



DEPARTMENT OF
FINANCIAL INSTITUTIONS

Keith A. Schraad
Interim-Superintendent

Douglas A. Ducey
Governor

April 15, 2019

The Honorable Douglas A. Ducey
Governor
State of Arizona
1700 West Washington Street
Phoenix, Arizona 85007

Dear Governor Ducey:

Enclosed, is the Arizona Department of Financial Institutions' Equal Opportunity Plan for Calendar Year 2019. The plan reflects the continuing commitment of the Arizona Department of Financial Institutions to ensure that all individuals have equal access to employment opportunities within the Department and that all employees enjoy a working environment free of discrimination, harassment, and retaliation.

The Arizona Department of Financial Institutions will make certain that all employees maintain professionalism, and can expect the exceptional levels of decency, integrity, honesty, and impartiality in all interactions with both other employees and with the public.

The Arizona Department of Financial Institutions will continue to ensure that all employees, applicants, and the public are aware of the Department's official policy on Equal Employment Opportunity and its commitment to non-discrimination.

Sincerely,

A handwritten signature in black ink, appearing to read "K. Schraad", is written over a light blue horizontal line.

Keith A. Schraad
Interim-Superintendent

Enclosure:
2019 Equal Opportunity Statement and Policy, Calendar Year 2018 Report



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FINANCIAL INSTITUTIONS

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NON-DISCRIMINATION POLICY STATEMENT

The Department of Financial Institutions is committed to a work environment in which all individuals are treated with respect and dignity. Each individual has the right to work in a professional atmosphere that promotes equal employment opportunity and prohibits discriminatory practices, including harassment. Therefore, the Department of Financial Institutions commits itself to the attached Non-Discrimination Policy.

- The Department of Financial Institutions has developed this policy to ensure that all its employees can work in an environment free from harassment, discrimination and retaliation.
- The Department of Financial Institutions will make every reasonable effort to ensure that all concerned are familiar with this policy and aware that any complaint or violation of such policies will be investigated and resolved appropriately.
- The Department of Financial Institutions will post its Equal Opportunity Policy Statement. This policy is available on the Department of Financial Institutions employee intranet: <https://sites.google.com/azdfi.gov/azdfi-intranet/> and on the bulletin board in the building located at **100 North 15th Avenue, Suite 261, Phoenix, ARIZONA 85007.**
- All employment announcements shall include the phrase: **"Arizona State Government is an EOE/ADA Reasonable Accommodations Employer"**

As Superintendent of the Department of Financial Institution, I am committed to the principles of Equal Employment Opportunity. To ensure the dissemination and implementation of the Equal Opportunity Policy throughout all levels of the Department, Nicole Baker shall serve as the Equal Opportunity Administrator for the Department of Financial Institutions. Nicole Baker may be contacted at 602-771-2785 and nbaker@azdfi.gov.



Keith A. Schraad, Interim-Superintendent

2/11/19
Date

Any employee who has any questions or concerns about this policy should talk with the HR Manager, Nicole Baker at (602) 771-2785 or the Governor's Office of Equal Opportunity, <http://azgovernor.gov/eop/index.asp> or 602-542-3711.

"An Equal Employment Opportunity Agency"
<https://dfi.az.gov/>



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NON-DISCRIMINATION POLICY


In recognition of its legal and moral obligations, the Arizona Department of Financial Institutions hereby commits itself to a policy of non-discrimination as follows:

1. The Arizona Department of Financial Institutions shall not discriminate on the basis of race, color, religion, sex, age, disability, national origin, or any other characteristic protected by law. Equal Opportunity applies to such employment practices as hiring, upgrading, demotion, transfer, recruitment, advertising, layoff, termination, rates of pay or other forms of compensation, selection for training, job assignments, accessibility, working conditions and special duty details.
2. All Arizona Department of Financial Institutions management personnel shall actively support recruitment and career development programs to ensure equitable representation of minorities, females, seniors, LGBT and individuals with disabilities, special disabled veterans and Vietnam Era veterans in all job categories and pay grades.
3. The Arizona Department of Financial Institutions shall not tolerate discrimination in the agency as it creates an intimidating, degenerating, hostile and offensive working environment. Each employee has an affirmative duty to maintain a workplace free of harassment, intimidation, discrimination. The Arizona Department of Financial Institutions prohibits retaliation against any individual who reports discrimination or harassment or participates in an investigation of such reports.
4. The Department will post the Non-Discrimination Policy throughout departmental facilities.
5. All written bid announcements, request for proposals, employment announcements, requests for applications, program brochures, literature and general solicitations shall include the phrase:


"Arizona State Government is an EEO/ADA Reasonable Accommodation Employer"

The Arizona Department of Financial Institutions is committed to ensuring that all its employees can work in an environment free from harassment, discrimination and retaliation.

This policy is accessible to employees on AZDFI's intranet at <https://sites.google.com/azdfi.gov/azdfi-intranet/> and in hard copy on the Department's Administration and Licensing offices (Employee Bulletin Boards) at **100 North 15th Avenue, Suite 261, Phoenix, ARIZONA 85007.**



Keith A. Schraad, Interim-Superintendent



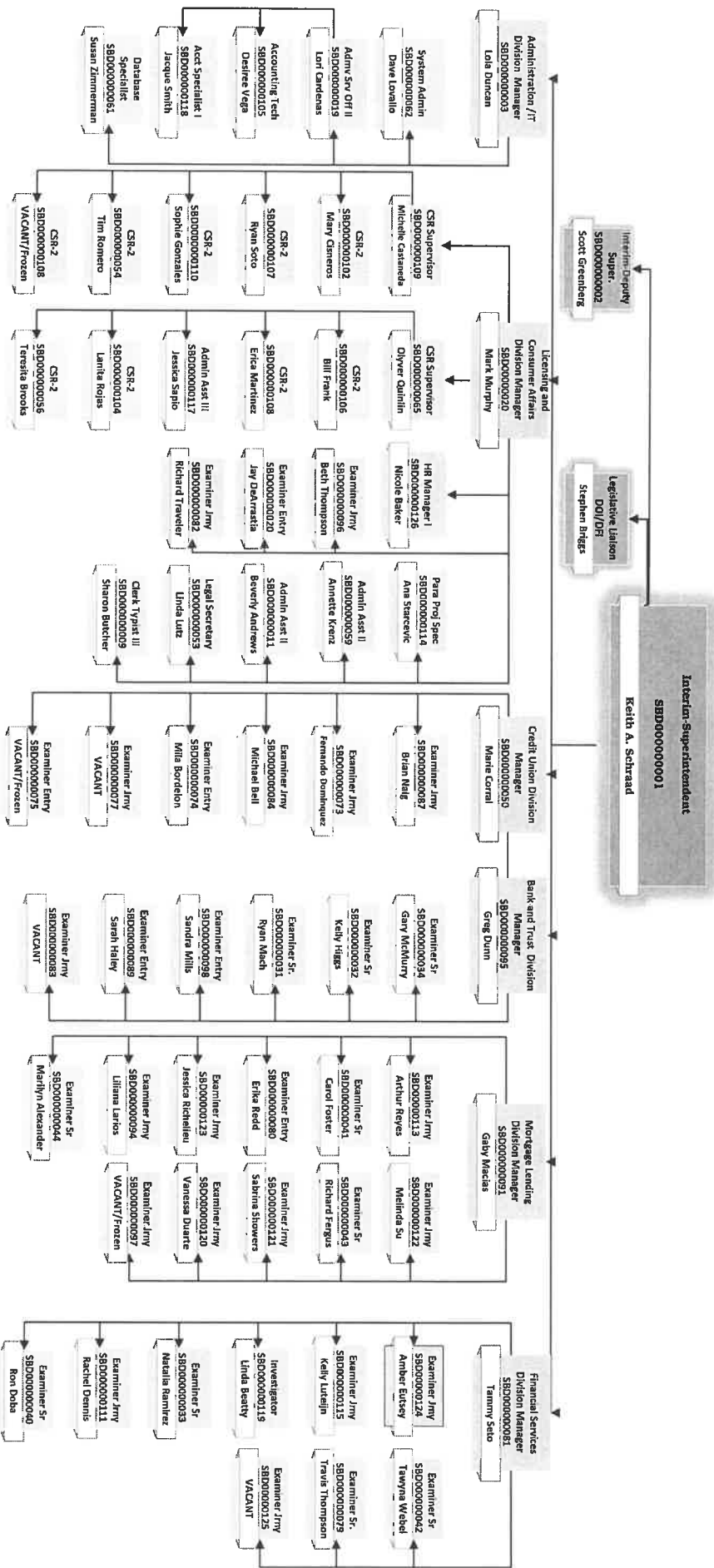
Date

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ARIZONA

DEPARTMENT OF
FINANCIAL INSTITUTIONS



CY2018__ Agency Complaint Data

I. Full Agency name: __Arizona Department of Financial Institutions__

Bases	Internal Complaints Total by Type CY 2018	Percent % of Total by Type	Formalized Claims (EEOC or Court) Total by Type CY 2018	Mediated Cases Total by Type CY 2018	Aged Cases Open > year Total by Type CY 2018	Resolved Cases Total by Type CY 2018
Age	0	0%	0	0	0	0
Disability	0	0%	0	0	0	0
Equal Pay	0	0%	0	0	0	0
Genetic Information	0	0%	0	0	0	0
Harassment	0	0%	0	0	0	0
Sexual Harassment	0	0%	0	0	0	0
National Origin	0	0%	0	0	0	0
Pregnancy	0	0%	0	0	0	0
Race/Color	1	50%	0	0	1	0
Religion	0	0%	0	0	0	0
Retaliation	0	0%	0	0	0	0
Sex	1	50%	0	0	1	0
Cumulative TOTALS for each column	2	100%	0	0	2	0
Total Separations (of internal employees)	0	0%	0	0	0	0
Total Applicant Complaints	0	0	0	0	0	0

Contact Name: __Nicole Baker__ **Title:** __HR Manager__
Phone: __602-771-2785__ **Email:** __nbaker@azdfi.gov__

II. Person in charge of sending EEOC Charge Letters to GOEO in real time:

Contact Name: __Nicole Baker__ **Title:** __HR Manager__
Phone: __602-771-2785__ **Email:** __nbaker@azdfi.gov__

Email: EqualOpportunity@az.gov | Fax: (602) 542-3711

User Name: jyh58312
Job Name : BD
Step Nbr : 1

Main Company: 1 STATE OF ARIZONA
Agency : BD DEPT OF FINANCIAL INSTITUTIONS

Period Ending: 123118
Control Number: 11111111

Functional Groups:

Ethnicity

- White: WHIT
- Black or African American: BLCK
- Hispanic: HISP
- Asian: ASA
- American Indian or Alaska Native: AIND
- Hawaiian/Pacific Islander: HPAC
- Multi: TWOM

STATE OF ARIZONA
DEPT OF FINANCIAL INSTITUTIONS
DEPARTMENT OF ADMINISTRATION
PHOENIX AZ 85007

CONTROL NUMBER 11111111

FUNCTIONS: 00 01 00 00 00 00 00 00 00 00 00 00 00 00 00 00

Column Descriptions: A = Total, B and G = White, C and J = Black/African American
D and K = Hispanic, E and L = Asian, F and M = American Indian/Alaska Native
G and N = Hawaiian/Pacific Islander, H and O = Multi

2. OTHER THAN FULL-TIME EMPLOYEES

JOB CATEGORY	SALARIES		***** MALE *****													***** FEMALE *****			
	TOTAL	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O			
OFFICIAL/ADM	66	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
PROFESSIONALS	67	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
TECHNICIANS	68	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
PROTECT/SRVCS	69	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
PARA-PROF	70	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
ADMTN SUPPRT	71	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
SKILLED CRAFT	72	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
SERV/MAINT	73	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
Grand Totals	74	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
By Category	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
By Male	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
By Female	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			

3. NEW HIRES DURING FISCAL YEAR - PERMANENT FULL TIME ONLY

	8	2	0	0	0	0	0	0	0	0	0	3	0	0	2	0	0	0	0	1
OFFICIAL/ADM	75	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PROFESSIONALS	76	7	2	0	0	0	0	0	0	0	0	3	0	0	1	0	0	0	0	1
TECHNICIANS	77	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PROTECT/SRVCS	78	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PARA-PROF	79	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0
ADMTN SUPPRT	80	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SKILLED CRAFT	81	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SERV/MAINT	82	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL	83	8	2	0	0	0	0	0	0	0	0	3	0	0	2	0	0	0	0	1
NEW HIRES		83																		

CERTIFICATION. I certify that the information given in this report is correct and true to the best of my knowledge and was reported in accordance with accompanying instructions. (Willfully false statements on this report are punishable by law, U. S. Code, Title 18, Section 1001.)

NAME OF PERSON TO CONTACT REGARDING THIS REPORT:

TITLE:

ADDRESS:

TELEPHONE NUMBER (INCLUDE AREA CODE):

DATE:

TYPED TITLE OF CERTIFYING OFFICIAL:

SIGNATURE OF CERTIFYING OFFICIAL:

EEO-4 REPORT 2018 WITH STRATEGIC PLAN

AGENCY CODE	Agency	FTE Count	Director	Director Email	Director Phone
BD	Department of Financial Institutions	51	Keith Schraad	kschraad@azdfi.gov	602-364-3100
HR Manager	HR Email	HR Phone	EO Liaison	EO Email	EO Phone
Nicole Baker	nbaker@azdfi.gov	602-771-2785	Nicole Baker	nbaker@azdfi.gov	602-771-2785

Directions: Complete Part I and Part II as directed, and submit this form with all supporting documents.

PART I DISCRIMINATION FREE WORKPLACE MEASURES	Fully Performed	Partially Performed	Not Performed
1. Cover Letter to the Governor <ul style="list-style-type: none"> • Non-discrimination affirmation • Signed by the Director • Letterhead 	<input checked="" type="checkbox"/>	<input type="checkbox"/> Attach an explanation	<input type="checkbox"/> Attach an explanation
2. Non-discrimination Policy Statement <ul style="list-style-type: none"> • Signed by agency Director • Includes physical location descriptions where the policy is posted • Includes website address and location description where policy is posted • EOE/ADA Employer language 	<input checked="" type="checkbox"/>	<input type="checkbox"/> Attach an explanation	<input type="checkbox"/> Attach an explanation
3. Agency Nondiscrimination Policy <ul style="list-style-type: none"> • Actual policy attached • Policy updated as laws change 	<input checked="" type="checkbox"/>	<input type="checkbox"/> Attach an explanation	<input type="checkbox"/> Attach an explanation
4. Agency Organization Chart <ul style="list-style-type: none"> • Identifying the reporting structure of agency EO personnel 	<input checked="" type="checkbox"/>	<input type="checkbox"/> Attach an explanation	<input type="checkbox"/> Attach an explanation
5. Complaint Data Form <ul style="list-style-type: none"> • Identifying complaint data • Contact information of EO Liaison/EO Officer • Contact information of employee who reports charge letters to GOEO 	<input checked="" type="checkbox"/>	<input type="checkbox"/> Attach an explanation	<input type="checkbox"/> Attach an explanation
6. HRIS XP391 REPORT <ul style="list-style-type: none"> • Including list of employees excluded in report 	<input checked="" type="checkbox"/>	<input type="checkbox"/> Attach an explanation	<input type="checkbox"/> Attach an explanation
7. Agency Highlights and Successes Narrative (Optional)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
PART II EQUAL OPPORTUNITY STRATEGIC PLAN	Fully Performed	Partially Performed	Not Performed

8. Agency Equal Opportunity Report Strategic Plan:

- GOEO Poster posted in public areas



Attach an explanation

Attach an explanation

EEO-4 REPORT 2019 WITH STRATEGIC PLAN

Directions: Create a one sentence SMART goal for each measure below: Who will perform the goal, what will be done, how will success be measured, and when will work be finished?

Part II 2019 STRATEGIC GOALS

GOAL I	<p>POLICY COMPLIANCE SMART GOAL: Complaint Reporting Process</p> <p>Create a clear reporting procedure, distribute this to all staff, include procedures for employees who witness incidents, establish a chain of command and make sure employees are informed of the limited nature of confidentiality involved in the reporting process.</p>
GOAL II	<p>PROGRAM ACCOUNTABILITY SMART GOAL: Roles and Position Descriptions</p> <p>Establish the EO functions separate and apart from HR functions during an open internal complaint, work with Shared Services Consultants in the EO reporting process and establish a rapid response team.</p>
GOAL III	<p>DISCRIMINATION PREVENTION SMART GOAL: Early Intervention</p> <p>Address previous risk factors, perform a climate survey to monitor workplace issues, managers and supervisors address issues during meetings and have managers follow up in the 1:1 until there is a resolution.</p>
GOAL VI	<p>COMPLAINT PROCESS SMART GOAL: Timely Dispatch</p> <p>Solidify a timeline for processing discrimination complaints, evaluate the rapid response time, confirm the compliance of unnecessary documents being removed from the file and create a procedure of informing everyone if there is a delay in the timeline.</p>
GOAL V	<p>CONFLICT MANAGEMENT SMART GOAL: Reasonable Accommodation</p> <p>Evaluate the current reasonable accommodation procedure, create an updated plan, check for gaps and close those gaps.</p>
GOAL VI	<p>WORKPLACE DIVERSITY SMART GOAL: Workplace Culture</p> <p>Make it clear that the agency supports Diversity in the Workplace, participate in team-building activities, assess satisfaction surveys to gauge the environment and develop a procedure to follow up with all diversity-related complaints.</p>
GOAL VII	<p>STAFF RESOURCES SMART GOAL: Information Access</p> <p>Provide accessibility to agency's EO strategic plan, provide access to protocol used by EO personnel, develop easy access to all forms needed by employee and post on agency website the contact info for the EO Liaison/coordinator.</p>