. They also ensured that work processes used the minimum number of approval levels. They streamlined processes and simplified workflow to optimize productivity by ensuring effective resource allocation and using results-based alignment measures.

They used Coggle for mind mapping. It is a tool which helps tackle large projects such as this and helped them break it down into six organizational review tasks (see handout for more detail):

1. Leadership Development Program (LDP) Action Learning Team Deliverables
2. Current Organizational Condition and Structure Defined
3. Policies and Directives Inventoried
4. Roles Defined and Inventoried
5. Organizational Analysis – flattening, span, budget
6. Proposed Organizational Structure Design

She provided a sample report format, which includes the task definition/objective, findings, recommendations, considerations, and conclusion. She also talked about defining roles into mission critical, mission important, misaligned or mission core. Using results based alignment helped to build credibility with the legislature. For example, certain activities were aligned under core services, such as preserving infrastructure (maintenance, vehicle management, etc.), operating infrastructure (traffic lights, signs, striping, snow/ice removal, etc.), modernizing the infrastructure (planning, design, construction), and providing transportation services (ferries, transit, airports). They measured the contributions to service delivery and mission, used results for decision making and accountability, and kept the focus on core services and improved delivery. This helped determine the amount of money needed, as well as the number of full-time employees. They broke down their budget by core

services as well: 41% to providing transportation services, 24% to preserving infrastructure, 18% to operating infrastructure, 11% to modernizing infrastructure, and the remainder (approximately 6%) to other services. They broke the budget down further by specific services, such as snow and ice removal, including how much it would cost, where the money would come from, and how many full-time positions would be needed. They also included measures, such as average time per event to achieve performance target, and average equipment and labor costs per event/lane mile.

They used a Kaizen event to help with project control and identified 16 core competencies needed to sustain an effective workforce. (For those unfamiliar with the term, a Kaizen event is defined as any action whose output is intended to be an improvement to an existing process. It is a tool that usually gathers operators and managers of a process in one place, maps the existing process, improves on the existing process, and solicits buy-in from all parties related to the process. It is an extremely efficient way to quickly improve a process. It is also useful for convincing others of the methodology's value.) This was the first Kaizen event for the State of Alaska, and it had the following outcome:

CURRENT PROCESS	FUTURE PROCESS
110 steps	26 steps (76% reduction)
19 decisions	6 decisions (68% reduction)
22 loopbacks	4 loopbacks (82% reduction)
Average lead time: 10.5 weeks	Combined five processes into one

In conclusion, the organizational review enabled the Alaska DOT&PF to redefine themselves using four core services, align the budget to those four core services, and achieve greater efficiencies through continuous improvement and adding value only to those core services. It has helped them be mindful that transportation is an economic driver which impacts the daily quality of life of Alaskans, and that their job is to preserve, operate and modernize the existing infrastructure and provide transportation services through federally funded capital improvement projects.

LEAN and Layoff Fears

Wendy Brazier, Chief Human Resources Officer, Arizona DOT, spoke about ADOT's LEAN / Continuous Improvement Transformation. Why LEAN, you may ask? To reduce or eliminate waste, thereby being more efficient. She provided a link to a You Tube video, which several attendees expressed an interest in using themselves: https://www.youtube.com/watch?v=RRy_73ivcms. It shows how a Formula 1 pit stop in 1950 took more than one minute, while taking only three seconds today.

The State of Arizona began its LEAN journey in 2012 when the Governor signed an Executive Order to create the Government Transformation Office. In 2013-2014, they selected eight state agencies, including ADOT, to participate in the project, with four LEAN coaches statewide. In 2015, another Governor kicked off the LEAN Management System, including executive mission measure workshops, permit project blitz, and two waves of permits projects. It involved 23 agencies, resulted in training for 120 employees, and improved 40 processes by 40%. By mid 2015, eight key agencies were selected to receive focused consulting support (including ADOT). Four consulting firms were selected, and by December 2015, transformation standards were set: performance management, problem solving, and leader behaviors. In January 2016, transformation began. There were monthly business reviews, quarterly participation with the Governor, performance measures / agency scorecards / huddle boards / gemba walks implemented, leadership teams developed for cultural

transformation, and the Governor's fundamentals map and state vision published: "Arizona will be the number one state to live, work, play, visit, recreate, and get an education."

ADOT in particular hired an Office of Continuous Improvement Administrator in September 2015, who gave the executive leadership some homework via weekly book clubs: "Government that Works," "The Lean Management System," "Zapp! The Lightning of Empowerment," and "Five Dysfunctions of a Team." They also created the "core team," comprised of the Office of Continuous Improvement, Human Resources, Training, Communications, and Performance Measures. The core team meets weekly and works closely with the consultant Honsha to align the agency with LEAN transformation (House of Lean).

The foundation of the House of Lean includes teamwork and communication, mutual trust and respect, customer first, 5S and visual work and PDCA, standard work, and Kaizen. The cornerstones are people, communication, learning, and performance measures. All associated activities are to increase value per dollar. The result is satisfied customers. They developed a roadmap, from current state assessment, to building the foundation, to building the cornerstone activities, to building processes and producing results, and finally strengthening internal resources and becoming self-sustaining.

ADOT has had supportive, engaged and teachable executive leadership, which is crucial. They had a multi-dimensional transportation strategy. They built internal resource capability. They had frequent communication. They are creating what she called a Kaizen culture. And they have used a phased implementation where people learn, do and sustain

From HR's perspective, they look at the employee life cycle. Plan for talent, supply talent, develop talent, manage performance, leverage and transition talent, reward and retain talent, sustain compliance, and develop the agency. How did they align the workforce to the Arizona Management System? By recruiting and promoting, onboarding and providing new employee orientation, managing performance, utilizing talent mobility, providing learning and training, and communicating.

The leadership team kicked off the project, starting with a headcount. The average employee losses per month was 44, and the average new hires per month was 22. Their starting headcount was 3,594 employees and the cap was 3,763 (a gap of 169). To stop the bleeding, they had a mass hiring for about five months during which they closed the gap to 122. They recognized the need to improve their recruitment process, so the team mapped out the current recruiting process and made improvements.

To align their onboarding and new employee orientation, they automated the onboarding process to improve the first impression, they made new employee orientation a single event within the employee's first month, they administered a new hire survey 30 days after arrival, and they made sure this was not just an HR process.

They also changed their competencies. They kept the same "core" set of competencies for all employees statewide (customer service, accountability, teamwork/cooperation) and added communication, problem solving and transformers of government.

For talent mobility, they adopted State of Arizona guidelines as well as ADOT guidelines. They emphasized that an RIF/layoff would be a last resort. They created incentives for high performers.

They expected managers to be proactive and engage early, and expected employees to also be proactive and complete their “Be An Interview All-Star” and “Get Set with Interview Prep” classes. To address fear of change, they identified about five to ten percent of employees who are resisters, about ten percent who are early adopters, and the rest (about eighty to eight-five percent) who are unsure. They used the elephant metaphor to address fear. The rider is logical, acts on thought and analysis, requires direction, needs clarity, gets stuff done, and is relatively weak. The elephant is emotional, acts on passion and impulse, requires moral purpose, needs stories, is an over thinker, and is strong. The rider represents the employee’s rational mind. The elephant represents the employee’s emotional mind. The path represents the environmental factors along the way.

They also recognized that the cerebral cortex of the brain is made up of tightly packed neurons and is the outermost layer that surrounds the brain, used for higher thought processes including decision making and speech. The amygdale is a roughly almond shaped mass of gray matter inside each cerebral hemisphere which is the center for emotions, emotional behavior and motivation. It controls the way we react to an event that causes an emotion, particularly an event we see as potentially threatening or dangerous. The result is that emotion overcomes and hinders rational thought. Next, they recognized conflicts that produce fear: status, certainty, autonomy, relatedness and fairness (SCARF).

- Status is the employee’s importance in relation to others, so ADOT took actions to ensure status would not be adversely affected. They promoted elevated status associated with supporting the changes that were being made. They challenged employees to beat their own best time at a task or activity. They give a lot of recognition and positive feedback.
- Certainty is the employee’s ability to predict the future, so ADOT provided assurance that the changes would be supported and successful. They created confidence in the changes by stating clear objectives at the beginning and breaking tasks into small steps.
- Autonomy is the employee’s perception of exerting control over one’s environment, so ADOT engaged team members in authoring the changes and in the change process. They created buy-in and ownership. They avoided top-down edicts. They allow employees to organize their own workflow, hours, etc.
- Relatedness is the employee’s feeling of security in relation to others – whether friend or foe – so ADOT utilized work teams to analyze the problems, develop solutions, and determine how ideas would be implemented. They also use coaching and mentoring systems at work, to promote having a friend at work.
- Fairness is the employee’s perception of transparency and clear expectations, so ADOT communicated transparently and honestly, encouraged participation, and listened.

Other measures used to address fear were the Talent Mobility (Redeployment) Plan, the use of recognition and rewards, and promoting successful projects such as the MVD Customer Service Wait Time Project. It was launched at an urban MVD office with the goal of reducing customer service time (door-to-door) from 63 minutes to 28 minutes, which is a 50% reduction. They were able to do it *without any loss of jobs* by implementing more efficient processes, using a Disney line, creating new positions (greeter and floater), sending some employees to other offices to implement there, and promoting some employees. This reduced overtime, stress and frustration on the part of employees and customers.

End of Day One Wrap-Up

Subcommittee Chair Emily Elliott reminded attendees to gather in the hotel lobby at 5 PM sharp for transportation to the host state night event, “Explore the Mystic River Aboard the Argia.”

Day Two Opening Remarks/Discussion

Emily Elliott, Subcommittee Chairperson, opened the day with information sharing on the following topics:

- Traffic maintenance recruitment issues – Vermont discussed their relationship with colleges to get first dibs on students for internships to foster interest in permanent employment. Another state referred to use of practicums, co-ops, job fairs and paring up drivers with school children so the students can “follow” their driver. Georgia uses internships, co-ops and a summer program. Also a Construction Expo where approximately 8000 students, counselors and teachers experience Highway Maintenance and Construction jobs in action. Every trade is represented. There is a bridge building contest, touch a truck etc. Arizona implements a step series for new hires where employees advance through highway ops 1, 2 and 3 by non-competitive promotion thereby getting people in development quicker. CT also has a Construction rodeo day student event in which DOT and other companies participate. Kids learn about trades, equipment. CT also has unpaid internship program as paid intern options were cut in the budget.
- Succession Planning - Alaska has a leadership development program with stretch assignments to make sure people are ready. Alaska is highly unionized so need to work with collective bargaining agents. Note that all supervisors are in the union. They need to still follow merit system KSA's. Alaska offers stretch assignments but need to rotate opportunity. They also have mentoring opportunities. Idaho is non-union so people can opt-in. Career discussions are formalized with people with higher potential, identifying a development plan and training. Idaho doing assessments from executive down to supervisor, developing a process for succession planning hoping to have 3-5 people to grow. Missouri has an accelerated leadership program, has updated competencies so they can discuss at least 3-5 things employees need for future development. Georgia mimics NJDOT succession planning program. They used research money and had GA Tech students do forecasting and opened up the application process. About twenty go through 18-20 months. There are stretch assignments. They also have a 2 week management development program. CT has Supervisory Development and Management Development programs. Trainers and HR do training. There is also a statewide development program with 13 full day sessions with guest speakers from leadership roles throughout the state and a requirement for a capstone project. They have also found the book “Multipliers” helpful in demonstrating some leadership points.
- Interview Panel guidelines - Wash. DC and Minnesota discussed the rapid rate of change and the need to be adaptive to respond quickly to change. Vermont uses robust interview panels with HR attending to ensure objectivity. They use Kornberry Leadership model to focus interview questions on skills and competencies. Virginia uses Leadership competency models for high level selections. Vermont uses a card sort model on competencies. Kansas chooses 4 competencies and develops questions. Arizona partnered with UAZ to help research barriers in recruitment and retention of women into the field. They also looked at job satisfaction strategies and are just compiling feedback from 6 or 7 DOTs that responded and several counties in AZ and expect to finish the study in about 1 year.
- Alabama, Colorado, Kansas, Alaska, Florida indicated they use geographic differentials tied to the cost of living as part of a retention program.

DOT-LTAP Relationships – Best Practices from UCONN’s Transportation Institute

Donna Shea, Director of the Technology Transfer (T2) Center, University of Connecticut, gave an overview of Connecticut’s LTAP/TTAP program and its relationship with the Connecticut DOT. There are 58 Local and Tribal Technical Assistance Programs (LTAP/TTAP) funded by the FHWA, including

one in every state. This is the primary resource of transportation training and technical assistance for local municipalities and many DOT employees. Each state develops its own program to meet the unique needs of stakeholders.

In Connecticut, the LTAP – CT T2 Center has been located in the School of Engineering at the University of Connecticut for over 37 years. It provides training to over 3000 participants annually with an average of 110 training sessions. The center works with a local DOT advisory group to determine which trainings to provide. Field technical assistance is also available at no cost to local agencies. Its mission is to foster a safe, efficient, and environmentally sound surface transportation system by improving the skills and increasing the knowledge of the transportation workforce in Connecticut. The program maintains relationships with the DOT Training Division, Traffic Engineering, Highway Safety, Commissioners Office, Research, Maintenance, Construction/ Work Zone Safety Council, and Highway Operations. Its focus areas are safety, infrastructure management, workforce development, and organizational excellence. Through the use of newsletters, flyers and other publications, it shares innovation, information and ideas, and works closely with CTDOT to improve local road safety. The Connecticut Safety Champion Program was developed as part of the Connecticut T2 Center Safety Academy. Participants who complete 40 credit hours in the Safety Academy receive a Safety Champion certificate. They also developed a Roadway Safety poster contest, to teach young people about road safety.

Other state partnership examples include Kentucky, where the LTAP staff works closely with the Transportation Cabinet Office of HR on a training program to support DOT staff. It is called the On Demand Training Program for District offices, and it has helped meet training needs from chainsaw safety to erosion/sediment control. They also work with the Cabinet to fulfill technical needs, such as working with the divisions on asphalt, grade and drain and erosion prevention and sediment control employee qualifications programs.

In Vermont, the VT Agency of Transportation Training Center partners with VT Local Roads to develop training programs such as safety and health (confined space, lock out/tag out, trenching and shoring, and safety matters), finance and logistics (computer basics), employee development (pathway to supervision), and designing pedestrian facilities for accessibility.

In Louisiana, the LTAP is part of the LA DOTD. Because of their strong relationship, the LTAP is able to leverage a variety of resources for local governments. All training materials developed in the DOTD are made available for use by the LTAP and vice versa. Recently, a stress management training program has broadly benefitted DOTD staff and local municipal employees.

Highway Construction Workforce Pilot Project

Clark Martin, Program Manager, FHWA Center for Transportation Workforce Development, explained that the FHWA's Office of Innovative Program Delivery was reorganized in May 2016 to include four centers: Center for Accelerating Innovation, Center for Innovative Finance Support, Center for Local-Aid Support, and Center for Transportation Workforce Development. Its mission is to improve transportation performance by turning innovation into action through partnerships, technology deployment, and capacity building.

The Center for Transportation Workforce Development (in which Clark works) is led by Director Virginia Tsu and provides national leadership, coordination and assistance that supports initiatives to develop and expand the nation's transportation workforce. They do this through K-12 education,

post-secondary education, and professional/practitioner development. They also support training and education programs through the Garrett A. Morgan Transportation Technology Education Program, and the Eisenhower Fellowship Program. They support on-the-job training/supportive services, the National Summer Transportation Institutes, and STIPDG. They have also more recently opened regional workforce centers (Montana, California, Wisconsin, Tennessee and Vermont), and have kicked off the Highway Construction Workforce Development Pilot Project.

The National Transportation Career Pathway Program is also managed by the FHWA and is sponsored by the Regional Transportation Workforce Centers. It is designed to identify new skill sets and competencies and align curriculum and experiential learning in the areas of planning, environment, safety, engineering and operations. They are partnering with technical schools, community colleges and universities. It is a two-year project which began in October 2016.

The Garrett A. Morgan Transportation Technology Education Program provides a clearinghouse for state and local education agencies of K-12 transportation curriculum and education enrichment programs, with an emphasis on females and underrepresented groups. Since 2007, over 40 projects have been funded through GAMTTEP to improve the preparation of students in transportation STEM.

The Dwight David Eisenhower Transportation Fellowship Program provides fellowships to university undergraduates and graduate students to pursue transportation-related education and research opportunities. There were 210 Eisenhower Fellowships awarded in 2016.

There were 69 applications received by FHWA in FY 2017 for a National Summer Transportation Institute Program, 44 of which came from state DOTs. The total amount requested by state DOTs was over \$2.7 million, with only \$2.8 million available.

The Highway Construction Workforce Pilot Program is a joint project of the U.S. Department of Labor Employment and Training Administration, Federal Highway Administration, American Association of State Highway and Transportation Officials, Associated General Contractors of America, and American Road and Transportation Builders Association. Its objectives are:

- Identify, train and place individuals that meet OJT criteria in highway construction occupations.
- Explore how to more effectively link the workforce opportunities in highway construction with qualified applicants.
- Engage key partners to leverage resources.
- Establish a framework that key partners can replicate in other cities/states to institutionalize highway construction workforce development.

On September 15, 2015, the AASHTO/AGC/ARTBA Joint Committee issued a position paper titled, "Attracting, Developing and Training and Qualified Workforce," which noted difficulty in recruiting women and minorities and little coordination between the construction industry and the state DOTs to promote transportation careers. It recommended that AASHTO, FHWA, AGC and ARTBA look for opportunities to work cooperatively on initiatives that promote the industry. Workforce data from 2015 indicates a high percentage of firms having difficulty filling carpenter positions (73%), electricians (60%), equipment operators (58%), cement masons (54%), pipefitter/plumbers (52%), and construction laborers (51%). Based on data analysis from multiple sources, FHWA concluded that the highway construction industry faces severe gaps in key skill set occupations. DOL supports approximately 600 WDBs and 2500 American Job Centers in the U.S., which assist with training and job placement for unemployed and underemployed individuals. The Job Centers are led by local

boards that fund proven work-based training strategies, such as on-the-job training, registered apprenticeships, transitional jobs, customized training, and incumbent worker training.

There is an opportunity! FAST Act provides five years of federal funding certainty at \$42 billion per year. The transportation infrastructure has a backlog of \$191 billion. The new Administration includes infrastructure as a priority investment, which makes the construction industry an opportunity for people to find entry level positions which offer training, good pay and advancement. There are also many opportunities for small business entry and success.

This leads to the pilot program. Key partners are collaborating in six cities/six states to identify, train and place individuals in highway construction jobs as part of a contract compliance program. The pilot cities are Pittsburgh, Atlanta, St. Louis, Dallas, Denver and Los Angeles. The pilot states are Connecticut, Rhode Island, Alabama, South Dakota, Arizona and Idaho. There are measurable goals which include number of individuals trained, hired, and retained for at least six months. Partners are state and local Workforce Development Boards (WDBs), AGC, ARTBA, AASHTO, DOL and FHWA. The status of the pilot is that city/state work groups have been formed and began meeting in March. AGC/ARTBA members are identifying workforce needs in each location. State DOTs are providing the long-term outlook from their STIPs. There are ongoing discussions with state/local WDBs to identify, train and place workers.

Employee Engagement

Bonnie Wohlberg, Staffing Manager, Minnesota DOT, explained engagement discussions, or what MnDOT calls “Stay Interviews.” Every spring, MnDOT does a mass hire, so they piloted this project with the new hires in one District which tends to have higher turnover. Instead of doing exit interviews to determine why people left, they are doing “stay interviews” to retain specific employees.

They did an engagement survey about three years ago to gather organizational data, but they decided that engaging people requires a more personalized approach. It requires an approach which creates the *right conditions* for employees to give their best each day, committed to the organization’s goals and values, motivated to contribute to organizational success, *with an enhanced sense of their own well-being*. The right conditions for an enhanced sense of well-being at MnDOT results in ***an inclusive, engaging and sustainable work environment where people want to be here, stay here and tell others.***

Initially, supervisors did not want to do these. They said they had no time, everyone will want a raise, handling employees is HR’s job, and employees may not tell the truth. So they tried to convince managers of the value of doing these: there will be a gap in the workforce in a few short years, there are not enough potential employees in the labor force, there is a major skills gap and shrinking pool of qualified candidates, we need to gather knowledge on how we can improve, and these interviews will help employees engage in their work and the agency as a whole. They also give us an opportunity to discuss barriers, roadblocks, issues, concerns, and other “stay” factors. This allows us to fix problems before it’s too late. Exit interviews are reactive and too late. So they trained supervisors on how to do this. They taught them how to prepare for the stay interview: review the template and get comfortable with it, review materials available to employees as resources, don’t over-promise or shift blame to the agency, get in the right mindset, don’t get defensive, and review the checklist for understanding interviewee answers. They also taught them to keep these discussions separate from performance reviews, have them face-to-face, dedicate adequate time, make it collaborative and

interactive, make it inclusive and transparent, and use a structured framework. The template has a purpose, includes probing questions to facilitate dialogue, and ends with action items/next steps.

The initial engagement discussion is conducted by the supervisor after the first 30 days from hire. There is also a 90-day discussion between HR and the employee; a six-month discussion between the supervisor, superintendent and employee; a nine-month discussion again with HR, and finally an 11-month discussion with the supervisor. The 30-day discussion includes the following questions:

- Why did you accept this position?
- Is the job what you expected? Why or why not?
- What do you enjoy the most about this job?
- Do you have the resources you need to be successful?
- Are there things not going as you hoped?
- Do you feel comfortable asking questions or asking for help?
- Do you know how to bring forward or elevate any concerns?
- Is there anything you want to bring up now?
- Is there anything you would like to talk about?

After the discussion, the supervisor sends the form to HR and consults with HR if he/she identifies any needed action. They get back to the employee in a timely manner when desired adjustments cannot be put into place, to explain and document why an action may not be able to be taken. This process creates a mutual responsibility and stake in creating an inclusive, engaging and sustainable work environment where people want to be here, stay here and tell others.

Employees have said these discussions are helpful and made them feel appreciated. Supervisors actually liked it too, saying it helped them get to know their new employees and also made them feel supported by management. HR has been able to identify some themes. They are considering changing the timing of the first interview from 30 to 60 days, because 30 days may be a little too soon. They are also making a template for supervisors to use with current employees, not only new hires. They plan to do random, targeted interviews with specific employees rather than broad surveys.

AASHTO Update and Comprehensive Committee Review Implementation

Jim Tymon, Chief Operating Officer/Director of Policy and Management, AASHTO, advised the group about the AASHTO Comprehensive Committees Review (CCR) recommendations. He first discussed AASHTO's strategic goals, which are to provide value to members, provide innovative technical and professional services and products, be a leader in national transportation policy development, and communicate the value of transportation. He provided an organizational chart of the previous AASHTO committee structure, and explained the reasons for restructuring: responsiveness to state-identified priorities, streamlining and simplification, expediting committee decision-making, increasing multi-modal communication and collaboration, addressing cross-functional issues, organizational nimbleness and responsiveness to quickly-developing matters, and appropriate engagement on emerging issues. He then shared the draft scenario for revised structure from Spring of 2016, and finally the approved committee structure which changed somewhat since then. The Human Resources subcommittee will fall under the Agency Administration committee, along with Knowledge Management, Civil Rights, and Internal and External Audit.

Procedural changes expected include:

1. Better define the roles and responsibilities of committees.

2. Establish committee activities focused on strategic goals.
3. Improve direction from parent committees to subgroups.
4. Committee chairs be members of a council, the TPF or Board, and that subgroup chairs be members of the parent committee.
5. Establish steering committees within committees.
6. Identify cross-cutting liaisons between appropriate committees.
7. Technical service programs guided by appropriate committees.
8. Encourage groups to operate virtually.
9. Establish communities of practice for discipline/topical areas.
10. Establish ad-hoc, short-term task forces for specific matters.
11. Formalize the role of the Associate Members.
12. Allow limited participation by private sector representatives.

The new Strategic Management Committee will develop and implement a phased, multi-year implementation plan with regular progress reports to the Board of Directors with proposed changes to AASHTO's Governing Documents. The key implementation points are as follows:

1. Notice to all committees
 - a. Continue as now with further guidance pending
 - b. Committee members to be engaged in alignment
 - c. Interim operating guidelines during transition
2. Establish Strategic Management Committee (SMC)
 - a. Adopt and oversee implementation plan
 - b. Adopt SMC operating guidelines
 - c. Establish interim operating principles/guidelines
 - d. Form private sector engagement task force
 - e. Provide regular progress reports to the Board
 - f. Propose changes to Governing Documents for approval

Next steps include committees revising charge statements this summer for consideration by the SMC and Board of Directors, updating the AASHTO Governing Documents for consideration by Board at Annual Meeting, and full transition to new committee names and scopes after Annual Meeting. There has been some talk about having all subcommittees under the Agency Administration committee meet each year in the same location at the same time, to achieve greater economies of scale with the food and lodging contracts. There could possibly be one plenary session including everyone, and then the subcommittees might break apart and continue with their own meetings as usual. For that reason, we will not select a host state for next year's HR subcommittee meeting. More information will be forthcoming after the AASHTO Annual Meeting. For more information about the committee review process, go to the CCR Committee website at <http://committeereview.transportation.org> or email jtymon@aaashto.org.

Subcommittee Business Meeting

Meeting minutes from last year comprising 21 pages were previously distributed and posted. Emily asked for comments or discussion. Amanda made a motion to accept the minutes and Tom seconded the motion.

Discussion regarding future year subcommittee meetings: It is proposed that with the reorganization there will be joint "plenary" type session for the full committee and then ½ day breakout sessions for the subcommittees to conduct their respective business meetings. This year the plan is to do

Design/Environment and another policy group. Next year, Agency Admin groups will meet jointly and then the HR group will breakout to meet separately. This will be discussed at the AASHTO Annual meeting and more information about next year's planning will follow. There was discussion around considering the impact of such a meeting change and the ability for states to get approval for multiple people covering different disciplines to attend one meeting and conversely for smaller states where one person covers several disciplines to be present at multiple concurrent breakout meetings. AASHTO is seeking to achieve some economies of scale in expenses to hold the meetings and suggested it will be possible for multiple people to attend the same meeting provided they indicate the meeting purpose is for their individual subcommittee. Combining forces for the core meeting will provide opportunities to look at topics more broadly, cross pollinate ideas and reduce area specific tunnel vision. So, although Minnesota offered to host next year's HR subcommittee annual meeting, they are off the hook for now.

Officers: Emily's term as Chairman is concluding and Lee Wilkerson will be the next Chair (and vacating Region 3). Crystal is leaving the Vice Chair with Brenda Williams taking over that role. Jane is retiring from the Secretary position, which will be appointed by the incoming Chair. If you are interested in being considered for Secretary, please reach out to Lee or Clarisse.

The responsibilities of the role are described on the website, but the role may be modified to be more of a steering committee member rather than as a minutes-taker. Until that role is filled the host state will have a volunteer take the minutes. The Regional Reps is a role unique to the HR subcommittee and Lee will review the need to fill Region 3 Regional Rep role.

The 2016 salary survey was just published. Thank you to Mike Holloway (MODOT) for doing it for eight years; Colorado stepped forward to take it over. Amanda made a motion and Tom seconded, vote passed for Colorado to conduct the survey. Many thanks to MoDOT for all the years they completed this task. MoDOT will assist with the transition to Colorado. One change to the survey that was agreed upon was to have links to high level organizational charts as part of the report. If any state wants to survey they should notify Clarisse who will send it out to the requester.

There is a new secure page with an attached discussion board on the HR Subcommittee website. Clarisse demonstrated the access and implementation. This will be used for future state requests for information and best practices. If a state wants information they will sign in through a portal and post to the discussion board, Clarisse will send a notice out to all states to respond and all members will be able to see the responses on the discussion board so there will be no need to compile a separate report for distribution. The first posts to the discussion board are some summaries that states recently compiled and the presentation from CalTrans that was originally planned for this session. The site also includes other information such as the committee member's names and contact information.

Business meeting closed with a thank you to Emily for her leadership.

Additional notes: Similar to last year in recognition of Lon's 19 years of service, this year Bubba was recognized for his many years and made some remarks of appreciation to the group. Vicki thanked everyone for coming to CT and people indicated they enjoyed the location. Emily reminded everyone to be sure to take back something to report to your state, something to use to make improvement or change, etc. It is so important to tell your leadership what you get out of these meetings. Everyone identified a takeaway they would use or follow-up on from being prepared for crisis, to adaptive

leadership, stay interviews, wellness, LEAN, engagement, innovations, partnerships with universities, etc. There were requests for the presentations and a list of attendees to be available and Clarisse indicated they would be posted to the website soon. Emily thanked Connecticut for hosting and Clarisse for all her support in the success of our meeting.

Meeting Adjourned.