August 7, 2017

Chet Pinski  
Illinois Department of Human Rights  
James R. Thompson Center  
Suite 10-100  
Chicago, Illinois 60601

Dear Mr. Pinski:

Enclosed you will find the Illinois Department of Professional Regulation’s Affirmative Action Plan for fiscal year 2018. Should you have any questions concerning the plan, please contact EEO/AA Officer Vivian Toliver at (312) 814-1764.

Sincerely,

Bryan A. Schneider  
Secretary

Enclosures

cc: File  
Blaine Redemer, State Library
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Region 1
Officials/Managers
   White
   Black/African Americans
   Hispanic/Latino
   Asians
   American Indian & Alaskan Native
   Native Hawaiian or Other Pacific Islander
Professionals
   White
   Black/African Americans
   Hispanic/Latino
   Asians
   American Indian & Alaskan Native
   Native Hawaiian or Other Pacific Islander
Para-Professionals
   White
   Black/African Americans
   Hispanic/Latino
   Asians
   American Indian & Alaskan Native
   Native Hawaiian or Other Pacific Islander
Technicians
  White
  Black/African Americans
  Hispanic/Latino
  Asians
  American Indian & Alaskan Native
  Native Hawaiian or Other Pacific Islander

Administrative Support
  White
  Black/African Americans
  Hispanic/Latino
  Asians
  American Indian & Alaskan Native
  Native Hawaiian or Other Pacific Islander

Region 4
  Professionals
    White
    Black/African Americans
    Hispanic/Latino
    Asians
    American Indian & Alaskan Native
    Native Hawaiian or Other Pacific Islander

Region 6
  Professionals
    White
    Black/African Americans
    Hispanic/Latino
    Asians
    American Indian & Alaskan Native
    Native Hawaiian or Other Pacific Islander

Region 7
  Officials/Managers
    White
    Black/African Americans
    Hispanic/Latino
    Asians
    American Indian & Alaskan Native
    Native Hawaiian or Other Pacific Islander
Para-Professionals
  White
  Black/African Americans
  Hispanic/Latino
  Asians
  American Indian & Alaskan Native
  Native Hawaiian or Other Pacific Islander

Professionals
  White
  Black/African Americans
  Hispanic/Latino
  Asians
  American Indian & Alaskan Native
  Native Hawaiian or Other Pacific Islander

Administrative Support
  White
  Black/African Americans
  Hispanic/Latino
  Asians
  American Indian & Alaskan Native
  Native Hawaiian or Other Pacific Islander

Region 8
  Professionals
    White
    Black/African Americans
    Hispanic/Latino
    Asians
    American Indian & Alaskan Native
    Native Hawaiian or Other Pacific Islander

Region 9
  Para-Professionals
    White
    Black/African Americans
    Hispanic/Latino
    Asians
    American Indian & Alaskan Native
    Native Hawaiian or Other Pacific Islander

Region 10
  Para-Professionals
    White
    Black/African Americans
    Hispanic/Latino
    Asians
    American Indian & Alaskan Native
    Native Hawaiian or Other Pacific Islander

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EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION
PROGRAM CERTIFICATION

AGENCY: Illinois Department of Financial and Professional Regulation

ADDRESS: 320 West Washington
Springfield, Illinois 62786

100 W. Randolph Street
James R. Thompson Center
9th Floor
Chicago, Illinois 60601

TELEPHONE NUMBER: Chicago (312) 814-1764

AGENCY SECY: Bryan A. Schneider

EEO/AA OFFICER: Vivian Toliver

This is to certify that the attached document represents the Equal Employment Opportunity/Affirmative Action Program of this agency.

Bryan A. Schneider, Secretary

Vivian Toliver, EEO/AA Officer

08/04/2017
Date

8-4-17
Date
EEO/AA POLICY STATEMENT OF THE SECRETARY

It is the policy of the Department of Financial and Professional Regulation (IDFPR) to be fair in its employment practices, business practices, and regulatory activities, to provide equal employment opportunity to all employees, and to fully comply with all non-discrimination provisions of state and federal laws, rules, regulations and executive orders. IDFPR affirm to the following:

- Decisions regarding recruitment, hiring, training, promotion, lay-off and awarding of benefits will be made without regard to race, color, religion, sex, sexual orientation, national origin/ancestry, citizenship status, disability, age, marital status, arrest record, military status, order of protection, veteran status and unfavorable discharge from military service.

- Employees shall not discriminate, harass in any manner, or cause intentional harm or disrespect to any fellow employee, regulated institution or member of the public.

- Reasonable accommodation to the known physical or mental impairment of qualified disabled individuals will be provided, unless such accommodation would cause the agency undue hardship.

- Affirmative action will be taken to correct the underutilization of minorities, females and disabled persons in all levels of employment.

- It is the responsibility of each individual employee to refrain from sexual harassment in the workplace. No employee should be subjected to unsolicited or unwelcome sexual overtures or conduct in the workplace. Furthermore, it is the responsibility of all supervisors to make sure that the work environment is free from sexual harassment.

- The Secretary expects all executive, managerial, and supervisory staff to support the implementation of this policy and ensure compliance with non-discrimination laws and policies of this agency.

- All employees are directed to fully comply with provisions of this policy. Employees who become aware of any violation of this policy are directed to report such violation to our Equal Employment Opportunity Officer.

The failure to comply with the provisions of this policy may result in disciplinary action up to and including discharge. Any employee who feels that he/she has been discriminated against should promptly file a complaint with the Department’s Equal Employment Opportunity Officer, Vivian Toliver, without fear of retaliation.

Bryan A. Schneider  
Secretary

08/04/2017  
Date
AGENCY PROFILE

The Illinois Department of Financial and Professional Regulation (IDFPR) is committed to improving access to services, streamlining delivery and leveraging best practices to better serve the citizens of the State of Illinois. IDFPR is responsible for licensing, regulating, and examining a variety of professions, businesses and institutions within the State of Illinois for safety and soundness and for compliance with Illinois law. Divisions are broken down as follows:

**Division of Banking (DOB):**

The mission of the Illinois Department of Financial and Professional Regulation, Division of Banking, is to ensure competitive and accessible financial services through a balanced application of regulations in an efficient, professional, fair, and responsive manner.

DOB oversees the regulation and licensure of:

- Banks (State Chartered);
- Foreign Bank Representative Offices;
- Foreign Banking Offices;
- Foreign Corporate Fiduciaries;
- Independent Trust Companies;
- Loan Originators;
- Mortgage Bankers;
- Mortgage Brokers;
- Pawnshops; and
- Savings Banks (State Chartered)

**Division of Financial Institutions (DFI):**

The mission of the Illinois Department of Financial and Professional Regulation, Division of Financial Institutions, is to ensure sound, competitive, and accessible financial products through a balanced application of regulations in an efficient, professional, fair, and responsive manner.

DFI licenses, examines, and regulates thousands of entities including:

- Consumer Installment Loan Lenders;
- Currency Exchanges;
- Debt Management Services;
- Debt Settlement Services;
- Development Credit Corps;
- Money Transmittal Services;
- Non-Bank Safe Deposit Box Services;
- Payday Loan Lenders;
- Sales Finance Agencies;
- Stated Chartered Credit Unions; and
- Title Insurance Companies (Underwriters and Agents)
Division of Professional Regulation (DPR):

The mission of the Illinois Department of Financial and Professional Regulation, Division of Professional Regulation, is to serve, safeguard, and promote the health, safety, and welfare of the public by ensuring that licensure qualifications and standards for professional practice are properly evaluated, applied, and enforced.

DPR licenses, examines, and regulates many professionals, including:

- Acupuncturists;
- Architects;
- Athletic Agents;
- Athletic Trainers;
- Barber and Cosmetology Salons/Shops;
- Barber Teachers;
- Barbers;
- Canine Handlers and Trainers;
- Cemeteries;
- Cemetery Managers;
- Chiropractors;
- Collection Agencies;
- Controlled Substances;
- Cosmetologists;
- Cosmetology Teachers;
- Dentists;
- Dental Hygienists;
- Design Firms;
- Detection of Deception Examiners;
- Dietitian Nutritionists;
- Electrologists;
- Environmental Health Practitioners;
- Estheticians;
- Esthetics Teachers;
- Euthanasia Technicians and Agencies;
- Fingerprint Vendors and Agencies;
- Firearm Instructors;
- Funeral Directors and Embalmers;
- Genetic Counselor;
- Geologists;
- Hair Braiders;
- Hair Braider Teachers;
- Home Medical Equipment and Services Providers;
- Interior Designers;
- Landscape Architects;
- Land Surveyors;
- Locksmiths and Agencies;
- Mail Order Ophthalmic Providers;
- Marriage and Family Therapists;
- Massage Therapists;
- Medical Cannabis Agents;
- Medical Cannabis Dispensaries;
Division of Professional Regulation (DPR) – cont.:  
- Medical Corporations;  
- Nail Technicians;  
- Nail Technology Teachers;  
- Naprapaths;  
- Nurses (LPN, RN, APN);  
- Nursing Home Administrators  
- Occupational Therapists/Occupational Therapy Assistants;  
- Optometrists;  
- Orthotics/Prosthetics/Pedorthics;  
- Perfusionists;  
- Pharmacists/Pharmacies/Pharmacy Technicians/Pharmacy Assistants;  
- Physical Therapists/Physical Therapy Assistants;  
- Physician Assistants;  
- Physician and Surgeons;  
- Podiatric Physicians;  
- Private Alarm Contractors and Agencies;  
- Private Detectives and Agencies;  
- Private Security Contractors and Agencies;  
- Professional Boxing;  
- Professional Counselors (Licensed and Licensed Clinical);  
- Professional Engineers;  
- Professional Limited Liability Companies;  
- Professional Service Corporations;  
- Psychologists (Clinical);  
- Public Accountants;  
- Public Accountant Firms;  
- Registered Surgical Assistants and Surgical Technologists;  
- Respiratory Care Practitioners;  
- Roofing Contractors;  
- Sex Offender Evaluator;  
- Sex Offender Treatment Provider/Associate Sex Offender Provider;  
- Shorthand Reporters;  
- Social Workers (Licensed and Licensed Clinical);  
- Speech-Language Pathologists and Audiologists;  
- Structural Engineers;  
- Veterinarians/Veterinary Technicians; and  
- Wholesale Drug Distributors

Division of Real Estate (DRE):  
The mission of the Illinois Department of Financial and Professional Regulation, Division of Real Estate, is to ensure competitive and accessible real estate services through a balanced application of regulations in an efficient, professional, fair, and responsive manner.

RE licenses and regulates the work of:
- Auctioneers;  
- Auctioneer Firms;  
- Auctioneer CE Schools;  
- Auctioneer CE Courses;
Division of Real Estate (DRE) – cont.:

- Auctioneer Listing Service (Internet);
- Community Association Manager;
- Home Inspector CE Courses;
- Home Inspector Education Providers;
- Home Inspector Entities;
- Home Inspector Pre-License Courses;
- Home Inspectors;
- Internet Auction Listing Service;
- Real Estate Managing Broker;
- Real Estate Leasing Agent Student;
- Real Estate Leasing Agent;
- Real Estate Broker;
- Real Estate Branch Office;
- Real Estate Broker Corporation;
- Real Estate Broker Partnership;
- Real Estate Limited Liability Firm;
- Real Estate Pre-License School;
- Real Estate Pre-License Branch;
- Real Estate Pre-License Instructor;
- Real Estate Pre-License Course;
- Real Estate CE School;
- Real Estate CE Instructor;
- Real Estate Ce Course;
- Certified General Real Estate Appraiser;
- Certified Residential Real Estate Appraiser;
- Appraiser Education Provider;
- Associate Real Estate Trainee Appraiser;
- Appraisal Management Company;
- Temporary Practice Real Estate Appraiser;
- Appraiser Pre-License Course;
- Appraiser CE Course;
- Registered Timeshare Developer;
- Registered Timeshare Plan;
- Registered Timeshare Agent;
- Registered Timeshare Acquisition Agent;
- Registered Timeshare Managing Entity;
- Registered Timeshare Exchange Company;
- Registered Land Sales Developer;
- Registered Land Sales Subdivision; and
- Registered Timeshare Component Site
IDENTIFICATION AND DUTIES OF EEO/AA OFFICER

The person assigned the responsibility of discharging the EEO/AA functions for Secretary Bryan Schneider is Vivian Toliver. Ms. Toliver is located in the James R. Thompson Center, 100 W. Randolph Street, Suite 9-300, Chicago, Illinois 60601. Ms. Toliver can be reached at (312) 814-1764, and her e-mail address is: vivian.toliver@illinois.gov

The duties of the EEO/AA Office include, but are not limited to, those delineated in the Human Rights Act and Department’s Rules and Regulations:

1. To develop the Agency’s Affirmative Action Plan and goals and objectives;

2. To assist in identifying and solving EEO problems;

3. To design and implement internal audits and reporting systems for measuring the effectiveness of Department programs, indicating need for remedial action and determining the degree to which the Department’s goals and objectives have been attained;

4. To serve as liaison between the Department and EEO enforcement authorities;

5. To serve as liaison between the Department and organizations for minorities, women and the disabled;

6. To inform management of developments in the EEO field;

7. To assist in the evaluation of employees and job applicants so that minorities, women and the disabled are given equal opportunity;

8. To regularly confer with managers, supervisors and employees to assure that the agency’s EEO policies are observed;

9. To advise managers and supervisors if employment practices comply with provisions of the Human Rights Act;

10. To report to the Department of Human Rights all internal and external complaints of discrimination against the Department;

11. To assist in the investigation of internal and external complaints of discrimination as specified in the Rules for the Administration of the Illinois Human Rights Act in Section 2.520.790(a & b);

12. At the request of the Department’s Secretary, to direct Department staff in taking appropriate action to correct discriminatory practices identified by the Department of Human Rights, and to report to the Secretary and the Department of Human Rights on the progress of action taken;

13. In conjunction with the filing of Quarterly Reports, to submit recommendations to the Secretary and the Department of Human Rights for improvements to the Department’s Affirmative Action Plan;
14. To immediately notify the Secretary and the Department of Human Rights when unable to resolve employment practices or conditions that have or tend to have disparate impact on minorities, women or the disabled; and

15. If the agency is in noncompliance, as described in Section 2520.795, to work with Central Management Services to develop programs to train staff in hiring and promotional practices, and to notify the Department of such training.

The EEO/AA Officer’s duties also include:

1. Reporting on and/or analyzing Layoff Reports, Reorganization Reports, Hiring and Promotion Monitors, and Exit Questionnaires;

2. Evaluating tests, employment policies and practices, and reporting to the Department Secretary any such policies, practices and evaluation mechanisms which have adverse impact on minorities, women and the disabled. The Department’s EEO Officer will also assist in the recruitment of minorities, women and people with disabilities; and

3. Provide counseling to any aggrieved employee or applicant for employment who believes that he or she has been discriminated against because of race, sex, sexual orientation, creed, religion, color, marital or parental status, age, national origin, order of protection, political affiliation and/or beliefs, mental and/or physical disability or other non-merit factors.
METHODS OF DISSEMINATING THE DEPARTMENT’S AFFIRMATIVE ACTION POLICY AND PLAN

Policy

- Post policy on bulletin boards;
- Display EEO/AA posters in conspicuous locations;
- Inclusion in new employee orientation and other appropriate training programs;
- Communications sent to area minority groups and women’s organizations and advocacy groups for persons with disabilities.

Plan

- Available to state and federal regulatory agencies;
- Available to all recruitment sources;
- Agency Intranet; and
- Copy to State Library.
SPECIAL PROBLEMS

1. The rules and regulations governing veteran's preference causes the eligible candidate to have an edge in the hiring process.

2. A high percentage of the employees are under the collective bargaining agreement that limits flexibility in hiring/promoting into bargaining unit positions.

3. The rules and regulations of the upward mobility program limit upward mobility for employees unable to compete in the program, and it does not afford the opportunity to bypass the most senior candidate in favor of one in a protected and underutilized class.

4. Several titles utilized by IDFPR are specialized in that qualifications are set by statute or require specific education or experience.
SECTION TWO
INTERNAL WORKFORCE ANALYSIS

The majority of IDFPR employees are classified in the Officials/Managers and Professionals EEO categories. IDFPR employs individuals in each of the Department of Human Rights' regions except for region(s) 3, 4, and 10.

Positions in the titles of Senior Public Service Administrator, Public Service Administrator, Bank Examiner, Financial Institutions Examiner, Health Services Investigator, and Administrative Assistant encompass the majority of the positions in the Official/Manager and Professional EEO categories. Positions in some of these titles require specialized skills and new hires are assigned to one of the agency's offices or supervisory districts. Due to the nature of the agency's examination, supervision and regulation work, extensive traveling, including frequent overnight travel, is required of examination personnel.

Salary schedules for employees in the Public Service Administrator, Technicians, Administrative Support and Service/Maintenance, as well as the majority of employees in the Para-Professional and Professional EEO categories are governed by a seven (7) step collective bargaining agreement between the State of Illinois and the American Federal of State, County and Municipal Employees (AFSCME). The agreement governs the wages and benefits received by employees and it specifies criteria for promotions for employees covered by the agreement. The provisions of the agreement are administered without regard to non-merit factors.

In accordance with the provisions of the agreement, promotions to positions governed by the AFSCME agreement are based upon seniority. Promotions to the majority of positions in the RC-62 bargaining agreement are based upon the principle of semi-automatic advancement.

For positions not governed by the agreement, the agency subscribes to the policy of promotion from within whenever possible. In making determinations on promotions, the agency utilizes the testing standards and criteria of the Department of Central Management Services, Bureau of Personnel, coupled with internal promotion guidelines and criteria.
<table>
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<tr>
<th>Category</th>
<th>Service / Shared Care</th>
<th>Information Technology</th>
<th>Executive / Finance</th>
<th>Programming / Engineering</th>
<th>Facilities / Fund Raising</th>
<th>Professional / Technical</th>
<th>Administrative / Support</th>
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</table>

**Region: 6**

**Agency: Department of Financial and Professional Regulation**

**Workforce Analysis by Region**
<table>
<thead>
<tr>
<th>Region</th>
<th>Total Reporting Period: 07/01/2016 to 06/30/2017</th>
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<tbody>
<tr>
<td></td>
<td>Workforce Analysis by Region</td>
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</tbody>
</table>

**Note:** This document contains data tables and percentages related to workforce analysis by region for the specified reporting period. The tables include data on various categories such as gender, ethnicity, and other demographics. The data appears to be organized in a tabular format with columns and rows indicating percentages and counts. The specific details are not fully legible due to the image quality, but it is clear that the document is part of a report or analysis related to workforce diversity and representation.
<table>
<thead>
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<th>Gender</th>
<th>Race/Ethnicity</th>
<th>Total</th>
<th>PW</th>
<th>W</th>
<th>B/A/AA</th>
<th>H</th>
<th>A/AN</th>
<th>OPI</th>
<th>NH</th>
<th>W/B/A/AA</th>
<th>H/A/AN</th>
<th>OPI/NH</th>
<th>Total</th>
<th>PW</th>
<th>W</th>
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<th>H</th>
<th>A/AN</th>
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<th>NH</th>
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</table>

**EEO Category:** Department of Financial and Professional Regulation

**Agency:** Division of Financial and Professional Regulation

**Reported Period:** 07/11/2016 to 09/30/2017

**Gender:**
- All Employees

**Race/Ethnicity:**
- Total
- PW
- W
- B/A/AA
- H
- A/AN
- OPI
- NH
- W/B/A/AA
- H/A/AN
- OPI/NH
- Total
- PW
- W
- B/A/AA
- H
- A/AN
- OPI
- NH

**Percentages:**
- By Gender
- By Race/Ethnicity

**Table:**
- WCDA
- PW
- W
- B/A/AA
- H
- A/AN
- OPI
- NH
- W/B/A/AA
- H/A/AN
- OPI/NH
- Total
- PW
- W
- B/A/AA
- H
- A/AN
- OPI
- NH

**Report:** Workforce Transactions Report
### Workforce Transactions Report

**Agency:** Department of Financial and Professional Regulation  
**EEO Category:** PROTECTIVE SERVICE  
**Reporting Period:** 07/01/2016 to 06/30/2017

<table>
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<th>Transaction</th>
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<th>FEMALES</th>
<th>PERCENTAGES</th>
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</tbody>
</table>

*W = White  B/AA = Black or African American  H/L = Hispanic or Latino  A = Asian  AI/AN = American Indian or Alaskan Native  NH OPI = Native Hawaiian or Other Pacific Islander  PWD = People with Disabilities*

DHR-10 (Rev. Feb 2016)
### Workforce Transactions Report by EEO Category

**Agency:** Department of Financial and Professional Regulation  
**Reporting Period:** 07/01/2016 to 06/30/2017

**EEO Category:** PARAPROFESSIONALS

<table>
<thead>
<tr>
<th>Transaction</th>
<th>Grand Total</th>
<th>Total</th>
<th>MALES</th>
<th>FEMALES</th>
<th>PERCENTAGES</th>
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<td>Intra-Agency Transfers</td>
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*W=White  B/AA=Black or African American  H/L=Hispanic or Latino  A=Asian  AI/AN=American Indian or Alaskan Native  NH OPI=Native Hawaiian or Other Pacific Islander  PWD=People with Disabilities*
## Workforce Transactions Report by EEO Category

**Agency:** Department of Financial and Professional Regulation  
**Reporting Period:** 07/01/2016 to 06/30/2017

**EEO Category:** ADMINISTRATIVE SUPPORT

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W = White  B/AA = Black or African American  H/L = Hispanic or Latino  A = Asian  All/AN = American Indian or Alaskan Native  NH/OP = Native Hawaiian or Other Pacific Islander  PWD = People with Disabilities

DHR-10 (Rev. Feb 2016)
## Workforce Transactions Report

by EEO Category

**Agency:** Department of Financial and Professional Regulation  
**Reporting Period:** 07/01/2016 to 06/30/2017

**EEO Category:** SKILLED CRAFT

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W=White  B/AA=Black or African American  H/L=Hispanic or Latino  A=Asian  AI/AN=American Indian or Alaskan Native  NH/PI=Native Hawaiian or Other Pacific Islander  PWD=People with Disabilities

DHR-10 (Rev. Feb 2016)
### Workforce Transactions Report by EEO Category

**Agency:** Department of Financial and Professional Regulation  
**Reporting Period:** 07/01/2016 to 06/30/2017

**EEO Category:** SERVICE / MAINTENANCE

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W=White  B/AA=Black or African American  HIL=Hispanic or Latino  A=Asian  Al/AN=American Indian or Alaskan Native  NHOP=Native Hawaiian or Other Pacific Islander  PWD=People with Disabilities

DHR-18 (Rev. Feb 2016)
## Summary of Workforce Transactions Report by EEO Category

**Agency:** Department of Financial and Professional Regulation  
**Reporting Period:** 07/01/2016 to 06/30/2017

### GRAND TOTAL

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**Legend:**  
- W=White  
- B/AA=Black or African American  
- H/L=Hispanic or Latino  
- A=Asian  
- Al/AN=American Indian or Alaskan Native  
- NH/OP=Native Hawaiian or Other Pacific Islander  
- PWD=People with Disabilities

DHR-10 (Rev. Feb 2016)
OFFICIALS/MANAGERS
Professionals
Technicians

PROFESSIONALS
Technicians
Para-professionals

PARA-PROFESSIONALS
Administrative Support

TECHNICIANS

ADMINISTRATIVE SUPPORT

SERVICE/Maintenance
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