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**BY MAIL AND EMAIL**

June 25, 2019

Pauline A. Toole  
Commissioner  
Department of Records and Information Services  
31 Chambers Street  
New York, NY 10007

Re: Department of Records and Information Services  
Evaluation of Sexual Harassment Prevention and Response Practices  
Audit Period: January 1, 2017 to December 31, 2018  
Determination: **PRELIMINARY**

Dear Commissioner Toole:

On behalf of the members of the Equal Employment Practices Commission (EEOC), thank you and your agency for the cooperation extended to our staff thus far. This letter contains the EEOC's evaluation and preliminary determinations pursuant to the Department of Records and Information Services' Sexual Harassment Prevention and Response Practices for the period covering January 1, 2017 to December 31, 2018.

**Purpose**

Chapter 36, Sections 830(a) and 831(d)(2) and (5) of the New York City Charter (Charter) authorize the EEOC to audit, review, evaluate, and monitor the employment practices, procedures, and programs of city agencies and other municipal entities, hereinafter "entities," and their efforts to ensure fair and effective equal employment opportunity (EEO) for women and minority employees and applicants. Charter Sections 831(d)(2) and 832(c) authorize the EEOC to make a determination that any plan, program, procedure, approach, measure, or standard does not provide equal employment opportunity, require appropriate corrective action, and monitor the implementation of the corrective action prescribed.

The Department of Records and Information Services, hereinafter simply termed "agency" or "entity," falls within the EEOC's purview under Chapter 36, Sections 830(a) and 831(a) of the Charter, to review, evaluate, and monitor the coordination and implementation of affirmative employment programs of equal employment opportunity for any "city, county, borough or other office, administration, board, department, division, commission, bureau, corporation, authority, or other agency of government where the majority of the board members of such agency are appointed by the mayor or serve by virtue of being city officers or the expenses of which are paid in whole or in part from the city treasury..."

The purpose of this audit and analysis is to evaluate the subject matter referenced, not to issue findings of discrimination pursuant to the New York City Human Rights Law.

### Scope

The EEPC has adopted uniform standards for auditing municipal entities<sup>1</sup> and minimum standards for auditing Community Boards (collectively “Standards”) to review, evaluate, and monitor entities’ employment and EEO-related practices, procedures, approaches, measures, standards, and programs. These standards are founded upon, and consistent with federal, state, and local laws and regulations, and policies and procedures to increase equal opportunity for women, minorities, and other employees and job applicants identified for protection from discrimination. Corrective actions prescribed are consistent with the aforementioned parameters including, but not limited to, the City of New York’s *Equal Employment Opportunity Policy, Standards and Procedures to Be Utilized by City Agencies 2014*, as amended (Citywide EEO Policy); the New York City Human Rights Law (New York City Administrative Code Title 8); New York State Human Rights Law (New York Executive Law, Article 15); the New York State Civil Service Law §55-a; and the equal employment opportunity requirements of the New York City Charter.

### *Policy and Plan Requirements*

The aforementioned Standards require, at minimum, that mayoral entities distribute the Citywide EEO Policy; non-mayoral entities establish or adopt a comprehensive EEO policy; and Community Boards, which are comprised of members appointed by the respective Borough Presidents, adopt and distribute the corresponding Borough President’s EEO Policy.

Because the EEPC is authorized to review and recommend actions that each entity should consider including in its annual plan of measures and programs to provide equal employment opportunity, or Annual EEO Plan, entities are also required to incorporate the EEPC’s corrective actions in prospective Annual EEO Plans and programs.

### Methodology

The EEPC communicates with EEO professionals (including, but not limited to, past or current EEO Officers, Deputy or Co-EEO Officers, EEO Counselors, EEO Trainers, EEO Investigators, Disability Rights Coordinators, Career Counselors, and 55-a Program Coordinators) and other employees identified as having involvement in EEO program administration such as the Principal Human Resources Professional and relevant Counsel.

The EEPC’s audit methodology includes review of the agency’s Annual EEO Plans and Quarterly EEO Reports; analysis of workforce and utilization data; and the collection and analysis of documents, records, and data an entity and its representatives provide in response to the Sexual Harassment Prevention and Response Preliminary Interview Questionnaires (PIQs). All PIQs contain requests to attach supporting documentation for the answer options selected.

EEO Professionals designated for online interviews are assigned a three-week deadline to complete and return the PIQs. The EEPC’s PIQ(s)/requests were sent to the Department of Records and Information Services on February 11, 2019; the completed PIQ(s) were returned on March 4, 2019. Supporting documentation was attached. Additional requests for information were made on March 25, 2019 and May 30, 2019.

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<sup>1</sup> Corresponding audit/analysis standards are numbered throughout the document.

The following determination indicates where the Department of Records and Information Services has or has not complied, in whole or in part, with the established Standards.

### **Description of the Agency**

The Department of Records and Information Services (DORIS) was made a Charter agency in 1977. Section 3003 of the Charter designates the Commissioner as the chief archivist of the City, and as the chief reference and research librarian and public records officer for the Mayor, Borough Presidents, and the Council. The Charter consolidated responsibility for the organization and retrieval of records, reports and archival documents produced by past and present City government offices. The Municipal Archives appraises, accessions, classifies, arranges and makes available for research irreplaceable historical records of New York City government. The Municipal Records Management Division ensures that records at all City agencies are retained for designated periods of time and disposed of properly.

DORIS develops uniform standards and procedures to assist City agencies in managing their records. The Municipal Library provides information drawn from its collections of government publications and is the depository for all official reports and studies published electronically by New York City departments, commissions and divisions. (Source: The Green Book, 3/2019). The CEEDS Report: *Work Force Composition Summary* for the Department of Records and Information Services, attached as Appendix 1, indicated that at the end of the period in review, DORIS' headcount was 73.

## **PRELIMINARY DETERMINATIONS AFTER AUDIT AND ANALYSIS**

Following are the corresponding audit standards for each subject area along with the EEPC's findings and required corrective actions, where appropriate:

### **I. Issuance, Distribution and Posting of EEO Policies**

**Determination: The agency is in compliance with the standards for this subject area.**

1. Issue a Policy Statement or memorandum reiterating commitment to the prevention of sexual harassment annually.

✓ On December 27, 2017 and November 16, 2018, the Commissioner of DORIS emailed all employees an *Equal Employment Opportunity Commitment* memorandum (EEO Commitment) attached as Appendix 2 and Appendix 3, which both stated, “[a]s the Commissioner of the Department of Records and Information Services (DORIS), I am committed to ensuring fair employment practices” and “I am committed to ensuring that DORIS does not discriminate against employees, or applicants for employment, in any manner prohibited by federal, state and/or local laws.” Additionally, on November 16, 2018, the Commissioner of DORIS emailed all employees the *Sexual Harassment Policy Statement* (Policy Statement), attached as Appendix 4, which reiterated, “[s]exual harassment is a form of employment discrimination prohibited by the EEO Policy and law.”

2. Distribute/Post a paper or electronic copy of the Equal Employment Opportunity Policy, Standards and Procedures to Be Utilized by City Agencies – or an agency Policy that conforms to city, state and federal laws against sexual harassment– for use by managers, supervisors, and legal, human resources and EEO professionals. Include, or attach as addenda: uniform and responsive procedures for investigating discrimination/sexual harassment complaints, and current contact information for

the agency's EEO professionals as well as federal, state and local agencies that enforce laws against discrimination/sexual harassment.

✓ A link to the City of New York's 2014 *Equal Employment Opportunity Policy, Standards and Procedures to Be Utilized by City Agencies* (EEO Policy), attached as Appendix 5, was provided in the Policy Statement (see §I.1) that was distributed by email on November 16, 2018. The EEO Policy contained the following sections pertaining to sexual harassment: Section I(A) *Types of Prohibited Conduct*, which stated, "[t]he policy also prohibits sexual harassment (i.e., conduct or language of a sexual nature) and harassment based on gender or any other protected characteristic", a definition of sexual harassment in Section II(A) and procedures for investigating discrimination/sexual harassment complaints in Section III. The Policy Statement provided: current contact information for DORIS' principal EEO Professional; links to *About EEO: What You May Not Know, City of New York* (EEO Handbook) and the *EEO Complaint Procedural Guidelines, City of New York 2016* (EEO CPG), attached as Appendix 6, which contained uniform and responsive procedures for investigating discrimination/sexual harassment complaints and contact information for federal, state, and local agencies that enforce laws against discrimination/sexual harassment. DORIS reported that new employees were provided with an orientation from Human Resources that included a section on sexual harassment prevention and EEO, and were also provided with a copy of the EEO Policy.

**NOTE:** The following protected classes are not in the EEO Policy: "consumer credit history", "familial status", and "caregiver status". If the agency distributes this document, it should include the EEO Policy Addendum 2017<sup>2</sup> or an updated list of the protected classes covered by the EEO Policy. Additionally, the address listed for the New York City Commission on Human Rights in the *EEO Complaint Procedural Guidelines, City of New York 2016* is no longer current. If DORIS distributes this document, it should include an updated address for the New York City Commission on Human Rights with that distribution or distribute the 2018<sup>3</sup> version of the *EEO Complaint Procedural Guidelines, City of New York* that includes the current address for New York City Commission on Human Rights and other pertinent information.

## II. Training for the Agency

**Determination: The agency is in compliance with the standards for this subject area.**

3. Establish and implement a training plan for new and existing employees to ensure that all individuals who work within the agency, including managers and supervisors, receive training on the prevention of sexual harassment as well as discrimination complaint and investigation procedures.

✓ During the period in review, DORIS established a training plan for new and existing employees, including managers and supervisors as part of its annual *Diversity and Equal Employment Opportunity Plan*. At the end of the period in review, DORIS had 73 employees, and according to training records, 71 employees (approximately 97.2% of the workforce) completed the Department of Citywide Administrative Services' (DCAS) *Sexual Harassment Prevention: What to Know About Unlawful and Inappropriate Behaviors in the Workplace* training between July and December of 2018. According to DCAS' Citywide Training Center Course Catalog, topics included in the *Sexual Harassment Prevention: What to Know About Unlawful and Inappropriate Behaviors in the Workplace*

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<sup>2</sup> Located at [http://extranet.dcas.nycnet/eoo/diversityeeo/media/40559/Final-Addendum-to-EEO-Policy\\_102517.pdf](http://extranet.dcas.nycnet/eoo/diversityeeo/media/40559/Final-Addendum-to-EEO-Policy_102517.pdf)

<sup>3</sup> Located at [http://www.nyc.gov/html/dcas/downloads/pdf/misc/eoo\\_complaint\\_procedural\\_guidelines\\_2018.pdf](http://www.nyc.gov/html/dcas/downloads/pdf/misc/eoo_complaint_procedural_guidelines_2018.pdf)

training were: "definitions and examples of sexual harassment," "how Sexual Harassment is a form of unlawful discrimination under federal, state and local law," "the role of the New York City Commission on Human Rights (NYC CHR), the New York State Division of Human Rights (NYS DHR), and the United States Equal Employment Opportunity Commission (US EEOC), and the complaint procedures," "the complaint process for employees, managers, and supervisors," "the prohibition of retaliation," and "the importance of bystander intervention."

### **III. Complaint and Investigation Procedures**

**Summary of Complaint Activity:** The agency reported 0 internal and 0 external complaints were filed during the period in review.

**Determination:** The agency is in compliance with the standards for this subject area.

4. Include in the complaint file a completed Complaint Intake Form, or a written complaint that captures facts (including pertinent dates) that identify the respondent(s) with reasonable specificity and provide the essence of the circumstances which gave rise to the complaint.

✓ The complaint intake form contained in DORIS' adopted complaint procedures (*Sample A* in the EEO CPG) provided space to capture: "[Complainant] *Contact Information*," "*Respondent's Information*," "*Description of the nature of the complaint*," and "*Action(s) taken by the EEO Office*."

5. Provide the option to file a complaint anonymously.

✓ The option to file a complaint anonymously was provided to employees via *The Intake Phase* section of the EEO CPG that established, "[t]he person making the complaint may do so anonymously, if he or she so chooses. Anonymous complaints must be treated the same as identified complaints, to the extent possible." Furthermore, DORIS reported that during new employee orientation and as part of the sexual harassment prevention training the option to file a complaint anonymously was verbally communicated.

6. Serve the respondent with a notice of the complaint that includes the respondent's right to respond to the allegations and right to be accompanied by a representative of his/her choice. Maintain in the complaint file documentation regarding the service of notice on the respondent.

✓ The EEO CPG contained a *Notice to Respondent of the Complaint* section, which stated, "[t]he EEO Office must serve Respondent with a notice of complaint along with a redacted copy of the complaint or a summary of the complaint and allegations after interviewing the Complainant." It further stated, "[s]chedule a meeting with Respondent, ensuring that Respondent is informed of the right to be accompanied by a representative", and "[i]nform Respondent of the right to respond in writing to the complaint, and that the response should be submitted as soon as possible."

7. Issue/maintain written confirmation when an internal complaint/mediation is terminated, withdrawn or resolved by agreement of the parties or EEO Office.

✓ In the *Mediation* section of the EEO CPG, it was established, "[a] party may withdraw from mediation at any time. The EEO Office may also terminate the mediation process if it deems that the effort has been unproductive. The EEO Office must inform all parties to the complaint, in writing, of the termination of mediation. The notice must also inform the parties that the EEO Office will resume its investigation of the complaint." Section III(C) of the EEO Policy stated, "[a] complaint of discrimination may be withdrawn at any time by the person who filed the complaint. Withdrawal of a complaint must be made or confirmed in writing." The EEO Policy also specified in Section III(D) that "[m]ediation may be terminated by any party to the mediation. If this occurs, the EEO Officer will inform the other party or parties in writing that the mediation has been terminated."

**8.** Take thorough notes, of words spoken and facts provided, during each interview. Include these notes in each complaint file.

✓ The *Investigation* section of the EEO CPG specified, "[d]uring each interview, take thorough notes, as close to verbatim as possible. Notes should reflect the content of the interview, both the questions and answers, as completely as possible" and also mentioned, "[a]ll complaints and related documents, including any investigative notes, records, or copies, are strictly confidential and must be maintained by the EEO Office."

**9.** Issue a conclusive report within 90 days of the date the complaint was filed. Commence an investigation immediately if allegations raised sufficiently warrant an investigation.

✓ It was stipulated in the *Investigation* section of the EEO CPG that, "[t]he complaint investigation should begin immediately after a determination that the allegations raised, if true, are sufficient to establish discrimination under the Policy," and that "[t]he complaint investigation should be completed and the Complainant should be notified of the outcome within 90 calendar days of the filing of a complaint."

**10.** In rare circumstances where a complaint investigation cannot commence immediately, or where a conclusive report cannot be issued within 90 days, specify in the complaint file the reason for the delay and project a time frame for completion of the report. Notify the complainant and respondent of the delay.

✓ In the *Preparing the Final Report* section of the EEO CPG, it stated, "[t]he final investigative report must be completed and the parties must be notified of the outcome within 90 calendar days from the date the complaint was filed with the EEO Office, unless the time period is extended by the EEO Office for good cause, with written notice to the parties and memorialized in the investigative file and/or the complaint tracking system. The EEO Office must document the reason for the delay, and project a time frame for the completion of the report."

**11.** Generate at the end of each complaint investigation, a conclusive confidential report which includes a summary of the allegations and responses, a summary of the procedural history of the investigation, a statement of the relevant facts gathered, a determination, a recommendation and documentation of the Agency Head's Review.



✓ In the *Preparing the Final Report* section of the EEO CPG, it stated, "[a]fter all the relevant facts have been gathered, the EEO Officer must prepare a confidential written report on the complaint investigation and must submit the report to the agency head for review...The written report should include a summary of the allegations and responses, a summary of the procedural history of the investigation, a statement of the relevant facts gathered during the investigation, a conclusion/determination and recommendation. Conclusions must be supported by facts uncovered during the investigation."

**12.** Maintain complaint files in a secure area and ensure that they can be located and reviewed by the agency head, agency general counsel, and other appropriate staff identified by the agency head.

✓ DORIS reported that EEO related files were stored in a secured file cabinet inside of the principal EEO Professional's office to ensure they could be located by the agency head and Agency Attorney.

**13.** Establish and implement a policy whereby the agency head (or an approved direct report other than the General Counsel) reviews the principal investigator's conclusive report; issues a written/electronic determination adopting, rejecting, or modifying the recommended action; and signs each determination, via writing or electronically, to indicate it has been reviewed and adopted.

✓ In the *Preparing the Final Report* section of the EEO CPG, it stated, "[a]fter all the relevant facts have been gathered, the EEO Officer must prepare a confidential written report on the complaint investigation and must submit the report to the Agency Head for review" and that "[t]he Agency Head must sign each written report and indicate that it has been reviewed and whether the determination and recommendation, if any, is adopted, rejected or modified. After review of the report by the Agency Head, the EEO Office should inform all parties in writing of the outcome of the investigation." Similarly, Section III(E) of the EEO Policy established that "[t]he EEO Officer will submit a confidential report of the complaint investigation to the agency head at the conclusion of the investigation. If the EEO Officer concludes that a violation of this Policy has occurred, the EEO Officer will recommend appropriate corrective action. The agency head will review the EEO Officer's report and promptly issue a determination adopting, rejecting or modifying the recommended action. Such determination shall be in writing and may be issued electronically. The EEO Officer will advise all parties in writing of the outcome of a complaint." Section V(B) declared, "[a]gency heads are required to sign off on all agency Diversity and EEO Plans and final determinations concerning EEO complaint resolutions and should conduct a quarterly review of EEO complaints and requests for accommodations. Such sign off may be in written or electronic form."

**14.** Inform each complainant and respondent of the conclusion and outcome of their complaint investigation in writing as part of the agency's complaint procedure.

✓ In the *Preparing the Final Report* section of the EEO CPG, it was stated, "[a]fter review of the report by the Agency Head, the EEO Office should inform all parties in writing of the outcome of the investigation" and "[t]he decision after investigation should be communicated to the parties, in writing, in a discreet and confidential manner, indicating the conclusion reached, whether the misconduct alleged has been substantiated, and the agency's opposition to that kind of activity." Additionally, the *Investigation* section of the EEO CPG stated, "[t]he complaint investigation should be completed and the Complainant should be notified of the outcome within 90 calendar days of the

*filing of a complaint.*" Similarly, Section III(E) of the EEO Policy specified that "[t]he EEO Officer will advise all parties in writing of the outcome of a complaint."

**15.** Ensure each internal discrimination complaint file contains a written determination of its outcome and corrective action(s) taken as a result.

✓ In the *Preparing the Final Report* section of the EEO CPG, it stated, "[t]he decision after investigation should be communicated to the parties, in writing, in a discreet and confidential manner, indicating the conclusion reached, whether the misconduct alleged has been substantiated, and the agency's opposition to that kind of activity."

**16.** Notify the complainant and respondent in writing when the investigation by the EEO professional has been transferred because of the filing of an external complaint.

✓ The Intake Phase section of the EEO CPG stated, "[i]f an external complaint or lawsuit is filed subsequent to the filing of the internal complaint, the matter must also be transferred to the agency's Office of General Counsel. The EEO Office must notify Complainant (and Respondent, if any) in writing of the transfer."

**17.** Establish and utilize a complaint tracking and monitoring system that permits the agency to identify the location, status, and length of time elapsed in the complaint investigation process, the issues and the bases of the complaints, the aggrieved individuals, and other information necessary to analyze complaint activity to identify trends.

✓ During the period in review, DORIS had access to DCAS' *Citywide Equal Employment Database System*, which contained an electronic EEO complaint tracking system that captured: *Status, Length of time elapsed in the EEO complaint process, Basis of the complaint, Complainant name(s), Respondent name(s), Date filed, Date resolved, and Incident Description.* The Intake Phase section of the EEO CPG stipulated, "[u]pon receiving an EEO complaint or inquiry, the EEO Office must memorialize the complaint or inquiry and enter it into the complaint tracking system." The Investigation section of the EEO CPG stipulated, "[t]he EEO Office should ensure that a Complaint Form is completed, preferably by Complainant although it can be done by the EEO Office, but should be signed by Complainant, and logged into the complaint tracking system."

**NOTE:** DORIS reported no internal or external employment discrimination complaints were filed during the period in review. As a result, compliance with aspects of this standard could not be meaningfully measured for the period in review. Further evaluation of this area was impractical.

**18.** Ensure that the General Counsel assists the agency head in identifying and determining appropriate responses to sexual harassment; works with the principal EEO Professional in the implementation of the City's policies and procedures pertaining to sexual harassment; informs the principal EEO Professional when external complaints or litigation involving sexual harassment is brought against the agency; is available to consult on internal sexual harassment complaint investigations; and is responsible for the investigation of, and response to, external sexual harassment complaints.



✓ During the period in review, and in lieu of a General Counsel, DORIS had an Agency Attorney that performed the EEO responsibilities of the General Counsel. Emails from 2018 confirmed that the Agency Attorney and the principal EEO Professional met to discuss EEO matters. In October 2018, the HR Professional, Agency Attorney and principal EEO Professional collaborated to complete the *NYC Agency Risk Assessment* (Risk Assessment), which was later signed by the agency head. The Risk Assessment stated, "*Local Law 93 of 2018 requires city agencies to assess workplace risk factors associated with sexual harassment in order to help provide a fair and safe work environment for all city workers.*" The Agency Attorney assisted the agency head in identifying and determining appropriate responses to sexual harassment, and worked with the principal EEO Professional in the implementation of the agency's EEO policies, program administration, and compliance requirements. Section III(F) of the EEO Policy outlined certain responsibilities of the General Counsel by stating, "[t]he agency General Counsel will be responsible for handling external complaints regardless of the timing of such complaints (whether filed before the internal complaint is filed, at the same time that the internal claim was filed, or after the internal complaint was filed). After transfer of the complaint to the agency General Counsel, the EEO Officer will cooperate with the General Counsel with respect to the ultimate resolution of the complaint" (see §1.2). Furthermore, in the *Preparing the Final Report* section of the EEO CPG, it stated, "[t]he EEO Officer should routinely consult the agency's Office of General Counsel on questions that arise while preparing the written report or at any phase of the investigation."

**NOTE:** DORIS reported no internal or external employment discrimination complaints were filed during the period in review. As a result, compliance with aspects of this standard could not be meaningfully measured for the period in review. Further evaluation of this area was impractical.

#### **IV. Annual Review of Practices, Policies and Programs**

**Determination: The agency is in compliance with the standards for this subject area.**

**19.** Ensure that the principal EEO Professional, HR Professional, and General Counsel, review the number of sexual harassment complaints, and the agency's employment practices, policies and programs on an annual basis to identify whether there are barriers to employment opportunities that may be related to sexual harassment and determine what, if any, actions are required to correct deficiencies.

✓ In October of 2018, the principal EEO Professional, HR Professional, and Agency Attorney conducted a review and Risk Assessment of the following areas associated with sexual harassment: "*homogenous workforce, such as work environments with low diversity with respect to age, ethnicity, gender, race, or sex,*" "*language differences in the workplace,*" "*workplaces with significant power disparities such as workplaces where employees hold positions usually subject to the direction of others,*" "*isolated workplaces such as workplaces where employees work alone or have few opportunities to interact with others,*" and "*decentralized workplaces such as workplaces that are geographically dispersed.*" The assessment resulted in the identification of potential barriers for which DORIS determined corrective action was required. DORIS provided the EEPC with documentation regarding the steps that have been taken to correct these areas.

**NOTE:** DORIS reported no internal or external employment discrimination complaints were filed during the period in review. Therefore no review of DORIS' annual number of complaints was conducted.

## **V. Responsibility for Implementation - EEO Professionals**

**Determination: The agency is in compliance with the standards for this subject area.**

20. Appoint a principal EEO Professional to implement EEO policies and standards within the agency. Ensure the principal EEO Professional is trained regarding city, state, federal EEO laws; the requirements of the agency's EEO policies, standards and procedures; and the prevention, investigation, and resolution of discrimination and sexual harassment complaints.

✓ On December 21, 2015 the agency head emailed all employees to inform them that the Special Assistant to the Commissioner was appointed as the principal EEO Professional. DCAS' training records indicated that the principal EEO Professional completed the following DCAS' Citywide Learning and Development (L&D) trainings: five-day *Diversity & EEO Basic Training* (2015), two-day *Structured Interviewing and Unconscious Bias, Train-the-Trainer* (2015), *Reasonable Accommodation Procedural Guidelines* (2015), *LGBTQ: The Power of Inclusion* (2016) and *Sexual Harassment Prevention: What to Know About Unlawful and Inappropriate Behaviors in the Workplace* (2018). DCAS' Citywide L&D *Diversity & EEO Basic Training* covered city, state and federal EEO laws; the agency's EEO policies, standards and procedures; as well as the prevention, investigation, and resolution of discrimination complaints.

21. Ensure that the responsibilities of the principal EEO Professional are competently discharged by providing adequate resources such as opportunities for continuing education and professional development, and/or support staff to meet EEO obligations.

✓ During the period in review, DORIS ensured that the responsibilities of the principal EEO Professional were competently discharged by providing EEO training (see §V.20 for details about the principal EEO Professional training during the period in review) and a dedicated support staff, consisting of 5 EEO Counselors and 1 Career Counselor, all of whom received EEO related trainings (see §V.22 for details about support staff trainings). DORIS reported that EEO Counselors served as EEO observers on structured interview panels, fielded EEO inquiries, were responsible for receiving discrimination complaints, and directed staff to the principal EEO Professional as needed. The Career Counselor sent out notices of civil service exams that were open for filing each month, served as the agency training liaison, discussed career goals with employees and addressed any concerns regarding an employee's career path at the agency.

22. Where the agency's organizational structure necessitates multiple EEO professionals, select such individuals from different office locations and, where possible, from a variety of levels within the organizational structure. Appoint EEO professionals who are trained in EEO laws and procedures, and their responsibilities under the EEO Policy.

✓ At the end of the period in review, DORIS had 73 employees housed in a single office location. The EEO Office consisted of the principal EEO Professional, Career Counselor (also the Director of Administration), and 5 EEO Counselors who were in the following titles: Director of Operations, Digitization Specialist, Procurement Officer, Administrative Assistant, and Quality Assurance Analyst.

The EEO Counselor in the title Director of Operations completed the following DCAS' Citywide L&D trainings: *Division of Diversity and Equal Employment Opportunity (EEO) Computer Based Training (CBT)* (June 2009), *Basic Training for EEO Professionals* (November 2010), *Everybody Matters* (February 2014), *Structured Interviewing and Unconscious Bias* (June 2015) and *Sexual Harassment Prevention: What to Know About Unlawful and Inappropriate Behaviors in the Workplace* (July 2018). The EEO Counselor in the title Digitization Specialist completed the following DCAS' Citywide L&D trainings: *EEO CBT* (November 2015), *Structured Interviewing and Unconscious Bias* (February 2016), five-day *Diversity and EEO Basic Training* (October 2016), *LGBT: Are You Ready for the "T" - Creating an Inclusive Culture for Transgender* (February 2017) and *Sexual Harassment Prevention: What to Know About Unlawful and Inappropriate Behaviors in the Workplace* (July 2018). The EEO Counselor in the title Procurement Officer completed the following DCAS' Citywide L&D trainings: *EEO CBT* (November 2010), *Building Positive Workplace Relationships* (December 2016), *Structured Interviewing and Unconscious Bias* (January 2017), *LGBT: Are You Ready for the "T" - Creating an Inclusive Culture for Transgender* (February 2017), two-day *Structured Interviewing and Unconscious Bias*, *Train-the-Trainer* (December 2017), *Ethics/Legal Compliance* (February 2018) and *Sexual Harassment Prevention: What to Know About Unlawful and Inappropriate Behaviors in the Workplace* (July 2018). The EEO Counselor in the title Administrative Assistant completed the following DCAS' Citywide L&D trainings: *EEO CBT* (November 2015), *Everybody Matters* (September 2016), *LGBT: Are You Ready for the "T" - Creating an Inclusive Culture for Transgender* (March 2017), *Structured Interviewing and Unconscious Bias* (December 2017) and *Sexual Harassment Prevention: What to Know About Unlawful and Inappropriate Behaviors in the Workplace* (July 2018). The EEO Counselor in the title Quality Assurance Analyst completed the following DCAS' Citywide L&D trainings: *LGBT: Are You Ready for the "T" - Creating an Inclusive Culture for Transgender* (March 2017), *Structured Interviewing and Unconscious Bias* (December 2017) and *Sexual Harassment Prevention: What to Know About Unlawful and Inappropriate Behaviors in the Workplace* (July 2018). The Career Counselor in the title Director of Administration completed the following DCAS' Citywide L&D trainings: *Basic Training for EEO Representatives* (April 2006), *Division of Diversity and EEO CBT* (June 2009), *EEO CBT* (June 2009 & December 2015), *Citywide Diversity and EEO CBT* (May 2011), two-day *Structured Interviewing and Unconscious Bias*, *Train-the-Trainer* (October 2015), *Ethics/Legal Compliance* (March 2016), *LGBT: Are You Ready for the "T" - Creating an Inclusive Culture for Transgender* (April 2016), *Everybody Matters* (December 2016), *Best Practices* (January 2017) and *Sexual Harassment Prevention: What to Know About Unlawful and Inappropriate Behaviors in the Workplace* (July 2018).

**23.** Ensure that the principal EEO Professional works cooperatively and closely with the General Counsel in the implementation of policies and procedures concerning EEO and sexual harassment.

✓ In lieu of a General Counsel, DORIS had an Agency Attorney who performed the EEO responsibilities of the General Counsel during the period in review. Email correspondence and meeting invites between the principal EEO Professional and Agency Attorney demonstrated regular collaboration on EEO matters, which included sexual harassment prevention. The principal EEO Professional and Agency Attorney met every month on the fourth Friday for recurring EEO meetings, in addition to meeting on a quarterly basis. Additionally, in October 2018, the Agency Attorney and principal EEO Professional completed the Risk Assessment, which assessed risk areas associated with sexual harassment and further demonstrated that the Agency Attorney worked with the principal EEO Professional in the evaluation of the agency's EEO policies, program administration, and compliance requirements. The agency reported that the Agency Attorney collaborated with the

principal EEO Professional regarding the creation of sexual harassment prevention procedures, policies, and programs, analysis of statistical information, and the identification of relevant barriers to employment opportunities.

24. Assign the principal EEO Professional (or EEO-related designee) the responsibility to supervise the activities of EEO professionals, and ensure that: the policies against sexual harassment and complaint procedures are distributed/posted at all agency locations; employees/managers receive sexual harassment prevention training; EEO-related policies are made available in alternative formats (i.e., large print, audio recording and/or Braille) upon request; managers, supervisors and human resource professionals receive guidance on issues pertaining to sexual harassment; and allegations of sexual harassment are promptly investigated.

✓ Section V(C) of the EEO Policy stipulated that the principal EEO Professional will "*supervise the EEO-related activities of the EEO counselors and/or investigators.*" During the period in review, the principal EEO Professional ensured that: policies against sexual harassment, and complaint procedures were posted on the agency's intranet, in addition to being provided via links in the Policy Statement that was distributed by email in November 2018 (see §I.1); and employees and managers received sexual harassment prevention training (see §II.3). DORIS reported that all EEO-related documents on the agency's intranet were available in large print and could be viewed in an enlarged print. Additionally, DORIS reported that during the period in review, its EEO-related policies were available in alternative formats to staff from HR or the EEO office upon request; no such request was received. Emails from 2018 confirmed that the principal EEO Professional provided guidance to managers, supervisors and human resource professionals on issues pertaining to sexual harassment via the Policy Statement and EEO Commitment distribution as well as training upon request.

25. Ensure that the principal EEO Professional reports directly to the agency head (or a direct report other than the General Counsel) in order to exercise the necessary authority and independent judgment to fulfill EEO responsibilities.

✓ The agency's organizational chart illustrated that the principal EEO Professional reported directly to the agency head for EEO responsibilities.

26. Maintain documentation regarding directives or decisions between the agency head (or a direct report other than the General Counsel) and the principal EEO Professional that impact the administration and operation of programs, policies or procedures concerning sexual harassment.

✓ During the period in review email correspondence and meeting invites confirmed that there was regular communication between the agency head and the principal EEO Professional regarding the administration and operations of programs, policies and procedures, which included the agency's Annual EEO Plan, sexual harassment training, Risk Assessment, and quarterly workforce statistics. In October of 2018, the agency head, principal EEO Professional, HR Professional, and Agency Attorney conducted the Risk Assessment, in which they reviewed the agency's employment practices, policies and programs to identify areas of increased risk for sexual harassment and determine the necessary corrective actions required. DORIS provided the EEPC with documentation regarding steps that have been taken to correct these areas.

## **VI. Responsibility for Implementation – Supervisors/Managers**

**Determination: The agency is in compliance with the standards for this subject area.**

27. Ensure that managers and supervisors are held accountable for enforcing the agency's sexual harassment prevention policies and complaint procedures. Document this expectation and its implementation.

✓ During the period in review, DORIS communicated the expectation that managers and supervisors were accountable for enforcing the sexual harassment prevention policies and complaint procedures. In Section III of the *Diversity and Equal Employment Opportunity Plan* for fiscal year 2018, the agency head stated, "I will continue to hold all managers, supervisors, EEO and Human Resource personnel accountable for the effective implementation of the City's EEO Policy." Additionally, the agency head's EEO Commitment that was distributed to all employees via email on November 16, 2018 stated, "I expect all managers and supervisors to actively promote a work environment that values equity, inclusion, and respect for all" and "conduct documented meetings with staff, at least once each year, to reaffirm their commitment to the agency's EEO policy and to discuss the right of employees to file EEO complaints with the Department's EEO officer [sic] and/or EEO counselors [sic] or with outside entities" (see §1.1). Sign-in sheets indicated that managers conducted these meetings in March and August of 2018. Moreover, the Policy Statement, which was also distributed to employees via email on November 16, 2018 (see §1.1), specified, "[m]anagers, supervisors, and human resources personnel must promptly notify the agency EEO Officer in writing, either via email or a memorandum, if they receive a complaint alleging sexual harassment or if they observe, learn about, or suspect that any violation of the Policy has occurred" and "[m]anagers and supervisors should encourage subordinates to consult with the EEO Officer."

28. Ensure the managerial performance evaluation form contains a rating for EEO (which covers responsibilities and processes for assuring their ability to make employment decisions based on merit and equal consideration, or treat others in an equitable and impartial manner).

✓ The agency's managerial performance evaluation form contained a rating for EEO to ensure that managers and supervisors "[m]odel the principals [sic] of the City's EEO Policy" and "contribute to a productive and safe workplace environment with choses [sic] speech and behavior."

## **VII. Reporting Standard for Agency Head**

**Determination: The agency is in partial-compliance with the standards for this subject area.**

29. Submit to the EEPD an Annual Plan of measures and programs to provide equal employment opportunity, and quarterly reports on efforts to implement the Plan within 30 days following each quarter. Include a breakout of sexual harassment complaint activity in each quarterly report.

✓ During the period in review, DORIS submitted its *Quarterly Diversity and EEO Reports* along with affidavits of its *Agency Affirmation of No Complaints* for the 1st, 2nd, 3rd, and 4th quarters of fiscal years 2017 and 2018 and the 1st and 2nd quarters of fiscal year 2019; as well as annual *Diversity and Equal Employment Opportunity Plans* for fiscal years 2017, 2018, and 2019.



30. Upon the EEPC's determination that the entity does not require further review or monitoring: Distribute a memorandum signed by the agency head that re-emphasizes the commitment of agency administrators to the EEO program, including the prevention of sexual harassment, and informs employees of any changes to the agency's employment practices as a result of the EEPC's audit/monitoring. This final action is required to conclude the audit and monitoring process.

**FINAL ACTION:** Upon the EEPC's determination that the entity does not require further review or monitoring: Distribute a memorandum signed by the agency head that re-emphasizes the commitment of agency administrators to the EEO program, including the prevention of sexual harassment, and informs employees of any changes to the agency's employment practices as a result of the EEPC's audit/monitoring. This final action is required to conclude the audit and monitoring process.

**Summary of Corrective Actions:**

The Department of Records and Information Services has 1 required corrective action(s) at this time. This includes the aforementioned final action.

**Conclusion**

Pursuant to Charter Chapter 36, the Department of Records and Information Services has the *option* to respond to this Preliminary Determination, but must respond to our Final Determination if corrective action is required. **Any response must be signed by the agency head and submitted to the EEPC's Executive Director.**

*Optional Response to Preliminary Determination:* If submitted, the Department of Records and Information Services' optional response to the EEPC's Executive Director should indicate, with attached documentation, what steps have been or will be taken to correct outstanding areas of non-compliance, and must be received in our office within 14 days from the date of this letter. No extensions will be granted for the *option* to respond to the Preliminary Determination.

*(Optional Conference)* If requested, at the Optional Conference the EEPC will discuss the immediate steps that should be taken to correct outstanding areas of non-compliance and address questions regarding the Department of Records and Information Services' implementation of the prescribed corrective action(s).

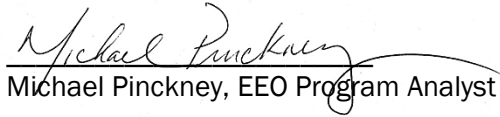
*(No Response Option)* If the Department of Records and Information Services does not respond to this Preliminary Determination within 14 days, it will become the EEPC's Final Determination.

*Mandatory Response to Final Determination:* Following this Preliminary Determination, the EEPC will issue a Final Determination where we may modify or eliminate the corrective action(s) based on verified information submitted as part of the response to the Preliminary Determination; identify remaining corrective action(s) that require further monitoring to ensure implementation; and assign a mandatory compliance-monitoring period of up to 6 months for this purpose. Pursuant to Charter Chapter 36, upon receipt, the Department of Records and Information Services must submit a response, signed by the agency head, to our Final Determination within 30 days. Your response to the Final Determination will initiate the compliance-monitoring period.



In closing, we want to thank you and your staff for the cooperation extended to the Equal Employment Practices Commission's EEO Program Analysts during the course of our audit and analysis.

Respectfully Submitted by,

  
Michael Pinckney, EEO Program Analyst

Approved by,

  
Charise L. Terry  
Executive Director

c: LaTonya Jones, Principal EEO Professional  
William B. Peterson, Manager, Labor Relations Analysis and Audit

## **Appendix - 1**

Department of Records and Information Services  
CEEDS Report: *Work Force Composition Summary*  
2<sup>nd</sup> Quarter of Fiscal Year 2019  
(End of Audit Period)

RUN DATE: 01/07/19  
 RUN TIME: 08:09:34.9

NEW YORK CITY DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES  
 CITYWIDE EQUAL EMPLOYMENT DATABASE SYSTEM (CEEDS)  
 WORK FORCE COMPOSITION SUMMARY  
 QUARTER 2 YEAR 2019 AGENCY 860 DEPT. OF RECORDS AND INFORMATION SERVICES

PAGE: 258  
 REPORT: EBEP210

AGENCY CODE : 860 DEPT. OF RECORDS AND INFORMATION SERVICES  
 EEO JOB GROUP : 001 ADMINISTRATORS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN			
12991	COMMISSIONER	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1
EEO JOB GROUP TOTAL.....:		0.00	0.00	0.00	0.00	0.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 860 DEPT. OF RECORDS AND INFORMATION SERVICES  
 EEO JOB GROUP : 002 MANAGERS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN			
05487	ASSISTANT COMMISSIONER (AD	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1
10041	ADMINISTRATIVE PUBLIC RECO	0	1	0	0	0	0	2	0	0	0	0	0	0	0	3
10050	COMPUTER SYSTEMS MANAGER	1	0	0	1	0	0	1	1	0	0	0	0	0	0	4
EEO JOB GROUP TOTAL.....:		25.00	12.50	0.00	12.50	0.00	0.00	37.50	12.50	0.00	0.00	0.00	0.00	0.00	0.00	8

AGENCY CODE : 860 DEPT. OF RECORDS AND INFORMATION SERVICES  
 EEO JOB GROUP : 003 MANAGEMENT SPECIALISTS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN			
1002C	ADMINISTRATIVE MANAGER NON	0	0	1	0	0	0	0	1	1	1	0	0	0	0	4
12158	PROCUREMENT ANALYST	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1
12626	STAFF ANALYST	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1
12627	ASSOCIATE STAFF ANALYST	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1
60216	PUBLIC RECORDS OFFICER	3	0	0	0	0	0	7	0	0	0	0	2	0	0	12
60217	ASSOCIATE PUBLIC RECORDS O	1	0	0	0	0	0	5	0	1	0	0	0	0	0	7
EEO JOB GROUP TOTAL.....:		19.22	0.00	3.85	0.00	0.00	0.00	46.15	3.85	11.54	3.85	3.85	7.69	0.00	26	

AGENCY CODE : 860 DEPT. OF RECORDS AND INFORMATION SERVICES  
 EEO JOB GROUP : 004 SCIENCE PROFESSIONALS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN			
13643	CERTIFIED IT DEVELOPER (AP	0	0	1	1	0	0	0	0	0	0	0	0	0	0	2
60910	RESEARCH ASSISTANT	0	0	0	0	0	0	0	1	0	0	0	0	0	0	1





RUN DATE: 01/07/19  
 RUN TIME: 08:09:34.9

NEW YORK CITY DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES  
 CITYWIDE EQUAL EMPLOYMENT DATABASE SYSTEM (CEEDS)  
 WORK FORCE COMPOSITION SUMMARY  
 QUARTER 2 YEAR 2019 AGENCY 860 DEPT. OF RECORDS AND INFORMATION SERVICES

PAGE: 260  
 REPORT: EBEP210

AGENCY CODE : 860 DEPT. OF RECORDS AND INFORMATION SERVICES  
 EEO JOB GROUP : 027 TRANSPORTATION

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN		
91212	MOTOR VEHICLE OPERATOR	0	1	0	0	0	0	0	0	0	0	0	0	0	1
EEO JOB GROUP TOTAL.....:		0.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 860 DEPT. OF RECORDS AND INFORMATION SERVICES  
 EEO JOB GROUP : 031 PARA PROFESSIONAL OCCUPATIONS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN		
10209	COLLEGE AIDE	0	0	0	1	0	0	0	0	0	0	0	0	0	1
56056	COMMUNITY ASSISTANT	0	1	0	0	0	0	0	0	0	0	0	0	0	1
56057	COMMUNITY ASSOCIATE	0	2	0	1	0	0	0	0	0	0	0	0	0	3
56058	COMMUNITY COORDINATOR	1	0	1	2	0	0	0	2	0	0	0	0	0	6
EEO JOB GROUP TOTAL.....:		1.10	3.27	1.09	4.36	0.00	0.00	0.00	2.18	0.00	0.00	0.00	0.00	0.00	11.00

AGENCY TOTAL.....:

8	9	10	7	0	0	19	8	4	5	1	2	0	73
10.95	12.33	13.70	9.59	0.00	0.00	26.03	10.96	5.48	6.85	1.37	2.74	0.00	100.00

## **Appendix - 2**

Department of Records and Information Services  
*Equal Employment Opportunity Commitment*  
December 27, 2017



**The New York City Department of Records and Information Services**

31 Chambers Street, Room 305, New York, NY 10007

Pauline Toole, Commissioner

[ptool@records.nyc.gov](mailto:ptool@records.nyc.gov); (212) 788-8607

**TO: All DORIS employees**  
**FROM: Pauline Toole**  
**SUBJECT: Equal Employment Opportunity Commitment**  
**Date: December 27, 2017**

As the Commissioner of the Department of Records and Information Services (DORIS), I am committed to ensuring fair employment practices. The senior staff and I are familiar with the provisions of and the obligations set forth in the City Charter and the City's Equal Employment Opportunity Policy ("EEO"). We are committed to developing a diverse and inclusive workforce that reflects the City's population.

I expect all managers and supervisors to actively promote a work environment that values equity, inclusion and respect for all. Our goal is for employees, present and future, to view DORIS as a model employer.

I am committed to ensuring that DORIS does not discriminate against employees, or applicants for employment, in any manner prohibited by federal, state and/or local laws. Our agency EEO program contains the following requirements:

Managers and supervisors must conduct documented meetings with staff, at least once each year, to reaffirm their commitment to the agency's EEO policy and to discuss the right of employees to file EEO complaints with the Department's EEO officers and/or EEO counselors or with outside entities.

All staff involved in conducting employment interviews must review structured interviewing material prepared by the Chief of Citywide Diversity and EEO Officer.

All staff should know who the agency's EEO personnel are, and how to contact them.

- LaTonya Jones, Director of Community and External Affairs, is the agency EEO Officer. Her office is located at 31 Chambers Street, Suite 305. Her telephone is 212-341-6022 and her email is [lcjones@records.nyc.gov](mailto:lcjones@records.nyc.gov).
- The agency's EEO Counselors are as follows: Julie Chau, Alejandra Figueroa, Michael Lorenzini, Urmi Udeshi, and Brian Waite. All are located at 31 Chambers Street. Contact information is: [wchau@records.nyc.gov](mailto:wchau@records.nyc.gov)/212-788-8619; [afigueroa@records.nyc.gov](mailto:afigueroa@records.nyc.gov)/212-788-8623; [mlorenzini@records.nyc.gov](mailto:mlorenzini@records.nyc.gov)/212-788-8576; [uudeshi@records.nyc.gov](mailto:uudeshi@records.nyc.gov)/212-788-8634; and [bwaite@records.nyc.gov](mailto:bwaite@records.nyc.gov)/212-788-8599.
- Naomi Pacheco, Director of Administration, who is familiar with employment opportunities, is the agency Career Counselor who will provide career counseling to employees who request it. She also is the disability rights coordinator. Her office is located at 31 Chambers Street, Suite 304. Her telephone number is 212-788-8622 and her email is [napacheco@records.nyc.gov](mailto:napacheco@records.nyc.gov). Employees interested in receiving counseling should contact her to make an appointment.

I encourage all employees to access the EEO resources available at DORIS. Please address any concerns or questions you may have with LaTonya Jones.

## **Appendix - 3**

Department of Records and Information Services  
*Equal Employment Opportunity Commitment*  
November 16, 2018



**The New York City Department of Records and Information Services**

31 Chambers Street, Room 305, New York, NY 10007

Pauline Toole, Commissioner

[ptoole@records.nyc.gov](mailto:ptoole@records.nyc.gov); (212) 788-8607

**TO: All DORIS employees**  
**FROM: Pauline Toole**  
**SUBJECT: Equal Employment Opportunity Commitment**  
**Date: November 16, 2018**

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I expect all managers and supervisors to actively promote a work environment that values equity, inclusion and respect for all. Our goal is for employees, present and future, to view DORIS as a model employer.

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Managers and supervisors must conduct documented meetings with staff, at least once each year, to reaffirm their commitment to the agency's EEO policy and to discuss the right of employees to file EEO complaints with the Department's EEO officer and/or EEO counselors or with outside entities.

All staff involved in conducting employment interviews must review structured interviewing material prepared by the Chief Citywide Diversity and EEO Officer.

All staff should know who the agency's EEO personnel are and how to contact them.

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- The agency's EEO Counselors are as follows: Julie Chau, Alejandra Figueroa, Michael Lorenzini, Urmi Udeshi, and Brian Waite. All are located at 31 Chambers Street. Contact information is: [wchau@records.nyc.gov](mailto:wchau@records.nyc.gov)/212-788-8619; [afigueroa@records.nyc.gov](mailto:afigueroa@records.nyc.gov)/212-788-8623; [mlorenzini@records.nyc.gov](mailto:mlorenzini@records.nyc.gov)/212-788-8576; [uudeshi@records.nyc.gov](mailto:uudeshi@records.nyc.gov)/212-788-8634; and [bwaite@records.nyc.gov](mailto:bwaite@records.nyc.gov)/212-788-8599.
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I encourage all employees to access the EEO resources available at DORIS. Please address any concerns or questions you may have with LaTonya Jones.



## **Appendix - 4**

Department of Records and Information Services  
*Sexual Harassment Policy Statement*  
November 16, 2018



The New York City Department of Records and Information Services  
31 Chambers Street, Room 305, New York, NY 10007

Pauline Toole, Commissioner  
[ptoole@records.nyc.gov](mailto:ptoole@records.nyc.gov); (212) 788-8607

## SEXUAL HARASSMENT POLICY STATEMENT

The City of New York is an equal opportunity employer. The City's Equal Employment Opportunity ("EEO") Policy prohibits employment discrimination based on race, creed, color, national origin, gender, disability, marital status, partnership status, caregiver status, sexual orientation, uniformed service or alienage or citizenship. **Every City employee – paid or unpaid, permanent or temporary, managerial or non-managerial - is protected from unlawful discrimination by the EEO policy and by federal, state, and local anti-discrimination laws.** The EEO Policy and anti-discrimination laws protect those who seek to work for the City, as well.

Sexual harassment is a form of employment discrimination prohibited by the EEO Policy and law. All employees, interns and consultants at The Department of Records and Information Services (DORIS) should be familiar with the EEO Policy's protections against sexual harassment. The EEO Policy incorporates the protection provided by federal, state and local laws and implements them by providing for disciplinary sanctions to be imposed on employees who engage in sexual harassment.

Federal guidelines define sexual harassment as "unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when: 1) submission to the conduct is made either explicitly or implicitly a term or condition of an individual's employment; 2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or 3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment." Under the New York City Human Rights Law, verbal or physical conduct that treats a person "less well" because of gender is unlawful.

Sexual harassment may involve individuals of the same or different genders. A broad range of conduct by supervisors and co-workers may constitute sexual harassment, including, but not limited to, making remarks or gestures or displaying pictures that are sexually suggestive; engaging in verbal banter, abuse or harassment of a sexual nature; requesting -- directly or subtly -- sexual favors; and subjecting another person to unwelcome touching, patting, pinching or other contact.

**Sexual harassment is strictly prohibited. Employees, consultants and/or interns who violate this policy are subject to discipline, including termination. Persons who violate this policy may also be subject to civil damages or criminal penalties.**

The City's policy prohibiting sexual harassment does not forbid consensual social relationships between employees. But it does prohibit gender-based conduct that is unwanted or creates an intimidating and hostile work environment.

Managers, supervisors and human resources personnel must promptly notify the agency EEO Officer in writing, either via email or a memorandum, if they receive a complaint alleging sexual harassment or if they observe, learn about, or suspect that any violation of the Policy has occurred. Managers and supervisors should encourage subordinates to consult with the EEO Officer.

The Department of Records and Information Services urges anyone covered by the NYC EEO Policy who believes he or she has been subjected to sexual harassment or any unwelcome sexual attention to report the conduct to a supervisor or manager or to the agency EEO Officer, who is LaTonya C. Jones, who may be contacted at 212-341-6022 or by email at lcjones@records.nyc.gov. Attached also is a list of the DORIS EEO Counselors and how they may be contacted. It is important to report all concerns about sexual harassment or inappropriate sexual conduct to the EEO Officer or a supervisor or manager as soon as possible.

Complaints of sexual harassment will be handled under the New York City Equal Employment Opportunity Policy and Procedures. See links below:

1. EEO Policy - <http://www.nyc.gov/html/dcas/html/about/eeopol.shtml>.
2. About EEO Handbook (companion booklet to the EEO Policy)  
[http://www.nyc.gov/html/dcas/html/about/eo\\_booklet.shtml](http://www.nyc.gov/html/dcas/html/about/eo_booklet.shtml)
3. EEO Complaint Procedural Guidelines  
[http://www.nyc.gov/html/dcas/downloads/pdf/misc/eo\\_discriminationcomplaintprocedures.pdf](http://www.nyc.gov/html/dcas/downloads/pdf/misc/eo_discriminationcomplaintprocedures.pdf)

All inquiries, complaints and investigations are treated confidentially. Information is revealed strictly on a need-to-know basis. Information contained in a formal complaint is kept as confidential as possible.

No employee may retaliate against or harass any person for filing a complaint or cooperating in the investigation of the complaint. Retaliation or harassment is unlawful and subject to disciplinary action.

Pauline Ann Toole  
Commissioner  
November 16, 2018

## **Appendix - 5**

Department of Records and Information Services  
*Equal Employment Opportunity Policy, Standards and Procedures to  
Be Utilized by City Agencies, City of New York*  
2014





# EQUAL EMPLOYMENT OPPORTUNITY

## P O L I C Y

STANDARDS AND PROCEDURES  
TO BE UTILIZED BY CITY AGENCIES

CITY OF NEW YORK

2014

# EQUAL EMPLOYMENT OPPORTUNITY POLICY

STANDARDS AND PROCEDURES  
TO BE UTILIZED BY CITY AGENCIES

**CITY OF NEW YORK**

**BILL DE BLASIO**  
Mayor

**LISETTE CAMILO**  
Commissioner  
Department of Citywide Administrative Services

2014

**NEW YORK CITY  
EQUAL EMPLOYMENT OPPORTUNITY POLICY**

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# NEW YORK CITY EQUAL EMPLOYMENT OPPORTUNITY POLICY (2014)

## Introduction

The New York City Charter provides that each agency head must ensure that his or her agency does not discriminate against employees or applicants for employment in any manner prohibited by federal, state, and local law.<sup>1</sup> In addition, the Charter requires agency heads to establish measures, programs, and annual EEO Plans that communicate each agency's efforts to provide equal employment opportunity ("EEO") to City employees and applicants for employment within City government.<sup>2</sup> The Department of Citywide Administrative Services ("DCAS") is required to establish uniform procedures and standards to assist City agencies in establishing annual EEO Plans, and other measures and programs to ensure equal employment opportunity.<sup>3</sup> DCAS developed this Policy,<sup>4</sup> and the standards and procedures contained herein, to implement DCAS' and the City's obligations under the City Charter; federal, state, and local laws; and the City's diversity and inclusion strategy.

The *Equal Employment Opportunity Policy (2014)*, hereafter known as "Policy," supersedes the previous *Equal Employment Opportunity Policy (2005)* of the City of New York. Detailed uniform complaint and reasonable accommodation procedures are published separately. This Policy, any addenda to this Policy, and the EEO Policy Handbook are to be distributed to each agency head, EEO Officer,<sup>5</sup> General Counsel, Agency Personnel Officer (APO), manager, and supervisor.

In addition to the Policy, DCAS updated the EEO Policy Handbook, "*About EEO: What You May Not Know*."<sup>6</sup> The EEO Policy Handbook was created to provide City government employees with a user-friendly summary of the relevant laws and the Policy.

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<sup>1</sup> See Charter Section 815(h).

<sup>2</sup> See Charter Section 815(a)(19).

<sup>3</sup> See Charter Section 814(a)(12).

<sup>4</sup> This Policy was drafted in consultation with the Equal Employment Practices Commission, the New York City Law Department and EEO Officers from various City agencies.

<sup>5</sup> Each agency head appoints an EEO Officer to assist with the implementation of the Policy, standards, and procedures. The agency EEO Officer and other personnel, including EEO counselors, investigators, liaisons, etc., are referred to in this Policy as 'EEO office or EEO representatives.'

<sup>6</sup> The Policy may be downloaded at <http://www.nyc.gov/html/dcas/html/about/ecopol>. The EEO Policy Handbook, "*About EEO: What You May Not Know*," may be downloaded at [http://www.nyc.gov/html/dcas/html/about/eo\\_booklet.shtml](http://www.nyc.gov/html/dcas/html/about/eo_booklet.shtml).

## I. Equal Employment Opportunity Policy

The City of New York is an equal opportunity employer and prohibits discriminatory employment actions against, and treatment of, City employees and applicants for employment based on actual or perceived race, color, national origin, alienage or citizenship status, religion or creed, gender (including “gender identity” -- which refers to a person’s actual or perceived sex, and includes self-image, appearance, behavior or expression, whether or not different from that traditionally associated with the legal sex assigned to the person at birth), disability, age (18 and over), military status, prior record of arrest or conviction,<sup>7</sup> marital status, partnership status,<sup>8</sup> genetic information or predisposing genetic characteristic,<sup>9</sup> sexual orientation, status as a victim or witness of domestic violence, sex offenses or stalking,<sup>10</sup> and unemployment status.<sup>11</sup>

### A. Types of Prohibited Conduct<sup>12</sup>

Decisions and practices based on an individual’s protected status (e.g., race, religion, age, and the other categories listed above) that unlawfully affect employment or the compensation, terms, conditions, or privileges of an individual’s employment or potential employment with the City of New York are prohibited by this Policy. This includes unlawful decisions, actions, and practices that occur in the course of recruitment, testing, hiring, work assignments, salary and benefits, working conditions, performance evaluations, promotions, training opportunities, career development and advancement, transfers, discipline, discharge, or any other application or selection process relating to employment.

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<sup>7</sup> Some employment actions motivated by the reasons listed are permitted by law, such as where an employer may deny employment on the basis of an applicant’s prior record of conviction, if there is a direct relationship between one or more of the applicant’s criminal offenses and the specific employment sought, or where employing the applicant poses an unreasonable risk to property or to the safety or welfare of specific individuals or the general public. (*See* Correction Law, Art. 23-A, Section 752.)

<sup>8</sup> “Partnership status” was added as a protected class under New York City’s Human Rights Law on October 3, 2005.

<sup>9</sup> The term “predisposing genetic characteristic” was adopted on August 30, 2005 to streamline the terms “genetic predisposition” and “carrier status” in the previous version of the New York State Human Rights Law.

<sup>10</sup> “Status as victim of sex offenses or stalking” was added as a protected class under the City Human Rights Law on December 22, 2003.

<sup>11</sup> “Unemployment status” was added as a protected class under New York City’s Human Rights Law on June 11, 2013.

<sup>12</sup> See also, EEO Policy Handbook: *“About EEO: What you May Not Know,”* for more examples of prohibited conduct.

The Policy also prohibits sexual harassment (i.e., conduct or language of a sexual nature) and harassment based on gender or any other protected characteristic (such as race, religion, disability, or sexual orientation). Forms of harassment may include, but are not limited to, the use of vulgar language, abusive acts or language, hostility, physical aggression, intimidation, or unequal treatment.

The Policy prohibits conduct which unreasonably interferes with an employee's job performance or creates an intimidating, hostile, or offensive working environment, or creates an abusive working environment based on any protected characteristic.

Harassment and/or retaliation against a person who opposes or complains about prohibited conduct or participates in any way in the complaint, investigation, or reasonable accommodation processes are strictly prohibited.

The Policy also prohibits the denial of reasonable accommodations for disabilities; pregnancy, childbirth, and related medical conditions; religious beliefs, observances, and practices; or for victims of domestic violence, sex offenses, or stalking that do not create an undue hardship.

Some offensive acts or remarks may violate this Policy even if they are not so severe that they violate federal, state, or local discrimination laws. The City and its agencies may discipline conduct that violates this Policy even if the conduct does not violate a law prohibiting discrimination.

The Policy also prohibits any City employee from aiding, abetting, inciting, compelling, or coercing any person present in a City facility, whether or not that person is an employee of the City, from engaging in any conduct prohibited by this Policy, including, but not limited to, conduct that creates a hostile work environment based on any protected characteristic.

## B. Applicability

Everyone who works within New York City government or its workplaces, or who seeks employment within City government, is covered by federal, state, and local employment laws, and this Policy. This includes all current employees, managers (including executives and senior level staff members), supervisors, co-workers, paid and unpaid interns,<sup>13</sup> and job applicants.

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<sup>13</sup> The prohibition of discrimination against interns was added in the New York City's Human Rights Law on April 15, 2014.

This Policy not only protects individuals from prohibited conduct because of their own protected status (such as their own actual or perceived race, religion, national origin, or disability), but also protects individuals from conduct motivated by the actual or perceived race, religion, national origin, or disability, etc., of other persons with whom they are associated. For example, this Policy applies to individuals who are subjected to adverse actions because of their marriage to, or domestic partnership or association with, persons of a particular racial, religious, or national origin group, or persons who have a disability. Moreover, discrimination based on an individual's name(s) or spouse's or domestic partner's name(s) that is associated with a particular racial, religious, or national origin group is prohibited.

These protections apply to actions, whether or not intentionally offensive or directed at a particular person or group, which violate this Policy.

This Policy extends to conduct which occurs at any location that could be reasonably regarded as an extension of the workplace, such as any field location, off-site business-related social function, City vehicle, or facility where City government business is being conducted and discussed.

In addition, Work Experience Program ("WEP") participants have a right to a workplace that is free of discrimination, including harassment based on race, color, national origin, religion, gender, disability, or age, and any basis that could otherwise be determined to be prohibited behavior pursuant to the Policy as applied to employees or applicants for employment.

All City employees, interns, and WEP participants are expected to be respectful of everyone in the City's workplaces and members of the public, and to be sensitive to the effects of their behavior on those around them. All employees, interns, and WEP participants must be trained in the requirements of this Policy and must receive a copy of the EEO Policy Handbook, *"About EEO: What You May Not Know."*

## **II. Specific Protections**

The following sections are provided to enable individuals to understand the unique definitions, issues, rights, and responsibilities under this Policy pertaining to sexual harassment and discrimination based on disability, religion, retaliation, and status as a victim of domestic violence, sex offenses, or stalking.

## A. Sexual Harassment

Sexual harassment is a form of employment discrimination which is prohibited by law. The federal government created guidelines which define sexual harassment as “unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature . . . when: 1) submission to the conduct is made either explicitly or implicitly a term or condition of an individual's employment; 2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or 3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.”<sup>14</sup>

Sexual harassment may involve individuals of the same or different gender(s). A broad range of behavior may be considered sexual harassment, including sexually suggestive remarks, pictures or gestures, verbal abuse or harassment of a sexual nature, subtle or direct propositions for sexual favors, and any unnecessary touching, patting, or pinching.

## B. Disabilities

Discrimination against a person based on that person's actual or perceived disability, record of disability, or relationship with a person with a disability will not be tolerated by the City of New York. For the purpose of this Policy, a disability is: 1) a physical, medical, mental, or psychological impairment; 2) a history or record of such impairment; or 3) being regarded as having such impairment.

The City of New York and its agencies will take appropriate action to provide reasonable accommodations to qualified employees and job applicants with disabilities, unless providing such accommodations creates an undue hardship. Reasonable accommodations include the provision of equipment, changes in workplace policies and practices, and other forms of assistance that allow people with disabilities to apply for a position, perform their jobs, or enjoy equal benefits and privileges of employment as are enjoyed by other similarly situated employees without disabilities.

Whether an accommodation is reasonable will depend upon the circumstances of the particular request. Some examples of accommodations that may be reasonable include: making facilities physically accessible to, and usable by, persons with disabilities; job restructuring; modifying work schedules; providing or modifying equipment or devices; providing qualified readers, interpreters, auxiliary aids, and/or other support services; and providing leave and/or arranging for transfer or reassignment to a vacant position, if such transfer or reassignment does not violate

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<sup>14</sup> Code of Federal Regulations, Title 29, Section 1604.11.

the Civil Service Law, Personnel Rules and Regulations, other applicable laws, or regulations and/or collective bargaining agreements.

Undue hardship may exist when an accommodation is significantly difficult, unduly costly, extensive, substantial, disruptive, or would change the nature or operation of an agency's business.

The City of New York encourages employment of and promotional opportunities for qualified persons with disabilities. For example, pursuant to Section 55-a of the New York State Civil Service Law, where agency needs and availability permit, the City encourages agencies to utilize the 55-a Program, which will allow City agencies to employ qualified persons who have been certified as disabled in competitive positions on a non-competitive basis. Individuals who wish to apply for the 55-a Program are encouraged to seek assistance from the Agency Personnel Officer or 55-a Coordinator.

#### C. Religion

The Policy prohibits adverse employment actions based on a person's religion. This includes discriminatory practices and decisions, harassment, hostility, or other adverse actions because of a person's actual or perceived creed, religious affiliation, religious beliefs, observances, or practices.

In addition, depending on the circumstances, agencies must try to reasonably accommodate the religious observances, beliefs, or practices of an employee or job applicant, unless the accommodation creates an undue hardship. A reasonable accommodation for religion may be a change in a workplace rule or practice that allows an individual to respect his or her religious observances, beliefs, or practices. City agencies may be required to provide accommodations for religion such as flexible arrival and departure times, and/or leave; voluntary exchanges of shifts or assignments; time and/or place to pray; accommodations relating to appearance and dress; and modifying workplace practices, policies, and/or procedures.

City agencies are not required to provide accommodations that are too costly or difficult to provide, that would be disruptive, or would interfere with job performance.

#### D. Retaliation

It is a violation of the Policy to retaliate against or harass any person who asserts his or her rights regarding employment discrimination by: 1) opposing discriminatory practices in the workplace; 2) complaining about prohibited conduct;



or 3) participating in any way in the complaint, investigation, or reasonable accommodation processes. It is also a violation of this Policy to retaliate against or harass someone because of his or her association with such an individual.

Behaviors which may be considered retaliatory include, but are not limited to: threats, reprimands, negative evaluations, harassment, refusal to hire, denial of promotion or job benefits, demotion, suspension, discharge, negative references to prospective employers, or other actions affecting the terms, conditions, or privileges of employment.

Examples of behavior that are protected against retaliation under this Policy include, but are not limited to: expressing an intent to file a charge or complaint alleging prohibited conduct; participating as a witness in an EEO investigation, administrative proceeding, hearing, or trial; and/or seeking a reasonable accommodation.

#### E. Domestic Violence, Sex Offenses, or Stalking

The New York City Human Rights Law prohibits employment discrimination against persons who are victims of domestic violence, or victims of sex offenses or stalking, as defined by that law and the New York State Penal Law. Agencies shall provide reasonable accommodations that do not create undue hardship and that enable such persons to satisfy the essential requisites of a job, provided that the status as a victim of domestic violence or victim of sex offenses or stalking is known, or should have been known, by the agency.

### **III. Procedures**

#### A. Reporting Violations

Anyone who believes that he or she has been subjected to any action, decision, or harassment in violation of this Policy, or who witnesses others being subjected to improper conduct, is urged to promptly report the incident(s) to his or her supervisor or manager; to agency personnel supervising the application, testing, and interviewing process; or directly to the EEO office at the agency where the violation actually occurred, or which is the employer of the individual who purportedly committed the complained of act(s). Supervisors, managers, or human resources personnel who receive EEO complaints, or otherwise become aware of any improper discrimination, must notify the agency EEO Officer. Supervisors and managers should also encourage individuals who believe that the Policy has been violated to consult with the EEO office.

An individual who believes that this Policy has been violated may report the incident orally or in writing. Where the report is taken orally, the manager, supervisor, or EEO representative shall document the report. The EEO office will assist any individual in determining whether the conduct or decision reported is appropriate for the complaint process. Where an individual chooses to file an internal complaint with the agency EEO office, that complaint must be filed within one year of the event which is the subject of the complaint.

Persons who wish to discuss a possible violation of this Policy without revealing their identity may do so by telephoning or writing the EEO office. In such cases, the EEO office will provide counseling and take such follow-up action as may be appropriate and possible, given the restraints of anonymity.

If any employee knowingly makes a false accusation of discrimination or knowingly provides false information in the course of an investigation of a complaint, such conduct may be grounds for discipline. A complaint made in good faith, even if found to be unsubstantiated, will not be considered a false accusation.

#### B. Contact with the EEO Office

An employee has a right to meet privately with an EEO representative. Such a meeting may take place either during or outside of office hours. If an employee makes a request to meet with an EEO representative during office hours, the employee should obtain approval from a manager or supervisor in order to leave his or her work assignment. An employee need not disclose the purpose for or details of the meeting with an EEO representative. Reasonable leave requests to meet with an EEO representative during work hours cannot be denied by managers or supervisors. Managers and supervisors shall allow employees to meet with EEO representatives at the earliest practicable time consistent with the operational needs of their units. Where an agency has more than one EEO representative, an employee is not required to meet with an EEO representative who works in the employee's division.

At the employee's request, arrangements may also be made to hold the meeting before or after office hours, or during the employee's lunch period. Should such a meeting take place entirely on the employee's own time, he or she need not advise a manager or supervisor of the meeting, or obtain the consent or approval of a manager or supervisor. The EEO representative will arrange to meet with an employee at outside premises where appropriate and/or necessary in order to ensure confidentiality. If necessary, EEO representatives will make arrangements for sign language interpreters and other forms of effective communication with persons with disabilities.

The EEO representative will discuss and research appropriate options, including actions an individual could take on his or her own behalf, referrals to other offices and/or agencies, mediation, investigation, and/or interim relief. The EEO representative may also facilitate any further discussions with other agency personnel.

In appropriate cases, an EEO investigation may be conducted in conjunction with or by an agency's General Counsel's office, Inspector General, or disciplinary officer. In addition, there may be exceptional circumstances under which an investigation may be conducted by another individual or entity, as deemed appropriate by the Law Department or DCAS.

Any person who is interviewed during the course of an EEO investigation has a right to be accompanied by a representative of his or her choice. This includes individuals who make complaints, persons against whom complaints were made, or witnesses. It is preferable that the EEO office receive advance notice that the person who is being interviewed will be bringing a representative.

Any person who is the subject of the complaint will have an opportunity to respond in writing.

All employees are expected to cooperate with EEO investigations. Failure to cooperate in an investigation may result in disciplinary action.

### C. Withdrawing Complaints

A complaint of discrimination may be withdrawn at any time by the person who filed the complaint. Withdrawal of a complaint must be made or confirmed in writing. In some instances, the agency EEO Officer will find it appropriate to end the investigation when the complaint is withdrawn. Prior to ending the investigation, the EEO Officer must determine whether the agency should take corrective action to address inappropriate conduct. If the EEO Officer determines that corrective action is required, it may be necessary for the EEO Officer to continue the investigation or recommend action to remedy inappropriate behavior.

### D. Mediation

Mediation is a voluntary, informal, and confidential process that provides an opportunity for everyone involved in a complaint to come to a mutual agreement about how the complaint should be resolved. It is an alternative that may quickly resolve complaints without a full investigation.

All requests for mediation should be made to the EEO Officer. Mediation may be requested by any party involved and may be declined by any party.

The EEO Officer will determine whether the complaint is appropriate for mediation. The EEO Officer may choose to conduct the mediation internally within the agency, or externally through entities that provide mediation services.

Mediation may be terminated by any party to the mediation. If this occurs, the EEO Officer will inform the other party or parties in writing that the mediation has been terminated. In the event that mediation does not result in a resolution, the EEO Officer will provide the parties with a written statement informing the parties of the complainant's right to an investigation of the allegation. Where efforts to mediate complaints are unsuccessful, complaints will be investigated by the EEO office.

#### E. Concluding the Complaint Investigation

The EEO Officer will submit a confidential report of the complaint investigation to the agency head at the conclusion of the investigation. If the EEO Officer concludes that a violation of this Policy has occurred, the EEO Officer will recommend appropriate corrective action. The agency head will review the EEO Officer's report and promptly issue a determination adopting, rejecting or modifying the recommended action. Such determination shall be in writing and may be issued electronically. The EEO Officer will advise all parties in writing of the outcome of a complaint.

Any person found to have engaged in conduct or practices in violation of this Policy may be subject to discipline which may include a reprimand, suspension, probation, demotion, transfer, termination, or any other measures permitted by law and/or collective bargaining agreements. In addition to implementing such disciplinary action, agencies may take such steps as may be necessary to address the impact that any violation of this Policy has had on the complainant or within the agency.

#### F. Other Places Where Complaints May Be Filed

The following federal, state, and local agencies enforce laws against discrimination:

- New York City Commission on Human Rights:  
<http://www.nyc.gov/html/cchr/html/home/home.shtml>
- New York State Division of Human Rights: <http://www.dhr.ny.gov/>

- United States Equal Employment Opportunity Commission (the “EEOC”): <http://www.eeoc.gov>
- United States Department of Justice: <http://www.justice.gov/>

Information about how to contact these agencies can be found in the EEO Policy Handbook, “*About EEO: What You May Not Know*,” at [http://www.nyc.gov/html/dcas/html/about/eeo\\_booklet.shtml](http://www.nyc.gov/html/dcas/html/about/eeo_booklet.shtml), the DCAS website at <http://www.nyc.gov/html/dcas/html/about/eeo.shtml>, or the Office of Citywide Diversity and EEO at 1 Centre Street, 17<sup>th</sup> Floor North, New York, NY 10007, (212) 386-0257. Please note that there are statutory deadlines for filing complaints with each of these agencies.<sup>15</sup>

When a person exercises his or her right to file a complaint with a federal, state, or local administrative agency (known as an “external complaint”) based on or related to the same facts and circumstances of an internal complaint, the agency EEO Officer will transfer the matter to the agency General Counsel, who will be responsible for any further handling of the matter. The EEO Officer will notify the complainant and the parties who are the subject of the complaint, in writing, that the investigation by the EEO Officer has been transferred because of the filing of the external complaint. The agency General Counsel will be responsible for handling external complaints regardless of the timing of such complaints (whether filed before the internal complaint is filed, at the same time that the internal claim was filed, or after the internal complaint was filed). After transfer of the complaint to the agency General Counsel, the EEO Officer will cooperate with the General Counsel with respect to the ultimate resolution of the complaint.

#### G. Requests for Reasonable Accommodations

City agencies may be required to provide reasonable accommodations when requests are made in connection with disabilities; pregnancy, childbirth, and related medical conditions; religious beliefs, observances, and practices; or for victims of domestic violence, sex offenses, or stalking. The reasonable accommodation process should be flexible and interactive, involving agency representatives who are necessary to the reasonable accommodation process and the individual who is requesting a reasonable accommodation. In all instances, the agency EEO office should be notified of the request in order to facilitate discussions, research appropriate accommodations, and assist in the resolution of the matter.

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<sup>15</sup> The deadline in some instances is as short as 180 days. Therefore, to preserve their rights, individuals who believe that they have been discriminated against and wish to file a complaint with an external agency should promptly contact the City Commission on Human Rights, the State Division of Human Rights, the EEOC, the Department of Justice, or a private attorney for further guidance.

EEO representatives, agency personnel supervising any phase of the application process, and/or managers and supervisors involved in the process shall notify individuals who request reasonable accommodations whether the request has been granted. Where the specific accommodation requested is impracticable, agency representatives will seek to implement an appropriate alternative reasonable accommodation. The following procedures detail the specific aspects of each type of request.

1) Disabilities: An employee or job applicant with a disability who requests reasonable accommodations to enable him or her to satisfy the essential functions of the job or enjoy the rights in question may make such requests to his or her manager or supervisor, agency personnel supervising the application process, or directly to the agency EEO Officer or Disabilities Rights Coordinator.<sup>16</sup> A request for a reasonable accommodation may be made orally or in writing. Where the request is made orally, it shall be documented by that person who receives the request.

EEO Officers and/or Disabilities Rights Coordinators, agency personnel supervising the application process, and managers and supervisors involved in the process shall provide reasonable assistance (such as help in completing forms) to an individual requesting an accommodation. Additionally, if a reasonable accommodation is requested to facilitate an individual's ability to apply for employment, the agency staff supervising the application procedures may be required to assist the applicant in completing the application process.

By law, all documentation and information concerning the medical condition or history of an individual requesting a reasonable accommodation for a disability must be collected and maintained on separate forms, and in separate medical files, apart from other personnel data. Such information must be treated as confidential medical records, except that managers and supervisors may be informed of necessary restrictions on work and accommodations required. Furthermore, medical information may be provided: 1) to first-aid and safety personnel, if the disability might require emergency treatment; 2) to government officials investigating the agency's compliance with applicable laws; 3) to workers' compensation offices in accordance with Workers' Compensation Law; and 4) for insurance purposes.

2) Religious Accommodations: An employee or applicant requesting reasonable accommodations for religion may make such requests to his or her manager or supervisor, agency personnel supervising the application process, or directly to the agency EEO Officer. Requests for religious accommodation should be documented by the individual receiving the request.

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<sup>16</sup> A Disability Rights Coordinator is responsible for ensuring compliance with federal, state, and local laws and the Policy regarding people with disabilities.

3) Victim of Domestic Violence, Sex Offenses, or Stalking: An employee or applicant requesting reasonable accommodations for domestic violence, sex offenses or stalking may make such requests to his or her manager or supervisor, agency personnel supervising the application process, or directly to the agency EEO Officer.

Agencies may require a person requesting a reasonable accommodation to provide certification that the person is a victim of domestic violence, sex offenses, or stalking. The person requesting the reasonable accommodation shall provide a copy of such certification to the agency within a reasonable period after the request is made. A person may satisfy the certification requirement by providing documentation from an employee, agent, or volunteer of a victim services organization, an attorney, a member of the clergy, or a medical or other professional service provider from whom the individual seeking a reasonable accommodation, or that individual's family or household member, has sought assistance in addressing domestic violence, sex offenses, or stalking and the effects of the violence or stalking; a police or court record; or other information consistent with the disclosure and the request for accommodation.

4) Pregnancy:<sup>17</sup> An employee or job applicant requesting reasonable accommodations due to pregnancy and those who suffer medical conditions related to pregnancy, childbirth, or a related medical condition may make such requests to her manager or supervisor, agency personnel supervising the application process, or directly to the agency EEO Officer or Disability Rights Coordinator. Such a reasonable accommodation may include bathroom breaks; leave for a period of disability arising from pregnancy, childbirth, or related medical conditions; breaks to facilitate increased water intake; periodic rest for those who stand for long periods of time; and assistance with manual labor, among other things.

All information, including a statement of the person requesting a reasonable accommodation or any other documentation, record, and the fact that the individual has requested or obtained a reasonable accommodation, shall be retained in the strictest confidence by City agencies, except to the extent that disclosure is requested or consented to in writing by the person requesting the reasonable accommodation, or is otherwise required by applicable federal, state, or local law.

Where an employee or job applicant has requested a reasonable accommodation consistent with these procedures and the agency representative has not provided the reasonable accommodation, an appeal may be made to the agency head. Within 10 business days of receipt of an appeal, the agency head, or his or her designee, shall:

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<sup>17</sup> The City's Human Rights Law was amended to include reasonable accommodations related to pregnancy, childbirth or related medical conditions effective January 30, 2014.



1. obtain the request for reasonable accommodation made by the employee or applicant and review all related documentation, standards, procedures, and potential accommodations;
2. meet and/or consult with the employee or applicant, the EEO Officer, and any agency representative that the agency head deems necessary to the reasonable accommodation request;
3. evaluate the reasonableness of employee's or applicant's and agency representative's preferences regarding the accommodation request, giving primary consideration to the employee's or applicant's preferences; and
4. consult with the DCAS Office of Citywide Diversity and EEO or the Law Department.

Within 15 business days of receipt of the appeal, the agency head or his\her designee, shall issue a written determination on the request for reasonable accommodation, specifying what accommodation shall be provided, if any, and, where necessary, directing the appropriate agency representative to implement such accommodation promptly. The EEO Officer or Disability Rights Coordinator shall monitor implementation of the reasonable accommodation.

#### G. Confidentiality

All complaints, investigations, requests for accommodations, and records will be handled, to the extent possible, in a manner that will protect the privacy interests of those involved. EEO matters may be discussed with other persons who may have information about a complaint or who are necessary to implement reasonable accommodations for disability, religion, status as victims of domestic violence, sex offenses or stalking, and pregnancy, childbirth, or a related medical condition. Therefore, it may be necessary to disclose information to persons with a legitimate need to know about the matter.

#### H. Documentation

All inquiries, complaints, requests, mediation efforts, investigations, requests for accommodation, and their outcomes will be documented by the EEO office.

## J. Additional Sources of Procedural Information

The Guidelines for the Implementation of the City's Discrimination Complaint Procedures may be found online:

[http://www.nyc.gov/html/dcas/downloads/pdf/misc/eo\\_discriminationcomplaint\\_procedures.pdf](http://www.nyc.gov/html/dcas/downloads/pdf/misc/eo_discriminationcomplaint_procedures.pdf)

The City's Reasonable Accommodation Policy and Procedure may be found online:

[http://www.nyc.gov/html/dcas/downloads/pdf/misc/eo\\_reasonableaccommodation.pdf](http://www.nyc.gov/html/dcas/downloads/pdf/misc/eo_reasonableaccommodation.pdf)

## IV. Agency-Specific Diversity and EEO Plans

Agency heads are required by the New York City Charter to annually prepare, adopt, and implement a plan to provide equal employment opportunity. The plan must be prepared based on uniform procedures and standards provided by DCAS. DCAS will work with agency heads to help them develop realistic and achievable objectives.

Each agency head or, at his or her direction, the agency EEO Officer and/or APO, should review agency statistical information (including total employment and new hires and promotions, by race/ethnicity, and gender), EEO complaints made during the previous fiscal year and the agency's employment practices, policies, and programs. The agency head should then work with the EEO Officer, General Counsel and APO to identify: 1) whether there are any barriers to equal opportunity within the agency; 2) the agency's obligations as a result of government grants and/or contracts; and 3) what, if any, corrective actions are required under court decrees and/or governmental audits. Agencies may wish to seek the advice of the Law Department or consult with the DCAS Office of Citywide Diversity and EEO regarding the development of agency Diversity and EEO Plans.

The Diversity and EEO Plan should communicate the agency's intention to promote equal employment opportunity and diversity and inclusion by continuing effective measures or implementing new strategies and programs (i.e., preventive, corrective and risk management strategies in areas such as recruitment, training, selection, promotion, and policy dissemination standards) that prevent, diminish, or eliminate barriers to equal opportunity employment. DCAS will provide agencies with formats and recommendations for Diversity and EEO Plan development that are consistent with employment practices recommended by human resources management organizations and enforcement entities.

Although each agency's Diversity and EEO Plan will be tailored to the specific issues of that agency, there are some general measures that all agencies are required to implement. Each agency's Diversity and EEO Plan must, at a minimum, include the following:

- A commitment to ensure fair employment practices, and promote a workplace that values its employees in support of the City's diversity and inclusion strategy. The commitment will hold EEO Officers and representatives, human resources professionals, managers and supervisors accountable for ensuring that the agency does not discriminate against employees or applicants for employment and support the diversity and inclusion initiatives at the agency. This commitment should be reflected in the agency strategic plan, mission, vision, and performance metrics. It should also include the agency's strategy to ensure equal employment opportunity and to implement the best diversity and inclusion practices at the agency. The commitment should also be communicated to all employees through a Commitment Statement to affirm the principles of equal employment opportunity and diversity and inclusion.
- A commitment to assess recruitment efforts to determine whether such efforts adversely impact any particular group and what recruitment sources yield a diverse pool of qualified candidates. It should also include the agency's strategy to implement the best diversity and inclusion recruitment practices to ensure equal employment opportunity. Minimally, agencies should identify relevant professional and community organizations serving women and minorities throughout the City, review and update listings of recruitment outreach sources, and contact such organizations when positions not filled through civil service lists become available or where agencies may otherwise use discretion in hiring.
- A commitment to assess agency job postings to ensure appropriate diversity, inclusion, and equal opportunity employer messaging.
- A commitment to assess the manner in which candidates are selected for employment, to determine whether there is any adverse impact upon any particular racial, ethnic, disability, or gender group. To the extent that adverse impact is discovered, the agency head will determine whether the criteria being utilized are job-related. If the criteria are not job-related, the agency will discontinue using that method. Methods which diminish adverse impact will be preferred over those with greater impact, provided that the agency's job-related aims are not compromised by using the method with a diminished impact. Examples of selection methods which may diminish adverse impact include race/ethnicity-neutral and gender-neutral questions in interview materials and assembling interview panels that reflect gender, race and ethnic diversity. The agency will also ensure that, to the extent practicable, agency

personnel involved in both the discretionary and the civil service hiring pool process receive structured interviewing training and use structured interviewing in the selection process.

- A commitment to assess criteria for selecting persons for mid-level to high-level discretionary positions.
- A commitment to make career counseling about civil service jobs available for employees. Employees should be reminded of the identity of the agency's Career Counselor and the type of guidance which is available from the Career Counselor, at least once each fiscal year. Each agency should promptly notify agency employees and DCAS of any change in the identity of the agency Career Counselor.
- A commitment to ensure that all new employees are advised of this Policy, their rights and responsibilities under it, the discrimination complaint and investigation procedures, and the reasonable accommodation procedures.
- A commitment to establish a diversity, inclusion, and EEO training plan to ensure that all individuals who work within the agency, including managers and supervisors, are trained concerning diversity, inclusion, and EEO-related rights and responsibilities in a manner consistent with the minimum standards for diversity, inclusion and EEO training established by DCAS.
- A commitment to review on a regular basis and retain information about personnel actions, discretionary hiring, applicants, promotions, demotions, transfers, rates of pay, terms of compensation, and selection for training or apprenticeship as required by federal, state, and local law, and/or the City's official records retention schedule.
- A plan to meet obligations or remedies required or recommended as a result of government grants or contracts, court orders, consent decrees, or any audit/review conducted by a governmental agency.

Other measures which may be used to ensure fair employment practices include, for example:

- Advertising job vacancy notices in periodicals and websites with a diverse and inclusive readership.
- Sending job vacancy notices to professional and community organizations serving diverse and inclusive populations.

- Participating in career and job fairs.
- Whenever possible, promoting public service as a career choice at schools, colleges and universities.
- Using internships, work/study, co-op, and scholarship programs to attract interested persons and to develop and hire interested and qualified candidates.
- Sponsoring open houses (i.e., networking events, facilities tours).
- Working with appropriate DCAS personnel to review the competencies, skills and abilities required (as presented in job vacancy notices and notices of examination) for available positions to ensure that these standards are updated, job-related, and required by business necessity.
- Reviewing application forms and agency materials and products in order to ensure that they do not contain discriminatory language or images.
- Ensuring that human resources personnel, managers, supervisors, and other personnel involved in the recruitment and hiring process are trained in interviewing, selection, hiring skills, and EEO, to enable such individuals to correctly identify the most capable candidates.
- Implementing and encouraging inclusive skills and behavior standards for managers to ensure that they are able to maximize their professionalism, performance and communication skills.
- Conducting or encouraging the use of training and development programs to improve skills, performance, and career opportunities of all employees.
- Creating talent pools through employee surveys and databases, to promote cross-training, mentoring, coaching, stretch assignments, cross divisional assignments, job transfers, and rotation programs for career enhancement and development experiences.
- Planning and administering employee incentives, quality of work life and recognition programs, engagement surveys, performance evaluations, employee resource groups, and diversity councils.
- Promoting employees' awareness of opportunities for promotion and transfer within the agency, publicizing promotions and changes in the managerial ranks, and ensuring that the agency engage in succession planning for top managerial

positions. The agency considers its own employees for such opportunities by having programs that identify ready now and high potential talents.

The City of New York, through DCAS, will also:

- Provide the uniform procedures, formats, and reports required by the New York City Charter to facilitate the planning and review of the City's efforts to provide equal employment opportunity for employees and applicants for City government employment.
- Assess qualifications required for most civil service positions and ensure that civil service examinations are job-related and consistent with business necessity.
- Provide assistance to agencies to ensure that recruitment efforts fit particular human resource needs.
- Encourage agency job postings internally through City Jobs and externally through the City's website: <http://www1.nyc.gov/jobs/>
- Continue to conduct on-site EEO monitoring visits to agencies.
- Continue efforts to better ensure the accuracy of ethnicity and gender data.

## **V. Enforcement and Accountability Standards**

### **A. Department of Citywide Administrative Services**

DCAS is required to: 1) establish and enforce uniform procedures and standards for use by City agencies in establishing measures, programs, and plans to ensure equal employment opportunity, including a time schedule for the development, review and adoption of EEO plans; 2) establish a uniform format for use by City agencies for the presentation of statistical information on the workforce of City agencies; and 3) develop resources regarding information on employment and educational programs.<sup>18</sup> DCAS is also required to publish and submit annual reports on the activities of DCAS and the other City agencies with respect to equal employment opportunity.<sup>19</sup>

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<sup>18</sup> See Charter Sections 814(a)(12)-(15).

<sup>19</sup> See Charter Section 814(b)(8).

Within DCAS, the Office of Citywide Diversity and EEO assists the Commissioner to develop and enforce the Policy, standards, and procedures. The Office of Citywide Diversity and EEO will assist City agencies by developing or collaborating on solutions, strategies and initiatives to effectively implement the provisions of the City Charter and other federal, state, and local laws, and monitoring the EEO-related activities of City agencies. In addition, DCAS maintains the data that is necessary in order to fulfill the City's EEO obligations under the City Charter and other federal, state and local laws.

## B. Agency Heads

Each agency head will ensure that his or her agency does not discriminate against employees or applicants for employment as prohibited by federal, state and local laws.<sup>20</sup> Agency heads are accountable to their respective Deputy Mayors for their agencies' EEO practices. Agency heads will also ensure that legal, human resources, and EEO personnel, managers, and supervisors: 1) receive a copy of this Policy (including any addenda); 2) are trained in EEO laws and procedures; and 3) know how to carry out their responsibilities under this Policy. Agency heads must distribute a copy of the EEO Policy Handbook, "*About EEO: What You May Not Know*" to all employees and ensure that a copy is available on the agency's website.

As discussed in Section IV, each agency head must annually adopt and implement a Diversity and EEO Plan that communicates measures and programs that the agency will undertake to ensure fair and effective efforts to provide equal employment opportunity. Draft Diversity and EEO Plans are to be developed and submitted each fiscal year according to the timetable and format established by DCAS, and must be reviewed and approved by DCAS. Agencies are required to file copies of finalized agency Diversity and EEO Plans with the Mayor, the City Council, the Equal Employment Practices Commission ("EEPC"), and the City Civil Service Commission, and to also make Diversity and EEO Plans available for reasonable public inspection.<sup>21</sup>

Each agency head will then submit quarterly reports to DCAS, as well as to the Mayor, City Council, and EEPC, on the agency's efforts during the previous quarter to implement the agency Diversity and EEO Plan. Such quarterly reports will also include a review and documentation of EEO complaints and requests for reasonable accommodations for said quarter. Quarterly Diversity and EEO reports must, pursuant to the City Charter, be timely submitted to DCAS and the other entities mentioned above, no later than thirty (30) days following the reporting period using the reporting format provided by DCAS.

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<sup>20</sup> See Charter Section 815(h).

<sup>21</sup> See Charter Section 815(a)(19).



In order to meet the City's obligations under the City Charter and other federal, state and local laws, and to achieve the goals of the agency Diversity and EEO Plan, each agency head must appoint a trained EEO Officer whose responsibility it will be to implement the Policy within that agency. Because EEO Officers will need independence of judgment as well as the authority of the agency head in order to carry out their responsibilities, the EEO Officer must report directly to the agency head, or if approved by DCAS, to a direct report to the agency head. In order to avoid potential conflicts of interest, under no circumstances should the EEO Officer report to the General Counsel. Where the agency's organizational structure necessitates multiple EEO representatives, such individuals should be selected from different office locations and, where possible, from a variety of levels within the organizational structure. The agency head must ensure that the responsibilities of the EEO Officer are competently discharged.

Agency heads should appoint at least two EEO representatives, who may not be of the same gender, to receive discrimination complaints and conduct investigations. Each agency head must designate a Career Counselor with appropriate training and knowledge, who is familiar with civil service jobs, to provide career counseling to employees who request such guidance. The agency head should also designate a Disabilities Rights Coordinator, whose responsibility it will be to ensure compliance with all federal, state, and local laws, as well as City and agency policies, pertaining to persons with disabilities. Usually the EEO Officer of each agency should serve as the Disabilities Rights Coordinator; however, when circumstances warrant, an agency head may designate another person to serve as the Disabilities Rights Coordinator.

Agency heads are required to sign off on all agency Diversity and EEO Plans and final determinations concerning EEO complaint resolutions and should conduct a quarterly review of EEO complaints and requests for accommodations. Such sign off may be in written or electronic form. Each agency head will ensure that all employees are provided with information that complies with the standards provided by DCAS regarding employee rights and obligations contained within this Policy, and with information about the complaint, investigation and reasonable accommodation procedures. The agency head will also ensure that the Policy, standards, and procedures are posted at each site where the agency conducts business. Such posting may include postings on electronic bulletin boards and intranet sites. Each agency head will ensure that each of the agency's employees is accountable for his or her compliance with EEO-related policies, and receives training in EEO laws.

Agency heads should ensure that information regarding employee rights and obligations, and the complaint, investigation, and reasonable accommodation procedures are available in appropriate alternative formats to employees and job applicants with disabilities.

### C. EEO Officers

The agency's EEO Officer has primary responsibility for assisting the agency head in implementing the Policy, standards, and procedures. Specifically, the agency's EEO Officer must be knowledgeable regarding EEO laws, the requirements of the Policy, standards, and procedures, and how to prevent, investigate, and resolve discrimination complaints. The EEO Officer and/or Disability Rights Coordinator will also receive requests for accommodations, and recommend appropriate action to the agency head regarding EEO-related issues. The EEO Officer will also provide guidance to the agency head in submitting the agency's annual Diversity and EEO Plan and in preparing and reviewing quarterly reports. The EEO Officer should work closely and cooperatively with the agency's General Counsel and the DCAS Office of Citywide Diversity and EEO, and provide guidance and assistance to agency managers, supervisors, and human resource professionals in addressing issues relating to equal employment opportunity.

The EEO Officer will also: 1) set training objectives that ensure that all agency employees receive diversity and inclusion and EEO training; 2) supervise the EEO-related activities of EEO counselors and/or investigators; 3) ensure that the Policy, standards, and procedures are posted at each site where the agency conducts business; and 4) ensure that the Policy, standards, and procedures are available in alternative formats (i.e., large print, audio tape, and/or Braille). Each agency's EEO Officer shall make a copy of these standards and procedures, and any subsequent revisions and supplemental materials, available upon request by an employee or applicant.

### D. Agency General Counsels

Agency General Counsels should: 1) assist the agency head in identifying and determining appropriate responses to EEO issues; 2) work cooperatively and closely with the EEO Officer in the implementation of the Policy, standards, and procedures; 3) inform the EEO Officer when external complaints or litigation involving EEO matters are brought against the agency; 4) be available to consult on internal EEO investigations; and 5) be responsible for the investigation of, and response to, external EEO complaints.

### E. Managers and Supervisors

Managers and supervisors will make every effort to maintain a work environment that fosters sensitivity and respect for the diversity of all individuals. Specifically, each agency manager or supervisor shall: 1) be accountable to the agency head for effectively implementing EEO-related policies; 2) perform managerial or

supervisory responsibilities in a non-discriminatory manner; 3) receive training in EEO laws; 4) cooperate with the EEO Officer in the implementation of the Policy, standards, and procedures (including training, complaint resolutions, processing, recording, and reporting reasonable accommodation requests, EEO-related recruitment, and selection standards; and modifying agency procedures to ensure equal employment opportunity for applicants and employees); 5) promptly consult with the agency's EEO Officer if he or she observes, learns about, or suspects that a violation of this Policy has occurred; 6) where appropriate, encourage subordinates to consult with an EEO office; 7) allow employees to meet with EEO representatives at the earliest practical time consistent with the operational needs of his or her unit; and 8) maintain confidentiality with respect to EEO-related matters.

#### F. Personnel Officers

Personnel Officers have primary responsibility for assisting the agency head in implementing the City's personnel policies and shall be knowledgeable regarding the interplay of EEO-related laws and other work-related legal regulations including Family Medical Leave Act, New York State Civil Service Law, and Workers' Compensation Law. Personnel Officers should cooperate with EEO Officers in the implementation of the Policy, standards, and procedures including training objectives, complaint resolutions, and modifying agency procedures to ensure equal employment opportunity for applicants and employees.

Personnel Officers will also: 1) ensure that employees know the identity of the agency Career Counselor and ensure that all employees have access to information regarding job responsibilities, performance evaluation standards, examinations, training opportunities and job postings; 2) ensure that all new employees are advised of the Policy, standards, and procedures, the employees' rights and responsibilities under such policies, and the discrimination complaint procedures; 3) inform the EEO Officer on a quarterly basis of the number of 55-a Program participants and efforts that the agency has made to employ, promote, or accommodate qualified individuals with disabilities; 4) involve the agency EEO Officer in the review of EEO-related decisions, actions, and practices; and 5) promptly consult with the agency's EEO Officer if he or she knows, has been informed of, or suspects that a violation of this Policy has occurred.

## **Appendix - 6**

Department of Records and Information Services  
*EEO Complaint Procedural Guidelines, City of New York*  
2016

# **EEO Complaint Procedural Guidelines**

**City of New York**

**2016**



**Department of Citywide Administrative Services**

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**THE CITY OF NEW YORK**  
**EQUAL EMPLOYMENT OPPORTUNITY COMPLAINT**  
**PROCEDURAL GUIDELINES**

**Overview**

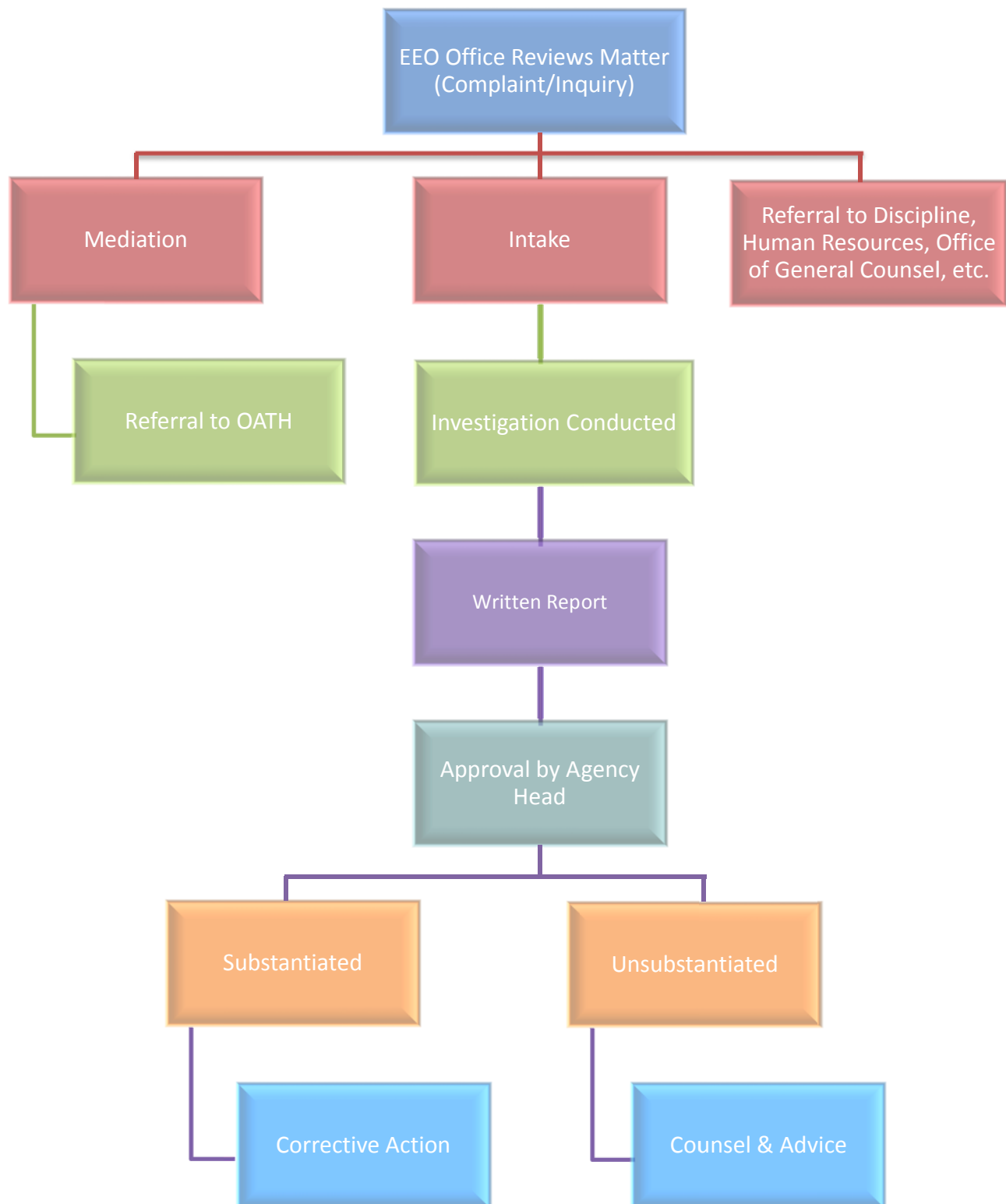
These Equal Employment Opportunity Complaint Procedural Guidelines (the “Guidelines”) are designed to assist Equal Employment Opportunity (“EEO”) Officers, Investigators and Counselors in handling EEO complaints and inquiries in a fair, consistent, and timely manner. A person who wishes to make an EEO complaint, or who inquiries about a possible EEO complaint, should be referred to the City’s EEO Policy (the “Policy”) and the “About EEO: What You May Not Know” Handbook (the “Handbook”).<sup>1</sup>

As provided in the Policy, the City prohibits discriminatory employment actions against, and treatment of, City employees and applicants for employment based on actual or perceived race, color, national origin, alienage or citizenship status, religion or creed, gender (including “gender identity” --which refers to a person’s actual or perceived sex, and includes self-image, appearance, behavior or expression, whether or not different from that traditionally associated with the legal sex assigned to the person at birth), disability, age (18 and over), military status, prior record of arrest or conviction, marital status, partnership status, genetic information or predisposing genetic characteristic, sexual orientation, status as a victim or witness of domestic violence, sex offenses or stalking, and unemployment status. Harassment and/or retaliation against a person who opposes or complains about prohibited conduct or participates in any way in the complaint, investigation, or reasonable accommodation processes are also prohibited. The Policy also prohibits the denial of reasonable accommodations for disabilities; pregnancy, childbirth, and related medical conditions; religious beliefs, observances, and practices; or for victims of domestic violence, sex offenses, or stalking that do not create an undue hardship. Persons who claim discrimination in violation of the Policy may file a complaint within one year of the alleged discriminatory incident, with the EEO Office at the City agency where the incident occurred (“internal complaint”) or with a Civil Rights enforcement agency, subject to its filing requirements (“external complaint”).

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<sup>1</sup>The EEO Policy is available at <http://www.nyc.gov/html/dcas/html/about/eeopol.shtml>. The EEO handbook is available at [http://www.nyc.gov/html/dcas/html/about/eoo\\_booklet.shtml](http://www.nyc.gov/html/dcas/html/about/eoo_booklet.shtml).

## The EEO Complaint Process *at a Glance*





# THE INTAKE PHASE

The EEO complaint or inquiry process begins when a person (the “Complainant”) contacts the EEO Office regarding an alleged discriminatory incident.

The person making the complaint may do so anonymously, if he or she so chooses. Anonymous complaints must be treated the same as identified complaints, to the extent possible.

A complaint may be filed by an employee a former employee, independent contractor, a consultant, a volunteer, an intern, a WEP worker, or an applicant for City employment.

A complaint may be filed on the Complainant’s own behalf or on behalf of someone else.

**Supervisors and managers are required under the Policy to timely notify their EEO Office of any alleged discriminatory conduct they observe or become aware of.**

Upon receiving an EEO complaint or inquiry, the EEO Office must memorialize the complaint or inquiry and enter it into the complaint tracking system,<sup>2</sup> as well as schedule, by email or letter, an intake session with Complainant, if known, for purposes of assessing or confirming the following:

- Is the complaint timely?
  - Determine when the alleged discriminatory conduct occurred. A complaint must be filed within one year of the date the alleged discriminatory conduct occurred.
  - While a Complainant may not be able to file a complaint and obtain specific relief sought if the complaint is untimely, the EEO Office may conduct an investigation and may make recommendations to address inappropriate conduct.
- Has Complainant previously filed a lawsuit or complaint with an enforcement agency regarding the same claims of discrimination? If so, the matter must be transferred to the agency’s Office of General Counsel.
  - If an external complaint or lawsuit is filed subsequent to the filing of the internal complaint, the matter must also be transferred to the agency’s Office of General Counsel. The EEO Office must notify Complainant (and Respondent<sup>3</sup>, if any) in writing of the transfer.
  - If the Complainant alleges retaliation after filing the external complaint, the retaliation complaint must also be transferred to the Office of General Counsel.
  - If a subsequent complaint involves allegations unrelated to the initial external complaint, the EEO Office may retain and investigate the subsequent complaint as a separate complaint. The EEO Office must consult with the Office of General Counsel in determining whether the

<sup>2</sup> The complaint tracking system is available at <https://mspwwa-dcslnx01.csc.nycnet/Login.aspx>.

<sup>3</sup> The Respondent is the person or entity alleged to have engaged in the discriminatory conduct.

subsequent complaint involves separate allegations.

- ☑ Has Complainant previously raised the same issues with others at the agency?
  - Did Complainant discuss the alleged discriminatory conduct with a supervisor/manager, Human Resources, or co-workers?
  - Has Complainant filed a grievance with his or her union regarding the same conduct, practice or policy?
- ☑ Does the complaint or inquiry raise one or more of the protected categories under the City's Policy, including when discrimination is based on perception or association (see the Handbook, pages 8-10, for definitions of the protected categories)?
  - If the complaint or inquiry does not raise an EEO basis, the EEO Office should make a referral, as appropriate.
- ☑ If the complaint or inquiry raises an EEO basis, what specific conduct, practice or policy is the person alleging violates the Policy? The issues raised could involve one or more of the following issues:
  - Harassment, including, but not limited to "the use of vulgar language, abusive acts or language, hostility, physical aggression, intimidation or unequal treatment" based on any of the protected categories (see the City's EEO Policy, page 3).
  - Adverse employment actions, such as negative performance evaluation or denial of promotion or benefits, allegedly based on one or more protected categories as shown by, for example, discriminatory comments or different treatment of other employees who are similarly situated.
  - Failure to reasonably accommodate disability, pregnancy, childbirth and related medical condition, religion/religious observance, victims of domestic violence, sex offenses or stalking.
  - Retaliation due to opposition or complaining about discrimination or participating in the complaint, investigation or reasonable accommodation process. Retaliatory conduct includes conduct reasonably likely to dissuade a person from engaging in protected activity.
  - Policy alleged to have a discriminatory impact on a protected category that is not job-related or justified by business necessity.
- ☑ What is Complainant's status with the agency?
  - Does Complainant work at the agency?
  - What is Complainant's civil service status?
  - Is Complainant an employee of the agency or different agency or an independent contractor?
    - The EEO Office must contact the EEO Office of the employing agency and coordinate the investigation.
- ☑ Which person(s), if any, is alleged to have engaged in the discriminatory conduct (the "Respondent")?
  - Complaints against the EEO Officer and agency heads should be referred to the City's Law Department or Department of Citywide Administrative Services ("DCAS").
  - Complaints by employees or others against a member of the public visiting the agency

should be referred to the agency's EEO Officer.

- Complaints by the public against persons working at the agency should be handled by the agency's EEO Officer.
- In the case of complaints against employees of other agencies, the EEO Office of each agency should conduct a joint inquiry or investigation of the complaint.

Is there a specific document or rule that applies to the conduct or practice complained about? For example:

- Personnel Services Bulletins (<http://www.nyc.gov/html/dcas/html/employees/psbtoc.shtml>)
- Personnel Rules and Regulations of the City of New York ([http://www.nyc.gov/html/dcas/html/employees/personnelrules\\_regs.shtml](http://www.nyc.gov/html/dcas/html/employees/personnelrules_regs.shtml))
- Collective bargaining agreements (<http://www1.nyc.gov/site/olr/labor/labor-recent-agreements.page>)
- Title Specifications and Notices of Examinations (<http://dcascitynet.dcas.nycnet/TitleSpecs/home.aspx>)
- Agency Code of Conduct

Do the allegations involve conduct which must be reported to or investigated by a different office or agency? For instance:

- Discipline (Advocate): violations of code of conduct.
  - The EEO Office may rely on fact-findings of Discipline or may conduct separate or additional investigation.
- Inspector General: fraud, corruption and unethical conduct.
- Police/Law Enforcement: criminal conduct.
  - The EEO Office may have to place an investigation or inquiry on hold if the matter is referred to law enforcement.

Is it necessary that action be taken prior to the investigation of the complaint?

- After consultation and approval from appropriate agency personnel, it may be necessary to provide interim relief to alleged victims of harassment.
- Interim relief may include, among other actions, temporary transfers and assignment or shift changes.

Inform Complainant regarding confidentiality and anonymity, and the Policy regarding retaliation.

Prior to meeting Complainant, inform Complainant of the right to be accompanied by a representative.

Begin investigation immediately after determining that the allegations raised, if true, are sufficient to establish a case of discrimination under the Policy, that the complaint is timely, and that the EEO Office is responsible for investigating the complaint. Complete an investigation within 90 calendar days of the filing of the complaint.

- Ensure a Complaint Form is completed, preferably by Complainant although it can be done by the EEO Office, but should be signed by Complainant.

# MEDIATION

Mediation is a voluntary approach to dispute resolution in which the parties try to resolve the dispute themselves on mutually agreeable terms, with the help of a trained third party mediator. The EEO Officer may recommend mediation, or either party to the complaint may request mediation.

The EEO Office may recommend mediation at the inquiry/intake stage and/or the parties may subsequently request mediation during the investigation, subject to the approval of the EEO Officer. Requests for mediation must be made in writing.

Mediation may be conducted by a trained third party mediator. The Center for Creative Conflict Resolution, which is part of the Office of Administrative Trials and Hearings (“OATH”), conducts mediation free of cost to City agencies and employees. More information about OATH is available at <http://www.nyc.gov/html/oath/html/about/the-center.shtml>.

Mediation is most appropriate for complaints involving interpersonal conflict, and should not be considered in certain cases, such as when the complaint includes allegations of sexual harassment or criminal conduct.

Mediation efforts must not exceed 45 days from the start of mediation. The EEO Office may extend the mediation for good cause.

While mediation continues, the 90-day period for completion of the investigation is suspended.

If the parties agree to a resolution during mediation, a resolution agreement will be drafted and provided to the parties and the referring EEO Officer. The resolution agreement will resolve the pending EEO complaint. Any resolution agreement requiring agency action or approval will only become effective subject to agency approval. If a resolution is not reached, the matter is returned to the EEO Officer and the 90-day investigative period resumes. The EEO Officer may also determine if an agreement has been violated and if so, whether to refer it for further mediation or declare the agreement void.

A party may withdraw from mediation at any time. The EEO Office may also terminate the mediation process if it deems that the effort has been unproductive. The EEO Office must inform all parties to the complaint, in writing, of the termination of mediation. The notice must also inform the parties that the EEO Office will resume its investigation of the complaint.

# INVESTIGATION

- The purpose of the investigation is to determine whether there are facts supporting the allegations of discrimination.
- The complaint investigation should begin immediately after a determination that the allegations raised, if true, are sufficient to establish discrimination under the Policy, that the complaint is timely, and that the EEO Office is responsible for investigating the complaint.
- The complaint investigation should be completed and the Complainant should be notified of the outcome within **90 calendar days** of the filing of a complaint.
  - The EEO Office should ensure that a Complaint Form is completed, preferably by Complainant although it can be done by the EEO Office, but should be signed by Complainant, and logged into the complaint tracking system.
  - Complainants should be provided the following upon filing a complaint:
    - a copy of the written complaint
    - acknowledgement of receipt of the complaint
    - a copy of or links to the City' EEO Policy and Handbook
- Meet with Complainant to supplement or clarify information provided during the intake phase.
  - Confirm if there any persons who witnessed the alleged discriminatory conduct.
  - Does the Complainant have or know of any documents, such as emails or photos, containing information about the alleged conduct?
- Conduct a thorough investigation that provides answers as to:
  - who was involved in the alleged discriminatory conduct;
  - what occurred during the alleged conduct;
  - when and where the alleged conduct took place;
  - the identity of all witnesses to the alleged conduct, anyone with whom the alleged conduct has been discussed, or anyone who may have identified as having been subject to similar conduct as that alleged or who has information concerning any aspect of the alleged conduct;
  - whether this was an isolated conduct or part of a pattern;
  - what impact, if any, the alleged conduct has had on the Complainant and/or the work environment;
- Determine whether the action alleged to be discriminatory was based on a legitimate, nondiscriminatory reason.
- Obtain and review any available and relevant notes, recordings, photographs, physical evidence, or other documentation.

### Conducting Interviews

- Explain objective of the interview.
- Explain City's EEO Policy on retaliation.
- Ask open-ended interview questions in a non-judgmental manner.
- Determine what witnesses know based on personal knowledge versus what they have heard.
- During each interview, take thorough notes, as close to verbatim as possible. Notes should reflect the content of the interview, both the questions and answers, as completely as possible.

### Notice to Respondent of the Complaint

- The EEO Office must serve Respondent with a notice of complaint along with a redacted copy of the complaint or a summary of the complaint and allegations after interviewing the Complainant. The following information must be redacted: the Complainant's home address and telephone number, and the name(s), title(s), and division(s) of witnesses.
- Schedule a meeting with Respondent, ensuring that Respondent is informed of the right to be accompanied by a representative.
- Remind Respondent of the City's EEO Policy against unlawful discrimination and retaliation.
- Inform Respondent of the right to respond in writing to the complaint, and that the response should be submitted as soon as possible.
- Give Respondent an opportunity to offer his/her version of events and any other relevant information, including any witnesses who are likely to have relevant information. The EEO Office should interview witnesses identified by Respondent.

### Amending the Complaint

The complaint may be amended in writing, for any reason, prior to conclusion of the investigation and notice of outcome to the parties. For purposes of the one-year filing period, amendments to the original complaint will be deemed timely if the original complaint was itself timely. However:

- If a Complainant, after filing an initial complaint, seeks to file a subsequent complaint based on different facts than those alleged in the initial complaint, the subsequent complaint should be treated as a separate complaint.
- If a Complainant, after filing an initial complaint, seeks to file a subsequent complaint alleging retaliation for making the initial complaint, the later complaint should be treated as a separate complaint.

- All initial, amended, and new complaints should be cross-referenced in the EEO Office's complaint file and the complaint tracking system.

### **Right to be Accompanied by a Representative**

Any person who is interviewed during the course of an EEO investigation has the right to be accompanied by a representative of his or her choice. This includes individuals who make complaints, persons against whom complaints were made, or witnesses. It is preferable that the EEO Office receive advance notice that the person who is being interviewed will be bringing a representative. The representative may not respond on behalf of the party being interviewed or interfere with the interview.

### **Confidentiality and Record Keeping**

Complaints and complaint investigations should be accorded the strictest confidentiality possible. The EEO Office should make every effort to protect from disclosure the complaint allegations, the identity of parties to the complaint and any witnesses. Exceptions include disclosing to persons with a legitimate need to know certain information in order to respond to the complaint allegations or implement interim or corrective action. All persons with whom the EEO Office interacts concerning the complaint and its investigation should be asked to refrain from discussing the complaint beyond their interaction with the EEO Office.

All complaints and related documents, including any investigative notes, records, or copies, are strictly confidential and must be maintained by the EEO Office. The EEO Office may consult the agency's Office of General Counsel concerning a request to view or have copied, in whole or part, the EEO Office's files.

### **Meeting with EEO Office and Obligation to Cooperate**

Anyone has the right to meet privately with the EEO Office during its office hours. An employee seeking to meet with the EEO Office at a reasonable time during that office's hours must secure prior permission for same from his/her appropriate supervisor. Such requests must be granted as a matter of right, but the supervisor may determine a reasonable time for the employee to visit the EEO Office. The employee is not required to disclose to the supervisor or anyone the reason for the employee's visit to the EEO Office. If appropriate or preferred by the employee, the meeting between the employee and the EEO Office may be scheduled before or after that office's hours, or during the employee's lunch break or personal time.

All employees are expected to cooperate with EEO investigations. Failure to cooperate in an investigation may result in disciplinary action.

### **False Allegations**

If an employee knowingly makes a false complaint or knowingly provides false information to the EEO Office in the course of a complaint or complaint investigation, such conduct may be grounds for disciplinary action. A complaint made in good faith, even if found to be unsubstantiated, will not be considered a false accusation.

### **Agency As Respondent**

Whenever an agency and/or subdivision of an agency are named as a Respondent in a complaint, the Agency Head should designate an appropriate person to respond to the allegations in the complaint on behalf of the agency or subdivision.



# PREPARING THE FINAL REPORT

The final investigative report **must be completed and the parties must be notified of the outcome within 90 calendar days** from the date the complaint was filed with the EEO Office, unless the time period is extended by the EEO Office for good cause, with written notice to the parties and memorialized in the investigative file and/or the complaint tracking system. The EEO Office must document the reason for the delay, and project a time frame for the completion of the report.

The EEO Officer should routinely consult the agency's Office of General Counsel on questions that arise while preparing the written report or at any phase of the investigation.

- After all the relevant facts have been gathered, the EEO Officer must prepare a confidential written report on the complaint investigation and must submit the report to the Agency Head for review.
- In preparing the written report, the EEO Officer should determine the credibility of the parties and witnesses, including their motives and biases. The EEO Officer should routinely consult the agency's Office of General Counsel on questions that arise while preparing the written report or at any phase of the investigation.
- If, based on the facts, the EEO Officer determines that it is more likely than not that the Respondent engaged in unlawful discriminatory conduct in violation of the City's EEO Policy, the EEO Officer must determine the most appropriate action to be taken in light of the facts and circumstances and make a written recommendation to the Agency Head.
- Corrective action may include measures necessary to address the impact that the violation of the City's EEO Policy had on the Complainant or within the agency. Disciplinary action must be taken in accordance with provisions of law, rules and regulations and any relevant collective bargaining agreement. Determining the appropriate disciplinary action is often a difficult and sensitive matter with potential legal consequences. Therefore, the agency's Office of General Counsel, Agency Advocate and/or Labor Relations Office must concur in any recommendation to pursue discipline before it can be adopted as part of a written report.
  - The written report should include a summary of the allegations and responses, a summary of the procedural history of the investigation, a statement of the relevant facts gathered during the investigation, a conclusion/determination and recommendation. Conclusions must be supported by facts uncovered during the investigation.
- The Agency Head must sign each written report and indicate that it has been reviewed and whether the determination and recommendation, if any, is adopted, rejected or modified. After review of the report by the Agency Head, the EEO Office should inform all parties in writing of the outcome of the investigation.

## Informing Parties of Outcome

The decision after investigation should be communicated to the parties, in writing, in a discreet and confidential manner, indicating the conclusion reached, whether the misconduct alleged has been

substantiated, and the agency's opposition to that kind of activity.

## APPENDICES

The following pages contain templates in the form of sample documents and letters that were developed to promote consistency in the complaint and investigative processes. Although agencies are not mandated to use these specific templates, the information captured in these templates should be considered the **minimum** requirement.

Regarding the sample final investigative report included here, this format is strongly encouraged in the interest of consistency and clarity of reporting.

**All** EEO complaints are to be entered in the complaint tracking system.

- It is **recommended** that this be done immediately following the initial intake interview with the Complainant(s).
- It is **required** that this be done before the end of the quarter.

**SAMPLE A – Intake Form**

**[Insert agency name and logo]**

**Complaint #:** \_\_\_\_\_

**Date received:** \_\_\_\_\_

Origin (circle one): Letter Telephone Office Visit Email

Received by (circle one): EEO STAFF NAME EEO STAFF NAME EEO STAFF NAME

---

**1. Contact Information**

Name \_\_\_\_\_

Title \_\_\_\_\_ Employee ID# \_\_\_\_\_

Work Unit \_\_\_\_\_ Location \_\_\_\_\_

Work Telephone # \_\_\_\_\_ Shift \_\_\_\_\_

Home Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Home Phone # \_\_\_\_\_

Cell Phone # \_\_\_\_\_ Email Address \_\_\_\_\_

---

**2. Subject/Respondent Information**

Name \_\_\_\_\_

Title \_\_\_\_\_ Employee ID# \_\_\_\_\_

Work Unit \_\_\_\_\_ Location \_\_\_\_\_

Work Telephone # \_\_\_\_\_ Shift \_\_\_\_\_

Home Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Home Phone # \_\_\_\_\_

Cell Phone # \_\_\_\_\_ Email Address \_\_\_\_\_

Complaint #: \_\_\_\_\_

**Describe the nature of the complaint**

Attach additional sheets as necessary

- Supervisor Behavior     Employee Behavior     Employment Practice

<b>What resolution are you seeking?</b>

**Action(s) taken by EEO Office**

- Counsel and Advice
- Mediation
- Not an EEO matter, referred to appropriate department for handling:

Date: \_\_\_\_\_

Department / Contact: \_\_\_\_\_

- Inquiry/Investigation Commenced

Complaint #: \_\_\_\_\_

### SAMPLE B – Complaint Form

[Insert agency name and logo]

## Complaint of Discrimination

(Please print the following information)

Name ERN Division/Office/Agency

Civil Service Title Office Title Supervisor

What is the alleged basis of discrimination?

(Please check all that apply)

- Age
- Alienage/Citizenship
- Arrest/ Conviction record
- Color
- Disability
- Gender/including gender identity/Pregnancy
- Genetic Predisposition
- Marital Status
- Military Status
- National Origin
- Partnership Status
- Race
- Religion/Creed
- Sexual Harassment
- Sexual Orientation
- Unemployment Status
- Victim of Domestic Violence, Sex Offense or Stalking
- Retaliation for filing a complaint or assisting in the investigation of an EEO complaint

Please give the name, title and division of the person(s) you believe discriminated against

you.

When did the alleged discrimination occur? Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Where did the alleged incident occur?

Were there witnesses to the discrimination? Yes \_\_\_\_\_ No \_\_\_\_\_

Did you report this incident to anyone? Yes \_\_\_\_\_ No \_\_\_\_\_

(Please provide the name(s) of witnesses on the Witness Information Form)

Have you filed a complaint about the alleged discrimination with any of the following agencies?

- New York City Commission on Human Rights
- New York State Division of Human Rights
- United States Equal Employment Opportunity Commission
- United States Department of Labor
- United States Department of Justice

(If so, please state the date and the complaint number)

Complaint# \_\_\_\_\_ Date Filed: \_\_\_\_/\_\_\_\_/\_\_\_\_

Please describe what happened to you on the following pages, what you believe is unlawful discrimination, and/or how other persons were treated differently. This statement may be amended to correct omissions. Please use extra pages if necessary.

What corrective action do you want taken?

# Complaint of Discrimination

Page 2

## Description of Alleged Unlawful Discrimination

Please describe what happened to you which you believe is unlawful discrimination, and how other persons were treated differently. This statement may be amended to correct mistakes or omissions. *(Please use extra pages if necessary)*

*I certify I have read the above charge and any attached pages that it is true to the best of my knowledge, information and belief, and that I have read the attached notices concerning my rights to file a complaint with federal, state and local civil rights enforcement agencies.*

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Complainant's Signature \_\_\_\_\_

## NOTICE

### YOUR RIGHTS TO FILE A COMPLAINT WITH CIVIL RIGHTS ENFORCEMENT AGENCIES

Any employee or applicant for employment who believes that they have experienced unlawful discrimination has a right to file a formal complaint with the federal, state or local agencies listed below. A person does not give up this right when they file a complaint with the DCAS EEO Officer, or any of the DCAS EEO Representatives. The following federal, state and local agencies enforce laws against discrimination:

#### NEW YORK CITY COMMISSION ON HUMAN RIGHTS

40 Rector Street

New York, NY 10006

(212) 306-7450

(212) 306-7686 (TTY)

Web site: [www.nyc.gov/html/cchr/home/html](http://www.nyc.gov/html/cchr/home/html)

#### NEW YORK STATE DIVISION OF HUMAN RIGHTS

One Fordham Plaza, 4th Floor

Bronx, NY 10458

(718) 741-8400

or

163 West 125th Street, 4th Floor

New York, NY 100270

(212) 961-8650

(212) 961-8999 (TTY)

or

20 Exchange Place, 2nd Floor

New York, NY 10005

(212) 480-2522

or

55 Hanson Place, 3rd Floor

Brooklyn, NY 11217

(718) 722-2856

Web site: [www.nysdhr.com](http://www.nysdhr.com)

#### UNITED STATES EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

New York District Office

33 Whitehall Street, 5th Floor

New York, NY 10004

(212) 336-3620; (212) 336-3622 (TTY)

Web site: [www.eeoc.gov](http://www.eeoc.gov)

**In addition to filing with the aforementioned agencies, a person with a complaint alleging discrimination based on disability may file with:**

**UNITED STATES DEPARTMENT OF JUSTICE CIVIL RIGHTS DIVISION**

**Disability Rights Section  
New York Avenue Building  
950 Pennsylvania Avenue N.W.  
Washington, D.C. 20530  
(202) 307-0663 (voice and TDD)  
Web site: [www.usdoj.gov/crt/drs/drshome/htm](http://www.usdoj.gov/crt/drs/drshome/htm)**

**A person with a complaint alleging discrimination based on citizenship or immigration status may file with:**

**UNITED STATES DEPARTMENT OF JUSTICE CIVIL RIGHTS DIVISION  
Office of Special Counsel for Immigration-Related Unfair Employment Practices  
New York Avenue Building  
950 Pennsylvania Avenue N.W.  
Washington, D.C. 20530  
Voice: (202) 616-5594; (202) 616-5525; 1-800-237-2515  
Web site: [www.usdoj.gov/crt/osc](http://www.usdoj.gov/crt/osc)**

**A person who has been discriminated against by a recipient of financial assistance from the U.S. Department of Labor may file a complaint, either with the recipient or with the Civil Rights Center (CRC). Those who wish to file complaints with CRC should mail their complaints to:**

**UNITED STATES DEPARTMENT OF LABOR  
Director, Civil Rights Center  
Frances Perkins Building, Room N-4123  
200 Constitution Avenue N.W.  
Washington, D.C. 20210  
(202) 693-6502 (voice)  
(202) 693-6515 (TTY)  
Web site: [www.dol.gov/dol/oasam/crhome.htm](http://www.dol.gov/dol/oasam/crhome.htm)**

**Please Note: There are statutory deadlines for filing complaints with each of these agencies. The deadline in some instances is as short as 180 days. If you wish to file a complaint with an external administrative agency, you should promptly contact any of these agencies directly or a private attorney for information about how to file a complaint, time limits, and how to preserve your rights.**

**Discrimination complaints filed with the DCAS EEO Office must be made within One Year of the incident that you are complaining about.**



**SAMPLE C – Witness Information Form**

[Insert agency name and logo]

**WITNESS INFORMATION FORM  
CONFIDENTIAL**

**Complaint #** \_\_\_\_\_

**Complainant's Name:** \_\_\_\_\_

**Please provide the name, address/location and telephone number of any witness to the alleged unlawful discrimination. If DCAS employs the person please provide their division and title, if known. If the person (s) is employed by another city agency please provide the name of the agency, if known.**

***Please complete a separate form for each witness***

***(Please Print)***

**Name:** \_\_\_\_\_

**Agency:** \_\_\_\_\_

**Division:** \_\_\_\_\_

**Civil Service or Office Title:** \_\_\_\_\_

**Address/Location:** \_\_\_\_\_

**Telephone :( )** \_\_\_\_\_

### SAMPLE D – EEO Complaint Activity Sheet

[Insert agency name and logo]

EEO Investigator: \_\_\_\_\_ Complaint #: \_\_\_\_\_

DATE	NAME	NATURE OF CONTACT

## SAMPLE E – CHECKLIST: TYPICAL QUESTIONS TO ASK A COMPLAINANT

- What is the basis of your complaint?  
\_\_\_\_\_
- What is the specific behavior that you experienced?  
\_\_\_\_\_
- Who was engaged in the behavior?  
\_\_\_\_\_
- When did the incident(s) take place?  
\_\_\_\_\_
- Was the behavior repeated or has it happened before?  
\_\_\_\_\_
- How long has this been going on?  
\_\_\_\_\_
- Where did the incident take place?  
\_\_\_\_\_
- How, if at all, did you react?  
\_\_\_\_\_
- Was your ability to work affected in any way?  
\_\_\_\_\_
- How were you affected otherwise?  
\_\_\_\_\_
- Do you know of anyone who witnessed this or similar incidents?  
\_\_\_\_\_
- Do you know of other employees who have been subjected to the same treatment or have the same concern?  
\_\_\_\_\_
- Do you have any evidence regarding this matter? (Photos, notes, letters, personal emails, texts, social media messages, voice mail messages, any objects of any kind, etc.)  
\_\_\_\_\_
  - If Complainant (or witnesses) reference evidence that resides on Department computers, the Department's office of Information Technology should be contacted for collection of this evidence.
- What resolution are you seeking? In other words, what is the outcome that you expect to result from filing this complaint?  
\_\_\_\_\_

**SAMPLE F – Acknowledgment of Receipt of Policy**

**[Insert agency name and logo]**

I, \_\_\_\_\_, employee ID number \_\_\_\_\_, acknowledge that I received the City of New York’s Equal Opportunity Policy.

I have reviewed the policy and understand its content. I also acknowledge that it was reviewed and explained to me during my counseling session.

\_\_\_\_\_

Signature of Employee

\_\_\_\_\_

Date

\_\_\_\_\_

EEO Representative

\_\_\_\_\_

Date

**SAMPLE G – Inquiry Letter to Complainant**

**[Insert agency name and logo]**

Date

Ms./Mr. FIRST NAME LAST NAME

STREET ADDRESS

BOROUGH, New York #####

Re: EEO Complaint #

\_\_\_\_\_

Dear Ms. \_\_\_\_\_:

Thank you for contacting the EEO Office with your concerns. We will be conducting an inquiry into your complaint. The matter has been assigned to NAME and TITLE of EEO Investigator, who will be contacting you shortly.

In the interim, please feel free to contact Ms. \_\_\_\_\_ (EEO Investigator) directly at (###) ###-#### if there is any additional information you think may assist her. Thank you for your cooperation in advance.

Sincerely,

EEO OFFICER

**SAMPLE H – Notice of Discrimination Complaint**

\_\_\_\_\_

Complainant v. Respondent

On \_\_\_\_\_,  
Date Complainant's Name(s)

filed a complaint of discrimination against you on the basis of \_\_\_\_\_.

You may respond in writing to the allegations contained in this complaint after receiving this notice and a summary of the complaint allegations. Any response you wish to make must be received by the (agency's) \_\_\_\_\_ EEO Office on or before \_\_\_\_\_ (14 calendar days from date of notice).

We have scheduled a meeting on \_\_\_\_\_ at the EEO Office [Insert address]. Please call (phone number) immediately if you need to reschedule the meeting. You have the right to be accompanied by a representative of your choice. Please notify the EEO Office in advance of the meeting if you plan to be accompanied by a representative.

Responsibility for investigating this complaint rests with the agency's EEO Office. The complaint process is usually completed within 90 calendar days of the date on which the complaint was filed.

At the conclusion of the investigation, a confidential written report of the investigation will be submitted to the agency head. If, based upon the investigation, it is determined that the City's EEO Policy has been violated, a recommendation will be made to the agency head that appropriate corrective action be taken, which may include disciplinary action. All parties will be notified in writing of the outcome of the investigation.

A copy of The City's EEO Policy is attached for your reference. Please review this policy.

Please note that it is a violation of the City's EEO Policy to retaliate against or harass any person for filing a complaint of harassment or discrimination or cooperating with an investigation of a complaint. Such retaliation or harassment will be cause for disciplinary action regardless of the findings of the initial investigation.

\_\_\_\_\_  
EEO Officer or designee

\_\_\_\_\_  
Date

**SAMPLE I – Request for Withdrawal of Complaint**

**[Insert agency name and logo]**

**RE: COMPLAINT #** \_\_\_\_\_

I, \_\_\_\_\_, Employee ID number \_\_\_\_\_ hereby request withdrawal of my complaint of employment discrimination filed with the EEO Office on \_\_\_\_\_. My decision to request withdrawal of this complaint is not the result of either coercion or intimidation by any other individual. I understand that this withdrawal may NOT conclude the investigation of my complaint by the EEO Office of \_\_\_\_\_ Agency.

I wish to withdraw this complaint because

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Complainant's Signature

\_\_\_\_\_  
Date

---

**FOR OFFICE USE ONLY**

ACCEPTED:      YES      NO

COMMENTS:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
EEO Office Representative Signature

\_\_\_\_\_  
Date

**SAMPLE J – Administrative Closure Letter**

**[Insert agency name and logo]**

Date

Ms. / Mr. FIRST NAME LAST NAME

STREET ADDRESS

BOROUGH, New York #####

Re: EEO Complaint #

---

Dear Ms. \_\_\_\_\_:

Thank you for contacting the EEO Office with your concerns. Recently we requested that you provide us with information and list of witnesses to assist us in our inquiry/investigation. However, to date, you have failed to provide us with that statement.

Please forward the statement to us immediately. If we do not receive the information within the next 10 days, we will administratively close your case. If and/or when you submit the statement, your case will be re-opened. Thank you for your cooperation.

Please feel free to contact me with any questions or concerns that you may have at ###-###-####.

Sincerely,

EEO Officer



**SAMPLE K – Investigation Completed; Substantiated  
Letter to Complainant**

**[Insert agency name and logo]**

Date

Ms./Mr. FIRST NAME LAST NAME

STREET ADDRESS

BOROUGH, New York #####

Re: EEO Complaint #  
\_\_\_\_\_

Dear Ms. \_\_\_\_\_:

Please be advised that the EEO Office has concluded its investigation of the above referenced complaint which you filed alleging discrimination on the basis of \_\_\_\_\_.

Upon a review of all the pertinent facts presented in the complaint, this office finds that the allegations were substantiated.

This case has been referred to our [State agency department/office] which will implement disciplinary action as the Commissioner deems appropriate.

If you should have any questions, I can be reached at ### ##-####.

\*[Disciplinary Officer, Dept., Advocate, Labor Relations Department or Inspector General]

Sincerely,

EEO OFFICER

c: Commissioner

**SAMPLE L – Investigation Completed: Substantiated  
Letter to Respondent**

[Insert agency name and logo]

Date

Ms. / Mr. FIRST NAME LAST NAME  
STREET ADDRESS  
BOROUGH, New York #####

Re: EEO Complaint #  
\_\_\_\_\_

Dear Ms. \_\_\_\_\_:

Please be advised that the EEO Office has concluded its investigation of the above referenced complaint which [Name of Complainant] filed alleging discrimination on the basis of \_\_\_\_\_, in which you were named respondent.

Upon a review of all the pertinent facts presented in the complaint, this office finds that the allegations were substantiated.

The following corrective measures will be taken: [Please enter steps that will be taken here, either in a sentence or as a bulleted list.]

Please note that it is a violation of the City's EEO Policy to retaliate against or harass any person for filing a complaint of harassment or discrimination or cooperating with the investigation of a complaint.

If you should have any questions, I can be reached at ### ##-####.

Sincerely,

EEO OFFICER

c: Commissioner

**SAMPLE M – Investigation Completed; Unsubstantiated  
Letter to Complainant**

**[Insert agency name and logo]**

Date

Ms./Mr. FIRST NAME LAST NAME

STREET ADDRESS

BOROUGH, New York #####Re: EEO Complaint # \_\_\_\_\_

Dear Ms. \_\_\_\_\_:

I am writing to inform you that the EEO Office has concluded its review of the complaint you filed on \_\_\_\_\_. We conducted a comprehensive investigation of the charges made in your complaint, including \_\_\_\_\_. We have kept the investigation impartial and objective.

Based on our investigation, your charges of a violation of New York City's EEO Policy could not be substantiated. [State reason, if appropriate].

Thank you for bringing your concerns to our attention and for being patient while we addressed them. Please continue to report any conduct that you deem inconsistent with The City's policies. I want to assure you that [Agency Name] is committed to protecting you from any retaliation as a result of your complaint and our investigation. Please call me if you feel you are being subjected to retaliation in any form.

To protect the privacy of everyone involved in this investigation we have taken steps to handle this matter in confidence. We expect you to treat the information contained in this letter in the same manner.

Sincerely,

EEO OFFICER

c: Commissioner

**SAMPLE N – Investigation Completed;– Unsubstantiated  
Letter to Respondent**

**[Insert agency name and logo]**

Date

Ms./Mr. FIRST NAME LAST NAME

STREET ADDRESS

BOROUGH, New York #####

Re: EEO Complaint # \_\_\_\_\_

Dear Ms. \_\_\_\_\_:

Please be advised that the EEO Office has concluded its investigation of the above referenced complaint which [Name of complainant] filed alleging discrimination on the basis of \_\_\_\_\_, in which you were named respondent.

Upon a review of all the pertinent facts presented in the complaint, this office finds that the allegations were unsubstantiated.

To protect the privacy of everyone involved in this investigation we have taken steps to handle this matter in confidence. We expect you to treat the information contained in this letter in the same manner.

Please note that it is a violation of the City's EEO Policy to retaliate against or harass any person for filing a complaint of harassment or discrimination or cooperating with the investigation of a complaint.

If you should have any questions, I can be reached at ### ##-####.

Sincerely,

EEO OFFICER

c: Commissioner

**SAMPLE O – EEO Complaint Final Investigative Report  
CONFIDENTIAL**

[Insert agency name and logo]

Date: \_\_\_\_\_

To: \_\_\_\_\_ [Agency Head]

From: \_\_\_\_\_ [EEO Officer or Investigator]

Re: \_\_\_\_\_ [EEO Complaint Number]

Complainant: \_\_\_\_\_

Respondent: \_\_\_\_\_

The undersigned was designated to conduct an investigation of alleged misconduct involving the above referenced matter.

**Statement of Basis of Complaint:**

This complaint alleges discrimination in the form of \_\_\_\_\_

The initial information that served as a basis for this investigation was provided by \_\_\_\_\_ [Identify person or persons who supplied information of possible misconduct] and consisted of [an oral statement *and/or* a written statement attached hereto as Appendix A].

The investigation was initiated on \_\_\_\_\_, and concluded on \_\_\_\_\_.

**Summary of History of Complaint:**

- \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

All potential witnesses have been interviewed and are listed as follows:

- Name: \_\_\_\_\_ Title (If NYC Employee) \_\_\_\_\_
- Name: \_\_\_\_\_ Title (If NYC Employee) \_\_\_\_\_
- Name: \_\_\_\_\_ Title (If NYC Employee) \_\_\_\_\_
- Name: \_\_\_\_\_ Title (If NYC Employee) \_\_\_\_\_

- Employee: \_\_\_\_\_ was contacted on \_\_\_\_\_, but declined to be interviewed.

The documents that were reviewed are listed as follows:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

The following evidence has also been secured (any objects, images, printout of text messages, social media content, etc.):

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

**Findings of Fact**

[This section should contain statements made by the complainant and witnesses. Please cite attachments, if any.]

- \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

[This section should contain statements made by the complainant and witnesses that are disputed or unsubstantiated by the investigator(s).]

- \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Statement of Response:**

The Respondent responded to the allegations by stating

\_\_\_\_\_

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**Opinions:**

[This section should contain the opinions and observations of the EEO Investigator.]

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**Determination:**

[This section should contain the EEO Investigator's determination as to whether or not the allegations were substantiated.]

---

**Conclusion and Recommendations:**

Based upon the conclusion of this investigation it is recommended that:

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---

---

Date: \_\_\_\_\_

---

[Signature] EEO Officer

I have reviewed this report and the recommendation(s) made above.

The recommendations meet with my approval and will be adopted \_\_\_\_\_

The recommendations made above do NOT meet with my approval \_\_\_\_\_

Comments:

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Date: \_\_\_\_\_

---

[Signature] Agency Head



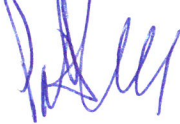
**The New York City Department of Records and Information Services**

31 Chambers Street, Room 305, New York, NY 10007

Pauline Toole, Commissioner

[ptool@records.nyc.gov](mailto:ptool@records.nyc.gov); (212) 788-8607

TO: All DORIS employees

FROM: Commissioner Pauline Toole 

SUBJECT: Compliance with Equal Employment Opportunity laws, rules and guidelines

DATE: July 1, 2019

The staff from the Equal Employment Practices Commission recently concluded an audit of the Department of Records and Information Services (DORIS) compliance with Equal Employment Opportunity laws, rules and guidance. A copy of the final memo from the EEPC is attached.

DORIS was successful in meeting the audit standards of the EEPC. I am committed, as is the senior management team, to maintaining a work place free from unlawful discrimination and sexual harassment.

Thank you.





# Memo

**TO:** All Employees  
**FROM:** Equal Employment Practices Commission  
**DATE:** 6/27/2019  
**RE:** Sexual Harassment Prevention and Response Practices  
Department of Records and Information Services

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The New York City Charter requires the Equal Employment Practices Commission (EEPC) to conduct an audit once every four years to ensure each City agency or municipal entity (collectively “agency”) complies with federal, state, and local laws and regulations, and policies and procedures that increase equal opportunity for employees and applicants.

The EEPC recently concluded an audit and evaluation of the Department of Records and Information Services practices and procedures for compliance with city, state, and federal equal employment opportunity laws and regulations, and did not identify areas for enhancement.

Through successful completion of the EEPC’s audit, evaluation, and monitoring processes Commissioner Toole reaffirms the commitment to ensuring that the Department of Records and Information Services’ employment practices encourage and maintain a workplace free from unlawful discrimination and sexual harassment, and that all employees are aware of their rights and obligations under the agency’s equal employment opportunity policies.



Vacant  
Chair

Angela Cabrera  
Malini Cadambi Daniel  
Elaine S. Reiss, Esq.  
Arva R. Rice  
Commissioners

Charise L. Terry  
Executive Director

Judith Garcia Quiñonez, Esq.  
Executive Agency Counsel/  
Director of Learning and  
Development

Jennifer Shaw, Esq.  
Executive Agency Counsel/  
Director of Compliance

253 Broadway  
Suite 602  
New York, NY 10007

212. 615. 8939 tel.  
212. 676.2724 fax

**BY MAIL AND EMAIL**

July 3, 2019

Pauline A. Toole  
Commissioner  
Department of Records and Information Services  
31 Chambers Street  
New York, NY 10007

Re: Resolution #2019AP/232-860-(2019)  
Department of Records and Information Services  
Evaluation of Sexual Harassment Prevention and Response Practices  
Audit Period: January 1, 2017 to December 31, 2018  
Determination: **FINAL**

Dear Commissioner Toole:

On behalf of the members of the Equal Employment Practices Commission (EEPC), thank you for the continued cooperation extended to our staff. This document serves as a follow-up evaluation and Final Determination to the following:

Preliminary Determination Issued on: June 25, 2019  
Response Received: July 1, 2019

**Purpose**

Chapter 35, Sections 815(a)(15) and (19) of the New York City Charter (Charter) calls for agency heads to ensure and promote equal opportunity for all persons in appointment, payment of wages, development, and advancement, and to establish measures and programs to ensure a fair and effective affirmative employment plan to provide equal employment opportunity (EEO) for minority group members and women.

Charter Chapter 36, Sections 830(a) and 831(d)(2) and (5) authorize the EEPC to audit, review, evaluate, and monitor the employment practices, procedures, and programs of city agencies and other municipal entities, hereinafter "entities," and their efforts to ensure fair and effective EEO for women and minority employees and applicants. Charter Sections 831(d)(2) and 832(c) authorize the EEPC to make a determination that any plan, program, procedure, approach, measure, or standard does not provide equal employment opportunity, require appropriate corrective action, and monitor the implementation of the corrective action prescribed. The

attachment contains the EEPC's final determination regarding the audit, review, and evaluation of the Department of Records and Information Services' Sexual Harassment Prevention and Response Practices.

As the Department of Records and Information Services falls within the EEPC's purview under Charter Chapter 36, Section 831(a), the EEPC is authorized to review, evaluate, and monitor the coordination and implementation of its affirmative employment programs of EEO and related practices. As indicated in our Preliminary Determination, the EEPC has adopted uniform standards<sup>1</sup> to this end. The purpose of this Final Determination, as authorized by Charter Chapter 36, Section 832(c), is to determine the sufficiency of the Department of Records and Information Services' actions taken or planned thus far to correct areas of non-compliance identified in the EEPC's Preliminary Determination. Further, Chapter 36, Section 832(c) requires that: (1) the EEPC assign a compliance-monitoring period of up to six (6) months to monitor efforts taken to eliminate areas of non-compliance, if any; and (2) the agency respond in thirty (30) days and submit a report each month during this period on the progress of efforts taken to correct outstanding areas of non-compliance.

### **Next Steps**

**The assigned compliance-monitoring period is: July 1, 2019 to December 31, 2019. Correcting all outstanding areas of non-compliance without delay is highly encouraged and will serve to shorten this period.**

***If corrective actions remain:*** Corrective actions will be listed under the *Monitoring Required* section of the attached Final Determination. The EEPC requires that the agency head submit a signed response to this Final Determination. The signed response should indicate what steps the Department of Records and Information Services has taken, or will take, to correct outstanding areas of non-compliance during the designated compliance-monitoring period. The Department of Records and Information Services will be monitored monthly until all outstanding areas of non-compliance have been sufficiently corrected. The Department of Records and Information Services is required to submit documentation that supports the implementation of each corrective action via TeamCentral, the EEPC's Automated Compliance-Monitoring System. Instruction on how to access and navigate TeamCentral is attached.

***Final Memorandum:*** Upon the Department of Records and Information Services' implementation of the final corrective action, if any, the EEPC requires that the Department of Records and Information Services submit a final memorandum, signed by the agency head, that recognizes the EEPC's audit and reiterates commitment to equal employment practices. **Upon receipt of this final memorandum, the EEPC will issue a *Determination of Compliance*.**

***If no corrective actions remain:*** In lieu of a response to this Final Determination, the Department of Records and Information Services must submit a final memorandum (See Next Steps, Final Memorandum). Upon the EEPC's receipt of the final memorandum, the Department of Records and Information Services will be exempt from the abovementioned compliance-monitoring period.

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<sup>1</sup> The EEPC's uniform standards for auditing municipal entities and minimum standards for auditing community boards (collectively "Standards") are founded upon, and consistent with, federal, state, and local laws and regulations, and policies and procedures, including, but not limited to, the City of New York's *Equal Employment Opportunity Policy, Standards and Procedures to be Utilized by City Agencies 2014*; New York City Human Rights Law (NYC Administrative Code 8); New York State Human Rights Law (New York Executive Law, Article 15); New York State Civil Service Law §55-a; and the equal employment opportunity requirements of the New York City Charter.

**Conclusion**

This is the EEPc's Final Determination. Questions regarding next steps may be addressed to Jennifer Shaw, Esq., Executive Agency Counsel/Director of Compliance at [jshaw@eepc.nyc.gov](mailto:jshaw@eepc.nyc.gov) or 212-615-8942.

Thank you and your staff for your continued cooperation.

Sincerely,

  
Charise L. Terry  
Executive Director

c: LaTonya Jones, Principal EEO Professional

### FINAL DETERMINATION

A response indicating progress of the Department of Records and Information Services' efforts to correct outstanding areas of non-compliance, with supporting documentation, is due within 30 days.

The Equal Employment Practices Commission's findings and corrective actions required to remedy areas of non-compliance are based on the audit methodology, which included collection and analysis of the documents, records, and data provided; the EEPC's *Preliminary Interview Questionnaires* (PIQs) for EEO professionals and others involved in EEO program administration; and, if applicable, the *EEPC Employee Survey*; the *EEPC Supervisor/Manager Survey*; the *Annual EEO Plans* and *Quarterly EEO Reports* of the audited entity; and workforce data from the *Citywide Equal Employment Database System*. Additional research and follow-up discussions or interviews were conducted as appropriate.

After reviewing the optional response<sup>2</sup> (if applicable) to the EEPC's Preliminary Determination, our Final Determination is as follows:

#### Agree

Regarding your responses to the following EEPC required corrective actions, we *Agree* based on documentation that is attached to your response.

#### FINAL ACTION:

Upon the EEPC's determination that the entity does not require further review or monitoring: Distribute a memorandum signed by the agency head that re-emphasizes the commitment of agency administrators to the EEO program, including the prevention of sexual harassment, and informs employees of any changes to the agency's employment practices as a result of the EEPC's audit/monitoring. This final action is required to conclude the audit and monitoring process.

#### Agency Response:

On July 1, 2019 the Commissioner of the Department of Records and Information Services emailed all employees a *Compliance with Equal Employment Opportunity laws, rules and guidelines* memorandum in addition to the EEPC's Final memorandum.

#### EEPC Response:

The EEPC accepts the agency's response and documentation of the memoranda's distribution to all agency staff as confirmation that the Final Action has been completed.

#### Monitoring Required

As there are no outstanding corrective actions, no monitoring is required during the assigned compliance monitoring period. No response is required and a Determination of Compliance will be issued by the EEPC at its next meeting.

The EEPC thanks you and your staff for your continued cooperation.

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<sup>2</sup> Excerpts are italicized.





**RESOLUTION NO.  
2019AP/232-860-(2019)  
Department of Records and Information Services  
Commissioner Pauline Toole  
Sexual Harassment Prevention and Response Practices  
DETERMINATION: FINAL**

**SYNOPSIS**

<b>Corrective Action(s):</b>	<b>Total:</b>	0	
<b>Period Audit Covered:</b>	January 1, 2017 to December 31, 2018		
<b>Preliminary Determination Issued:</b>	June 25, 2019	Response Received	July 1, 2019
<b>Final Determination Issued:</b>	July 3, 2019	Exempt	
<b>Compliance-Monitoring :</b>	Not Required		

**Whereas**, pursuant to Chapter 36, Sections 830(a) and 831(d)(2) and (5) of the New York City Charter (Charter), the Equal Employment Practices Commission (EEPC) is authorized to audit, review, evaluate, and monitor the employment procedures, practices and programs of city agencies and other municipal entities (hereinafter "entities") and their efforts to ensure fair and effective equal employment opportunity (EEO) for minority group members and women who are employed or seek employment, and to recommend practices, procedures, approaches, measures, standards, and programs to be utilized by such entities in these efforts; and

**Whereas**, pursuant to Charter Chapter 36, Sections 830(a) and 831(d)(2) and (5), the EEPC has adopted uniform standards for auditing agencies and municipal entities, and minimum standards for auditing community boards, to review, evaluate, and monitor entities' practices, procedures, approaches, measures, standards, and programs for compliance with federal, state, and local laws and regulations, and policies and procedures to increase equal opportunity for women, minorities, and other employees and job applicants identified for protection from discrimination; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), the EEPC may make a determination pursuant to Charter Section 831(d) whether any plan, program, procedure, approach, measure, or standard adopted or utilized by any municipal entity does not provide equal employment opportunity, and the EEPC's determinations of compliance or non-compliance and prescribed corrective action are required by, or consistent with federal, state, and local laws and regulations, and policies and procedures to increase equality of opportunity for women, minorities, and other employees and job applicants identified for protection from discrimination; and

**Whereas**, the EEPC conducted an audit, review, and evaluation of the Department of Records and Information Services' Sexual Harassment Prevention and Response Practices; and

**Whereas**, pursuant to the audit, review, and evaluation of the Department of Records and Information Services' Sexual Harassment Prevention and Response Practices, the EEPC issued a Preliminary Determination, dated June 25, 2019, setting forth findings.

**Whereas**, within a two-week deadline following the EEPC's Preliminary Determination, the entity submitted a preliminary response; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), after consideration, the EEPC issued a Final Determination on July 3, 2019, which indicated that no areas required corrective action; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), in the Final Determination, the EEPC assigned a monitoring period from July 1, 2019 to December 31, 2019, to determine whether the entity eliminated areas of non-compliance, if any; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c) the entity was required to respond in 30 days, and make monthly reports thereafter for a period not to exceed six months, on the progress of its efforts to correct outstanding areas of non-compliance; and


**Whereas**, in accordance with Charter Chapter 36, Section 832(c), on July 3, 2019, the entity was exempt from issuing a response to the EEPC's Final Determination; Now Therefore,


**Be It Resolved**, that pursuant to Charter Chapter 35, Sections 815(a)(15) and (19), which requires agency heads to ensure and promote equal opportunity for all persons in appointment, payment of wages, development, and advancement, and to establish measures and programs to ensure a fair and effective affirmative employment plan to provide equal employment opportunity for minority group members and women, the EEPC approves the issuance of this Final Determination to Commissioner Pauline Toole to exempt compliance-monitoring.

Approved unanimously on July 11, 2019.

  
\_\_\_\_\_  
Angela Cabrera  
Commissioner

  
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Arva R. Rice  
Commissioner

  
\_\_\_\_\_  
Malini Cadambi Daniel  
Commissioner

  
\_\_\_\_\_  
Elaine S. Reiss, Esq.  
Commissioner



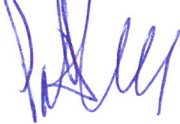
**The New York City Department of Records and Information Services**

31 Chambers Street, Room 305, New York, NY 10007

Pauline Toole, Commissioner

[ptool@records.nyc.gov](mailto:ptool@records.nyc.gov); (212) 788-8607

TO: All DORIS employees

FROM: Commissioner Pauline Toole 

SUBJECT: Compliance with Equal Employment Opportunity laws, rules and guidelines

DATE: July 1, 2019

The staff from the Equal Employment Practices Commission recently concluded an audit of the Department of Records and Information Services (DORIS) compliance with Equal Employment Opportunity laws, rules and guidance. A copy of the final memo from the EEPC is attached.

DORIS was successful in meeting the audit standards of the EEPC. I am committed, as is the senior management team, to maintaining a work place free from unlawful discrimination and sexual harassment.

Thank you.





# Memo

**TO:** All Employees  
**FROM:** Equal Employment Practices Commission  
**DATE:** 6/27/2019  
**RE:** Sexual Harassment Prevention and Response Practices  
Department of Records and Information Services

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The New York City Charter requires the Equal Employment Practices Commission (EEPC) to conduct an audit once every four years to ensure each City agency or municipal entity (collectively “agency”) complies with federal, state, and local laws and regulations, and policies and procedures that increase equal opportunity for employees and applicants.

The EEPC recently concluded an audit and evaluation of the Department of Records and Information Services practices and procedures for compliance with city, state, and federal equal employment opportunity laws and regulations, and did not identify areas for enhancement.

Through successful completion of the EEPC’s audit, evaluation, and monitoring processes Commissioner Toole reaffirms the commitment to ensuring that the Department of Records and Information Services’ employment practices encourage and maintain a workplace free from unlawful discrimination and sexual harassment, and that all employees are aware of their rights and obligations under the agency’s equal employment opportunity policies.



RESOLUTION NO.  
2019AP/232-860-(2019)C22  
Department of Records and Information Services  
Commissioner Pauline Toole  
Sexual Harassment Prevention and Response Practices  
DETERMINATION: COMPLIANCE

SYNOPSIS

<b>Corrective Action(s)</b>	Total: 0		
<b>Period Audit Covered</b>	January 1, 2017 to December 31, 2018		
<b>Preliminary Determination Issued</b>	June 25, 2019	Response Received	July 1, 2019
<b>Final Determination Issued</b>	July 3, 2019	Exempt	
<b>Compliance-Monitoring</b>	Not Required		

**Whereas**, pursuant to Chapter 36, Sections 830(a) and 831(d)(2) and (5) of the New York City Charter (Charter), the Equal Employment Practices Commission (EEPC) is authorized to audit, review, evaluate, and monitor the employment procedures, practices and programs of city agencies and other municipal entities (hereinafter "entities") and their efforts to ensure fair and effective equal employment opportunity (EEO) for minority group members and women who are employed or seek employment, and to recommend practices, procedures, approaches, measures, standards, and programs to be utilized by such entities in these efforts; and

**Whereas**, pursuant to Charter Chapter 36, Sections 830(a) and 831(d)(2) and (5), the EEPC has adopted uniform standards for auditing agencies and municipal entities, and minimum standards for auditing community boards, to review, evaluate, and monitor entities' practices, procedures, approaches, measures, standards, and programs for compliance with federal, state, and local laws and regulations, and policies and procedures to increase equal opportunity for women, minorities, and other employees and job applicants identified for protection from discrimination; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), the EEPC may make a determination pursuant to Charter Section 831(d) whether any plan, program, procedure, approach, measure, or standard adopted or utilized by any municipal entity does not provide equal employment opportunity, and the EEPC's determinations of compliance or non-compliance and prescribed corrective action are required by, or consistent with federal, state, and local laws and regulations, and policies and procedures to increase equality of opportunity for women, minorities, and other employees and job applicants identified for protection from discrimination; and

**Whereas**, the EEPC conducted an audit, review, and evaluation of the Department of Records and Information Services' Sexual Harassment Prevention and Response Practices; and

**Whereas**, pursuant to the audit, review, and evaluation of the Department of Records and Information Services' Sexual Harassment Prevention and Response Practices, the EEPC issued a Preliminary Determination, dated June 25, 2019, setting forth findings.

**Whereas**, within a two-week deadline following the EEPC's Preliminary Determination, the

entity submitted a preliminary response; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), after consideration, the EEPC issued a Final Determination on July 3, 2019, which indicated that no areas required corrective action; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), in the Final Determination, the EEPC assigned a monitoring period from July 1, 2019 to December 31, 2019, to determine whether the entity eliminated areas of non-compliance, if any; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c) the entity was required to respond in 30 days, and make monthly reports thereafter for a period not to exceed six months, on the progress of its efforts to correct outstanding areas of non-compliance; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), on July 3, 2019, the entity was exempt from issuing a response to the EEPC's Final Determination; and


**Whereas**, in accordance with Charter Chapter 36, Section 832(c), the Department of Records and Information Services was exempt from monitoring on July 3, 2019; and

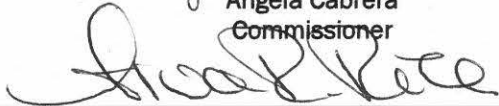
**Whereas**, pursuant to Charter Chapter 35, Sections 815(a)(15) and (19), which requires agency heads to ensure and promote equal opportunity for all persons in appointment, payment of wages, development, and advancement, and to establish measures and programs to ensure a fair and effective affirmative employment plan to provide equal employment opportunity for minority group members and women, the Commissioner submitted a copy of a memorandum to staff dated July 1, 2019, which recognized the EEPC's audit and reiterated commitment to the Department of Records and Information Services' equal employment practices; Now Therefore,

**Be It Resolved**, that the Department of Records and Information Services has satisfied the equal employment standards set by the EEPC pursuant to its authority under New York City Charter Chapters 35 and 36; and

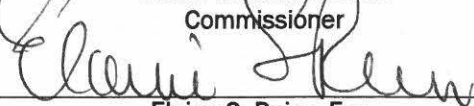
**Be It Resolved**, that the EEPC's Board of Commissioners approves the issuance of this Determination of Compliance to Commissioner Pauline Toole of the Department of Records and Information Services.

Approved unanimously on July 11, 2019.

  
\_\_\_\_\_  
Angela Cabrera  
Commissioner

  
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Arva R. Rice  
Commissioner

  
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Malini Cadambi Daniel  
Commissioner

  
\_\_\_\_\_  
Elaine S. Reiss, Esq.  
Commissioner



**BY MAIL AND EMAIL**

**Vacant**  
Chair

July 11, 2019

**Angela Cabrera**  
**Malini Cadambi Daniel**  
**Elaine S. Reiss, Esq.**  
**Arva R. Rice**  
Commissioners

Pauline Toole  
Commissioner  
Department of Records and Information Services  
31 Chambers Street  
New York, NY 10007

**Charise L. Terry, PHR**  
Executive Director

**Judith Garcia Quiñonez, Esq.**  
Executive Agency Counsel/  
Director of Learning and Development

Re: Resolution #2019AP/232-860-(2019)C22  
DETERMINATION: Compliance

**Jennifer Shaw, Esq.**  
Executive Agency Counsel/  
Director of Compliance

Dear Commissioner Toole:

253 Broadway  
Suite 602  
New York, NY 10007

212. 615. 8939 tel.  
212. 676. 2724 fax

On behalf of the members of the Equal Employment Practices Commission (EEPC), I write to inform you that pursuant to New York City Charter Chapter 35, Sections 815(a)(15) and (19), which requires agency heads to ensure and promote equal opportunity for all persons in appointment, payment of wages, development, and advancement, and to establish measures and programs to ensure a fair and effective affirmative employment plan to provide equal employment opportunity (EEO) for minority group members and women, the EEPC's Board of Commissioners has approved the attached Determination.

Thank you and principal EEO Professional LaTonya Jones for the cooperation extended to the EEPC during the course of our review, evaluation, and monitoring of your agency's employment and EEO-related practices.

Sincerely,

A handwritten signature in black ink that reads "Malini Cadambi Daniel". The signature is written in a cursive style.

Malini Cadambi Daniel  
Commissioner

C: Principal EEO Professional LaTonya Jones, DORIS



EEPC

EQUAL EMPLOYMENT PRACTICES COMMISSION

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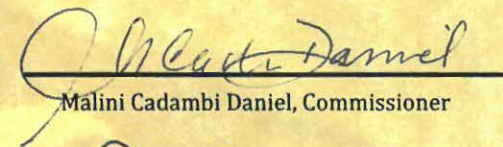
# Determination of Compliance

is hereby issued to

## Department of Records and Information Services

*for exemption from required corrective action(s),  
thereby achieving compliance with the Equal Employment Practices Commission's  
Sexual Harassment and Prevention Response Practices  
from January 1, 2017 to this date.*

On this 11<sup>th</sup> day of July in the year 2019,

  
Malini Cadambi Daniel, Commissioner

  
Charise L. Terry, Executive Director

In care of Commissioner Pauline Toole  
and Principal EEO Professional LaTonya Jones