

FINANCIAL INFORMATION SERVICES AGENCY
DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY PLAN
FISCAL YEAR 2021

I. Introductory, Commitment and Accountability Statement by the Agency Head

On behalf of the Financial Information Services Agency, I hereby declare my commitment as the Agency Head to support and enforce the rights and protections afforded by the New York City EEO Policy, the City and State Human Rights Law, and all other relevant laws, for all employees, applicants for employment, external contractors, consultants, and agency partners, and members of the public served by our Agency.

I will strive to achieve the greatest possible diversity among our workforce, to create an inclusive culture of openness, tolerance, and cooperation in our workplaces, to promote equity in all its aspects, and to examine and eliminate the structural obstacles to equal treatment in the recruitment, selection, development, advancement, and retention of our diverse workforce reflective of our City's population.

I will involve my entire leadership team in our efforts to enhance and promote the values of equity, inclusion and respect for all. All executives, managers and supervisors in our agency will be responsible for ensuring a safe, equitable and inclusive work environment for all our employees, and for delivering equitable, fair and effective services to the public we serve.

I will hold the top leadership of our agency, as well as the EEO Officer, all EEO professionals, human resources professionals, legal professionals, managers and supervisors accountable for ensuring that the agency does not discriminate against employees or applicants for employment. We shall support the diversity, equity and inclusion initiatives at the agency by observing EEO mandates, and working with dedication to attain agency goals in this area. All agency staff must be compliant with the City's EEO Policy and the implementation of this Diversity and EEO Plan.

I will drive accountability by involving the EEO Officer as the agency's makes critical human resources decisions, recruitment strategies, vacancy projections, succession planning, promotion of training/career development opportunities, and strategic planning.

My leadership team will implement the objectives and actions of this plan, as well as work to create a diversity and inclusion strategy based upon guidance provided by the Office of Citywide Equity and Inclusion (OCEI). We will conduct discussions throughout the year coinciding with the issuance of our quarterly workforce reports. We will continue to report on the steps undertaken to comply. We will review our achievements at the end of the fiscal year.

The Agency EEO Officer, Margaret Withers will serve as the primary resource for managers and supervisors by providing best practices and direction in addressing EEO issues. EEO Office contact information will be prominently available to all employees.

During this Fiscal Year, I will announce this Commitment Statement to our employees, to affirm the principles of diversity, inclusion, and equal employment opportunity, and to communicate our dedication to equity and all values that drive us toward this goal.

This statement is the same as last year.

II. Recognition and Accomplishments

In the past year our agency accomplished the following as part of our commitment to Equal Employment Opportunity, Equity, Diversity, and Inclusion:

1. During the 2nd Quarter of FY 2020 (December 2019), FISA Managers and Supervisors conducted mandatory staff meetings to review the City's EEO Policy including details about where to find the Policy, EEO-related information, when and how to promptly report and incidents, and how to contact FISA's EEO Team. Managers and Supervisors also received the annual review of their EEO performance in December 2019. For FY 2021, mandatory staff meetings (primarily via WebEx) are planned for October/November 2020 and April/May 2021, contingent on the current COVID-19 restrictions.
2. During the 1st and 2nd Quarter of FY 2020, FISA conducted well-established Wellness at Work programs, e.g. Meditation, Yoga and Exercise Bootcamps, and facilitated Affinity groups, e.g. Soccer, and other sport-related groups. Agency announcements and reminders were sent to employees weekly. However, as of mid-March 2020, all Affinity Groups and Wellness at Work programs were suspended until further notice due to the COVID-19 pandemic.
3. During mid and late March 2020, FISA distributed to all Agency staff, important information from OLR and DOHMH about mental and physical wellness tips and available resources.
4. Since March 2020, FISA's Administration Unit has frequently distributed to all Agency staff, essential information about the COVID-19 (novel Coronavirus) health crisis, including an Anti-Stigma COVID-19 Policy, a COVID-19 Factsheet, contact information to the City's Employee Assistance Program (EAP), COVID-19 updates from DCAS and DOHMH as well as the Federal Families First Coronavirus Response Act (FFCRA or Act) which requires certain employers to provide their employees with paid sick leave and expanded family and medical leave for specified reasons related to COVID-19. FISA will continue to distribute essential COVID-19 information in the weeks and/or months to come.
5. FISA continued to bring agency-wide awareness to diversity and culturally themed events, e.g. postings and communications about Women's History Month, Black History Month, Hispanic Heritage Month, Native American History Month and Ramadan, as well as the hosting multi-cultural activities, e.g. the Agency's 1st International Festival in Q1, the annual Diwali (East Indian) celebration in Q2, and the Lunar New Year luncheon in early Q3.
6. FISA's Annual Employee Recognition Ceremony was held on January 10, 2020.

The agency recognizes employees, supervisors, managers, and agency units demonstrating superior accomplishment in diversity and equal employment opportunity through the following:

- Diversity & EEO Awards*
- Diversity and EEO Appreciation Events*
- Public Notices
- Positive Comments in Performance Appraisals
- Other: _____

** Please specify under "Additional Comments"*

- The agency will continue to recognize employees, supervisors, managers, and agency units demonstrating superior accomplishment in diversity and equal employment opportunity in FY 2021.

Additional Comments: FISA will continue to announce employee hires and promotions via our SharePoint intranet site. FISA will also continue to showcase the job duties and accomplishments of various employees and work units in the "Have You Met?" section of our periodic Communications Newsletter. Due to the current COVID-19 restrictions, all in-person gatherings have been suspended. As an alternative, FISA may consider virtual multi-cultural celebrations.

III. Workforce Review and Analysis

Please provide the total agency headcount as of 6/30/2020 (available in the EBEPR210 CEEDS report): 431

1. Describe steps taken to encourage all employees at your agency to update self-ID information regarding race/ethnicity, gender, and veteran status through either NYCAPS Employee Self Service (ESS) or other means.

In FY 2021, the agency will remind and encourage its employees to update self-ID information regarding race/ethnicity, gender, and veteran status through any of the following means:

- NYCAPS ESS (by email; strongly recommended every year)
- Agency's intranet site
- Newsletters and internal Agency Publications
- On-boarding of new employees

Additional Comments: None.

2. Describe the review process of the quarterly CEEDS reports on workforce composition, utilization, new hires and promotions data presented in your quarterly agency workforce dashboard and/or internal workforce reporting. Describe how your agency's EEO Officer, Personnel Officer and Agency Head work together to review demographic trends. These reports must be reviewed regularly with the Agency Head.

NOTE: If necessary, the agency can reach out to DCAS OCEI for guidance on interpreting their underutilization reports. However, it is the agency's responsibility to use that data to inform the formulation of its recruitment plans and efforts.

- The agency conducts regular reviews of the CEEDS workforce reports and the summary dashboard sent to the EEO Officer by DCAS' Office of Citywide Equity and Inclusion (OCEI) to provide demographic data and trends. The review includes an analysis of workforce composition by job title, job group, race/ethnicity and gender for all employees; new hires, promotions and separation data; and utilization analysis.

Reviewed with	Frequency
Human Resources	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
General Counsel	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
Agency Head	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
Other (___specify)	<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____

The agency review entails a discussion concerning perceived workplace barriers for job groups that may surface in underutilization reports and for factors that may be creating these barriers (e.g., hiring patterns in specific job titles).

The agency reaches out to DCAS to serve as a resource in identifying strategies and best practices to address barriers to entry as well as to receive guidance concerning the interpretation of underutilization reports.

Additional Comments: None.

IV. EEO, Diversity, Inclusion, and Equity Initiatives for FY 2021

NOTE: Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.

1. Proactive Strategies to Enhance Diversity, EEO and Inclusion

State below the central goals of your strategy for FY 2021 focused on promoting equity, increasing diversity, assuring equal employment opportunity, and enhancing the value of inclusion at your agency. Include initiatives that your agency will implement in FY 2021.

1. Workforce:

Awareness & Education: Diversity and EEO Policies, Resources and Practices – FISA, in collaboration with OPA, will work with our HR Office and Communications Team to continue to launch agency-wide announcements that reaffirm our commitment to the City’s Diversity and EEO Policy and Program.

FISA will also continue to execute DCAS-issued risk assessment analyses, climate survey(s) and where required, other relevant data collection/analysis/reporting which will focus on identifying and eliminating possible risks and/or conditions specific to the “Stop Sexual Harassment in New York City Act” and local laws 93, 95, 96 and 101.

FISA will also continue to ensure that all agency staff participate in and complete all mandated EEO-related training sessions.

Diversify our workforce demographic –

***NOTE:** Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.*

FISA, in conjunction with OPA, will continue working to find good sources of candidates from under-represented groups for certain job categories. This is an ongoing effort to add and change additional sources of candidates from those under-represented groups. FISA will collaborate with OPA regarding ongoing efforts to adjust its applicant sources to find the most effective sources in FY 2021. FISA Human Resources will continue to send out monthly Notices of Examination for all Civil Service Exams open for filing. Additionally, employees that are eligible to take Qualified Incumbent Exams are notified individually. HR also holds periodic meetings with groups of staff members with questions about civil service lists and titles. HR advises employees which exams they should be filing for and serves as a resource for employees for information.

Succession Planning – During the upcoming fiscal year, FISA will continue to engage managers on creating Succession Plans for highly talented agency employees. In the coming months, FISA management will continue to:

- Identify those with the potential to assume greater responsibility in the organization
- Provide critical development experiences to those that can move into key roles
- Engage the leadership in supporting the development of high-potential leaders.

Mentoring and leadership opportunities - FISA and OPA will continue to collaborate on projects that encourage and require cross-functional knowledge transfer of each agency's operational, technical and business support processes. As an added incentive towards completion of these projects, employees will be informed of possible mentoring initiatives. Upon review by unit and/or project managers, selected employees will be appointed to team lead and/or supervisory positions with accessible mentorship support from Work Unit Managers and Directors to advise these employees on key decision-making activities.

2. Workplace:

Training - FISA will continue working to improve training opportunities and access to training resources beyond the City's EEO Training Requirements (examples of other City required training are COIB and DOI awareness training). FISA will also train all new staff in VDT/Right to Know, Security Awareness, and Workplace Violence Prevention. FISA's professional development online subscription to LinkedIn.com Learning will continue to offer our staff a more diverse career platform to enhance both their knowledge and practical skills, including some topics related to diversity and inclusion, leadership, effective listening, mentoring, and other related competencies. FISA will continue to encourage staff to learn new skills and to enhance their existing skills, with the

expectation that the staff will be motivated and prepared to take on new responsibilities and roles which will strengthen the organization.

Our managers, Career Counselors, and the EEO Office will continue to have an open-door policy. Staff can use any of these avenues to get advice or to raise any issues.

FISA will continue to stay current with EEO and Diversity training requirements provided by DCAS's Office of Citywide Equity and Inclusion. Over the past few years FISA has trained its staff on the Diversity and Inclusion CBT, the Basic EEO CBT, Structured Interviewing and Unconscious Bias, Transgender Inclusion, and how to do effective performance evaluations. As of Q2 FY 2021, FISA staff are due to receive mandatory Sexual Harassment Prevention training as well as EEO Awareness training, both via eLearning.

3. Community:

FISA does not directly provide services to the citizens of New York City. However, FISA will continue to purchase goods/services from MWBE (Minority and Women owned Business Enterprises) vendors. In closing out FY 2020, 135 of 285 contracts were awarded to MWBE businesses. The value of these contracts was 47.37% of FISA's MWBE procurement spend; FISA's total MWBE awards for FY20 represented 0.48% of the City's overall total MWBE spend.

2. Describe the ongoing and new programs, actions, and initiatives planned for FY 2021 that are aimed toward innovative enhancement and expansion of the three foundations of Diversity and EEO strategy: **WORKFORCE, WORKPLACE, and COMMUNITY.**

A. WORKFORCE:

In addition to the strategic goals above, please indicate here specific action planned with respect to Workforce.

NOTE: Please address the specific recruitment, selection and promotion strategies, sources and procedures in Sections V and VI, below.

The actions listed below require internal agency collaboration and are not necessarily executed by the EEO Office.

The agency will address underutilization in FY 2021 by:

- Expanding internal and external applicant pools to address the underutilization through outreach strategies for broader recruitment.
- Using the quarterly workforce report and dashboard to identify specific job groups where underutilization exists and guide recruitment efforts.

The agency will implement the following strategies to address the impending retirement of employees and possible loss or gap in talent:

- Job analysis and skills audit.
- Conduct workforce planning and forecasting.
 - Integrate succession planning in the agency activities to develop a pipeline, facilitate a seamless transition and continuity of service.
 - Ensure that there will be a diverse applicant pool for the anticipated vacancies.
 - Evaluate best sources for diverse candidates
 - Encourage agency employees to take promotional civil service examinations.

The agency will implement the following initiatives to develop and retain employees:

- Identification of Ready Now & High Potential Talent.
- Institute coaching, mentoring and cross training programs.
- Institute succession planning for top managerial positions.
- Implement initiatives to improve the personal and professional development of employees.

Additional Initiatives, Programs, or Comments:

NOTE: Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.

B. WORKPLACE:

In addition to the strategic goals above, please indicate here specific actions planned with respect to Workplace.

- The agency will take initiatives to create an inclusive work environment that values differences, and to maintain focus on retaining talent across all levels.
- Promote employee involvement by supporting Employee Resource Groups (ERGs).
- The agency will create a Diversity Council to leverage equity and inclusion programs.
- In FY 2020, the agency conducted the following survey(s) to improve the recruitment, hiring, inclusion, retention and advancement of people in underrepresented groups:
 - Engagement /Job Satisfaction/ Employee Morale Survey(s)
 - Workplace Insight Survey for Exiting (WISE) Managers
 - Exit interview or surveys developed by the agency
- The agency will adopt in FY 2021 the following initiatives based on the analysis of the results of these survey(s):
 1. Provide professional development opportunities to all employees
 2. Issue a new Engagement /Job Satisfaction/ Employee Morale Survey(s) to capture feedback/ideas/recommendations from employees.

Additional Initiatives, Programs, or Comments:

Employee Engagement – FISA, in conjunction with OPA, plan to launch a new engagement survey by Q3 FY 2021.

NOTE: Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.

C. COMMUNITY:

In addition to the strategic goals above, please indicate here specific actions planned with respect to Community.

In FY 2021, the agency will:

- Continue or plan to promote diversity and EEO community outreach in providing government services
- Promote participation with minority and women owned business enterprises (MWBEs).
- Conduct a customer satisfaction survey.
- Identify best practices for establishing a brand of inclusive customer service.
- Undertake initiatives to improve community relations, community awareness, and to engage communities being served in recruitment efforts, service development and delivery.

Additional Initiatives, Programs or Comments:

FISA is not a public-facing agency. However, FISA does purchase goods/services from M/WBE (Minority and Women owned Business Enterprises) vendors.

V. Recruitment

A. Recruitment Efforts

1. Summary of Recruitment Efforts – Include steps that will be taken to give notice to all employees of discretionary job postings within the agency as well as proactive efforts/strategies planned to market positions externally.

The agency will implement the following recruitment strategies and initiatives in FY 2021:

- Review policies, procedures, and practices related to targeted outreach and recruitment.
- Review underutilization in job groups to inform recruitment efforts.
- Identify resources to bolster efforts aimed at increasing the effectiveness of diversity recruitment.

- Put in place an operating, up-to-date, accessible website, mobile application and social media presence related to EEO protection and rights.
 - Currently in operation.
- Assess agency job postings to ensure appropriate diversity, inclusion, and equal opportunity employer messaging.
- Share job vacancy notices with the Mayor’s Office for People with Disabilities at nycatwork@mopd.nyc.gov, (212) 788-2830 and ACCES VR by sending the job vacancy notices to Maureen Anderson at Maureen.Anderson@nysed.gov (212) 630-2329 so they can share it with their clients.
- Reach out to the DCAS Office of Citywide Recruitment (OCR) as a resource at citywiderecruitment@dcas.nyc.gov
- If your agency is an eHire agency, post ALL vacancies on NYC Careers.
- Ensure that agency personnel involved in both the discretionary and the civil service hiring process have received:
 - Structured Interviewing training
 - Unconscious Bias training
- Assess recruitment efforts to determine whether such efforts adversely impact any particular group.

Additional Strategies, Initiatives and Comments:

NOTE: Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.

Diverse Recruitment Source(s)	What sort of return do you expect to see from the effort? Indicate if this source yielded sufficiently large and diverse applicant pools.
1. All jobs are posted on the City’s central job posting website, NYC Careers that is part of e-Hire, where they are available on the World Wide Web and will also post with the Mayor’s Office for People with Disabilities.	1. All candidates must apply via e-Hire. Since this web site is available on the world wide web, we expect a diverse group of qualified candidates.

	<input checked="" type="checkbox"/> Previous hires from this source
2. The EEO Office distributes all job postings to the Outreach Sources provided by DCAS and supplemented by FISA.	2. It varies with the type of position. <input checked="" type="checkbox"/> Previous hires from this source
3. Internet Job Sites, example Monster.com, Dice.com, WITI.com (Women in Technology International), Black Data Processing Association of New York, & Women for Hire, Indeed.com, Glassdoor.com and LinkedIn.com.	3. For discretionary vacancies only, these sites appear to allow job postings to be available to a more diverse population of applicants. In the past we have not been able to easily track the job site source of candidates who applied. FISA can now periodically review the e-Hire applicant data report, available through NYCAPS LRS, which should better help us assess the impact of our job postings via external recruiting sources. <input checked="" type="checkbox"/> Previous hires from this source
4. Where appropriate for the job posting and for the position available, FISA HR staff may advertise in periodicals and newspapers and participate in job fairs. Once the above recruitment sources have been exhausted and no candidates are identified, FISA utilizes recruiters to try and yield qualified candidates for agency positions.	4. Since these periodicals and newspapers and job fairs are available to everyone, we expect a diverse group of qualified candidates. <input checked="" type="checkbox"/> Previous hires from this source (FISA only)
5. N/A	5. N/A <input type="checkbox"/> Previous hires from this source

B. Internships/Fellowships

Indicate the type of internship/fellowship opportunities available at your agency. Please provide the number of student interns/fellows employed in FY 2020 and their demographic profiles, based on self-ID data. Indicate your plans to provide internship/fellowship opportunities in FY 2021.

The agency provided the following internship opportunities in FY 2020:

Type of Internship\Fellowship	Total	Race/Ethnicity *[#s] * Use self-ID data	Gender * [#s] * Use self-ID data
1. Urban Fellows	0	0	M __ F__ Non-Binary __ Other __ Unknown __
2. Public Service Corps	0	0	M __ F__ Non-Binary __ Other __ Unknown __
3. Summer College Interns	0	0	M __ F__ Non-Binary __ Other __ Unknown __
4. Summer Graduate Interns	0	0	M __ F__ Non-Binary __ Other __ Unknown __
5. Other(specify): College Aides	3	Unknown	M _2_ F_1_ Non-Binary __ Other __ Unknown __

* Self-ID data is obtained by EEO Office from NYCAPS.

- The agency will utilize the internship/fellowship programs to improve a pipeline of candidates from underutilized groups for entry-level positions, including in mission-critical occupations.
- The agency has hired former interns/fellows.
- The agency plans to provide internship/fellowship opportunities in FY 2021.

Additional Comments:

NOTE: *Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.*

C. 55-a Program

Section 55-a of the New York State Civil Service Law allows a qualified person with a certified mental or physical disability to be hired into a competitive civil service position without having to take a civil service examination. The City encourages agencies to use the 55-a program as a tool to build a diverse workforce and create greater access to City employment for qualified candidates with disabilities.

1. Please discuss plans to utilize the 55-a Program to hire and retain qualified individuals with disabilities.

_____ For FISA, please see the selections further below _____.

Agency uses mostly non-competitive titles which are not eligible for the 55-a Program.

2. Indicate the goals of your 55-a Program Coordinator for FY 2021. Also include your agency plans to do the following: participate in career and job fairs; use internship, work-study, co-op, and other programs to attract a pool of diverse 55-a program applicants; and promote and encourage 55-a program participants to take civil service examinations.

The agency uses the 55-a Program to hire and retain qualified individuals with disabilities and plans to utilize the 55-a Program to hire and retain qualified individuals with disabilities in FY 2021.

Currently, there are 2 [number] 55-a participants.

There are 1 [number] participants who have been in the program less than 2 years.

Last year, a total of 1 [number] new applications for the program were received and this year, 1 participant left the program due to [state reasons]: death .

If there have been no new participants in the program for less than two years, please indicate initiatives taken to hire new 55-a employees.

 N/A.

The agency will actively educate hiring managers about the 55-a program and the benefits of hiring individuals with disabilities.

The agency will review and process new applications for the 55-a program in light of DCAS' policy guidance which states that decisions on 55-a program admissions should take into account the following three criteria:

- a) the severity of the candidate's physical and/or mental disability;
- b) the candidate's previous and/or current encounter with significant barriers to finding employment due to the disability;
- c) the candidate's encounter of obstacles that can prevent him/her from taking civil service examinations due to the disability.

Based on the June 7, 2016, 55-a memorandum, issued by DCAS, the agency will carefully evaluate each request by longtime provisional employees for designation under § 55-a to serve non-competitively in a competitive title position to ensure that the request is not made solely to avoid

the consequences of Civil Service Law § 65(3). In addition, the agency will reiterate to provisional staff that 55-a certification should not be used as a substitute for passing a civil service exam. The agency will encourage 55-a participants to take civil service examinations.

The agency plans to participate in career and job fairs and use internship, work-study, co-op, and other programs to attract a pool of diverse 55-a program applicants.

The goals of the 55-a Coordinator for FY 2021 are:

1. Per revised PSB 100-1 (10/3/2018), work with Human Resources re: the encouraging employment of and promotional opportunities for qualified persons with disabilities.
2. Per DCAS email dated 11/13/18, once a 55-a candidate has been approved or removed from the program, FISA's Human Resources must submit completed 2025 and/or 2026 forms to the OCEI/Office of Citywide Recruitment and to HC/Civil Service Transactions. This is in reference to Rule 3.B.2-3.

These goals are the same as last year.

Additional Goals, Initiatives, and Comments:

NOTE: Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.

VI. Selection (Hiring and Promotion)

NOTE: This section must be prepared in consultation with the Agency Personnel Officer.

1. For FY 2021, if your agency is fiscally able to hire new employees and/or backfill open positions, please discuss the planned duties of the agency Career Counselor(s) with regard to advising employees of opportunities for promotion as well as overall career development.

In FY 2021, the agency's Career Counselor will perform the following tasks:

- Review policies, procedures, and practices related to hiring (including vacancy announcements, use of certification lists, and the selection process for mission critical occupations).
- Promote employee awareness of opportunities for promotion and transfer within the agency.
- Arrange for agency wide notification of promotional and transfer opportunities.
- Encourage the use of training and development programs to improve skills, performance and career opportunities.
 - Provide information to staff on both internal and external Professional Development training sources.
 - Explain the civil service process to staff and what it means to become a permanent civil servant.
 - Provide technical assistance in applying for upcoming civil service exams.
- Provide agency staff with citywide vacancy announcements, civil service exams notices and other career development information.
- Assist employees and Job Training Program participants in assessing and planning to develop career paths.
- Provide resources and support for:
 - Targeted job searches
 - Development job search strategies
 - Resume preparation
 - Review of effective interview techniques
 - Review of techniques to promote career growth and deal with change
 - Internship exploration

Additional Initiatives and Comments:

NOTE: Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.

2. Monitoring, review, and assessment of the current new hire and promotional procedures for selection, especially for mid- and high-level discretionary positions.

In FY 2021, the agency will do the following:

- Review, revise and/or develop a protocol for in-title promotions and salary increases.
- Assess the criteria for selecting persons for mid-level to high-level positions.
- Publicly post announcements for all positions, including senior level positions.
- Actively reach out to networks of underrepresented groups as part of its outreach.
- Reach out to the Mayor’s Office of Appointments for help to identify diverse pools of talent and additional networks for finding qualified candidates.
- Ensure that hiring managers are trained in structured interviewing techniques to avoid unintentional biases in the hiring process.
- 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.
- If adverse impact is discovered, determine whether the criteria being utilized are job-related. If the criteria are not job-related, the agency will discontinue using that method.
- Compare the demographics of current employees to the placements.
- Ensure promotion justification is included in all promotion requests.
- Review the demographics race\ethnicity and gender for those who received the promotion\salary raises.

- Review on a quarterly basis the demographics of those who received promotion and share the information with the Commissioner and Human Resources (by EEO Officer).

Additional Comments: The Agency's promotional request form already includes the various reasons why a promotion may be necessary.

NOTE: *Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.*

3. Identify the steps that are taken to ensure that selection process is objective and job related.

During FY 2021, the agency will do the following:

- Engage in a collaborative effort between EEO, HR and managers where necessary, develop action plans to eliminate identified barriers.
- Recommend specific, job-related qualification standards for each position that reflect the duties, functions, and competencies of the position and minimize the potential for gender stereotyping and other unlawful discrimination. Make sure these standards are consistently applied when choosing among candidates.
- Consult with EEO in creating/reviewing objective criteria for evaluating candidates for hire or promotion and applying those criteria consistently to all candidates.
- In conducting job interviews, ensure nondiscriminatory treatment by conducting a structured interview, where the same questions are asked of all applicants for a particular job or category of job and inquiring about matters directly related to the position in question.
- Use a diverse panel of interviewers to conduct the interview, to the best of our ability.
- Consult with the EEO Officer to review the interview questions.
- Where possible, include the EEO Officer as an observer of interviews with applicants.
- Use the NYCAPS eHire applicant tracking system for external and internal applicants.
- Monitor the results of action plans for any changes in the agency workforce including increases or decreases in applications of qualified applicants and selection rates.

Additional Comments:

NOTE: *Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.*

4. For FY 2021, what steps will your agency take to review the positions filled during the year?

- A. Discuss your current practice in utilizing the NYCAPS Applicant Interview Log reports to identify applicants by gender and race/ethnicity.
- The agency will use the NYCAPS Applicant Interview Log Report to track applicant sources and identify the best sources of applicants.
 - The agency does not use the NYCAPS Applicant Interview Log Report.
 - The agency will schedule orientation with NYCAPS Central.
- B. Discuss all planned steps taken to identify barriers to entry for positions and actions under consideration to address such barriers.
- Identify at least two or three people from diverse gender and racial\ethnic backgrounds to review received applications and conduct the interviews.
- C. When identifying groups of subject matter experts to assist the DCAS test development team in creating civil service exams, please describe efforts that will be taken to select a diverse and inclusive group of individuals in the test development process:
- The agency will identify a diverse group of subject matter experts (e.g. race, gender, age, assignments location, etc.) when requested by DCAS.
 - The agency will use objective job-related criteria to identify the subject matter experts who will participate in test development.
 - The agency will make an effort to ensure different staff members are given the opportunity to participate in test development.

Additional Comments:

NOTE: *Due to the ongoing COVID-19 pandemic, citywide budget restraints, possible layoffs based on civil service rules, and the Citywide hiring freeze, OPA may be unable to fulfill some aspects of this initiative. OPA will revisit this initiative during the course of FY 2021.*

5. Briefly detail which stages of selection involve your EEO Officer (pre- and post-selection).

In FY 2021, the agency EEO Officer will do the following:

PRE-SELECTION:

- Collaborate with the Director of Human Resources to ensure that an updated listing of sources for diverse applicants, including schools and professional organizations, is maintained.
- Actively monitor agency job postings.
- In collaboration with the Director of Human Resources, review interview questions to ensure that they are EEO-compliant, job-related, and required by business necessity.
- Provide feedback to the hiring manager after the EEO Officer’s assessment.
- Assist the hiring manager if a reasonable accommodation is requested during the interview.
- May observe interviews when necessary, especially for underutilized job titles and/or mid- and high-level discretionary positions.
- Other: _____

POST-SELECTION:

- Periodically review candidate evaluation forms and conduct a job applicant analysis via the NYCAPS eHire Applicant Interview Log reports to advise Human Resources of any demographic trends and/or EEO concerns based on available self-ID data.
- Review hiring package to evaluate that the selection process was conducted in accordance with EEO best practices.
- Other: _____

Additional Comments: None.

6. During periods of layoffs, terminations and demotions due to legitimate business/operational reasons, what is your protocol for analyzing the impact of such actions based upon gender, race and age? It is most useful to conduct this analysis prior to finalizing the list of titles that will be impacted. Ensure that the Agency General Counsel and the Law Department are involved in the review.

- The agency will use the DCAS Layoff Procedure as guidance, should there be any layoffs, terminations and demotions due to legitimate business/operational reasons in FY 2021.

- ☒ The agency will analyze the impact of layoffs or terminations on racial, gender, age groups, and people with disabilities.
- ☒ Where layoffs or terminations would have a disproportionate impact on any of these groups, the agency will document that the targeted titles or programs were selected based on objective criteria and justified by business necessity.
- ☒ The Agency Personnel Officer, EEO Officer and General Counsel will be involved in making layoff or termination decisions. It should be noted that layoffs must be conducted by seniority in compliance with civil service law (for competitive titles) and union contract (for non-competitive and labor class titles).

VII. Training

Training Topic	Type of Audience (e.g. All Staff, Front-line Employees, Managers, Supervisors, etc.)	Target Number of Participants	Targeted Dates
1. EEO Awareness (e-learning)	All FISA Staff	Approximately 430 staff members; will be rotated every 2 years with the Diversity and Inclusion e-learning module.	Targeted for Q2, FY 2021. Also ongoing for all new hires within 30 days of coming on board.
2. EEO Awareness (classroom-virtual)	All FISA Staff (TBD due to COVID-19)	As needed, ongoing (TBD).	When the DCAS Training Schedule becomes available (TBD).
3. Everybody Matters (D&I) (e-learning)	All FISA Staff	Approximately 430 staff members; will be rotated every 2 years with the EEO Awareness e-learning module.	Targeted for Q2, FY 2022 (they already did this CBT in Q2, FY2020). Also ongoing for all new hires within 30 days of coming on board.

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4. Everybody Matters (D&I) (classroom-virtual)	All FISA Staff (TBD due to COVID-19)	As needed, ongoing (TBD).	When the DCAS Training Schedule becomes available (TBD).
5. Sexual Harassment Prevention (e-learning)	All FISA Staff	Approximately 430 staff members; will be deployed agency-wide as annual mandatory training.	Targeted for Q2, FY 2021. Also ongoing for all new hires within 30 days of coming on board.
6. Sexual Harassment Prevention (classroom-virtual)	All FISA Staff (TBD due to COVID-19)	As needed, ongoing (TBD).	When the DCAS Training Schedule becomes available (TBD).
7. lgbTq – Power of Inclusion (e-learning)	All FISA Managers, Supervisors, and Front-line employees All other FISA Staff	Approximately 430 staff members; will be rotated every 2 years with the Diversity and Inclusion e-learning module.	Targeted for Q2, FY 2021. Also ongoing for all new hires within 30 days of coming on board.
8. lgbTq – Power of Inclusion (classroom-virtual)	All FISA Managers, Supervisors, and Front-line employees (TBD due to COVID-19) All other FISA Staff (TBD due to COVID-19)	As needed, ongoing (TBD).	When the DCAS Training Schedule becomes available (TBD).
9. Disability Etiquette	All New EEO Staff	As needed, ongoing (TBD).	When the DCAS Training Schedule becomes available (TBD).

10. Structured Interviewing and Unconscious Bias (classroom-virtual)	All FISA Managers, and Supervisors (TBD due to COVID-19)	Mandatory training will be scheduled every two years (TBD due to COVID-19).	Our training target includes the scheduling/provision of training to newly hired managers or supervisors within 6 months of coming on board.
11. Other (specify): VDT/Right to Know; Security Awareness; Workplace Violence Prevention (e-learning)	All FISA Staff	Approximately 430 staff members.	Specific training schedules will be set by the Training Department. Our training target also includes the scheduling/provision of training to newly hired managers or supervisors within 6 months of coming on board.
12. Other (specify): Team-building workshops (classroom-virtual)	TBD	As needed (TBD due to COVID-19).	When the DCAS Training Schedule class becomes available (TBD).

VIII. Reasonable Accommodation

Please indicate the actions your agency will take to ensure that the process of reviewing reasonable accommodation requests is compliant with the EEO Policy as well as the applicable federal, state, and local laws. Additionally, please detail any best practices currently implemented in this area. Lastly, please describe your current appeal protocol.

- Managers, supervisors, human resources personnel and discipline personnel are required to report to the EEO Office any reasonable accommodation requests and needs that are received, observed, learned about or suspected, so that the EEO Office may facilitate discussions, research appropriate accommodations, and assist with the resolution of the matter.
- The agency provides reasonable accommodation for disability, religion, victims of domestic violence, sex offense and stalking, pregnancy, childbirth or a related medical condition.
- The agency follows the City’s Reasonable Accommodation Procedure.
- The agency grants or denies request 30 days after submission or as soon as possible.

- ☒ The agency head or designee must review and grant or deny the appeal fifteen (15) days after submission of appeal.
- ☒ If the review and decision on appeal is NOT by the Agency Head, please provide the name and title of the designee¹ : The Assistant Executive Director of Administrative Services, Ms. Carrie-Ann Crowe. Ms. Crowe does not directly report to the Agency Head; Ms. Crowe reports to the First Deputy Executive Director of Administration, Ms. Andrea Glick.
- ☒ The agency will input the Reasonable Accommodation activity on the DCAS Citywide Complaint and Reasonable Accommodation (CAD) Database and update the information as needed.
- ☒ The agency analyzes the reasonable accommodation data and trends.
- ☒ The agency has posted/will circulate the *Reasonable Accommodations at a Glance* sheet for the workforce.

Describe procedures and speed of resolution, including the protocol for deciding appeals of Reasonable Accommodation decisions. Does the agency analyze statistics with regard to volume, trends, and speed of disposition of EEO complaints and reasonable accommodation requests and appeals?

_ The Agency follows all procedural steps and recommended timelines and deadlines for resolution, as specified in the City’s Reasonable Accommodation Procedural Guidelines. Any request for Reasonable Accommodations is reviewed by the Agency and a decision is made within *thirty (30) business days* if all the supporting information is provided, and the decision is expedited in certain time sensitive circumstances. Appeals from such determinations are reviewed and decided within *fifteen (15) business days* of such appeal by the Agency Head’s designee; the Assistant Executive Director of Administrative Services. Our agency also analyzes statistics with regard to volume, trends, and speed of disposition re: EEO complaints and reasonable accommodations.

¹ EEO Officer and General Counsel should **NOT** be appointed as agency head designee for review of appeals to reasonable accommodation decisions. Refer to the revised guidelines below. Note the conflict of interest; in the event of an external challenge to the denial of a reasonable accommodation, the agency’s General Counsel would be tasked with defending the agency against a decision in which that office was a decision maker on appeal.
<http://extranet.dcas.nycnet/eeo/diversityeeo/media/19647/reasonable-accommodation-procedural-guidelines-lc-12116.pdf> (p17).

IX. Compliance and Implementation of Requirements Under Executive Orders and Local Laws

A. Executive Order 16: Training on Transgender Diversity and Inclusion

Under Executive Order No. 16 of 2016, the agency must provide supervisory and front-line staff training approved by DCAS on transgender diversity and inclusion. Pursuant to Executive Order No. 16, this training must be provided to all newly hired supervisory and managerial employees and line staff whose work tasks involve contact with the public.

- The agency plans to train all new employees within 30 days of start date.
- All the managers, supervisors, and front-line employees were re-trained prior to FY 2021.
- All managers, supervisors, and front-line employees will be re-trained every two years, no later than the third quarter of the Fiscal Year, as indicated in Section VII Training above.
- In addition, all other employees will be trained or re-trained every two years, as indicated in Section VII Training above.
- The agency will ensure that the Transgender Restroom Access notice/poster is posted where required, e.g., on bulletin boards, near restrooms and, in digital form, where other EEO notices and announcements can be found.

Additional Comments: None.

B. Local Law 92 (2018): Annual Sexual Harassment Prevention training

- The agency plans to train all new employees on Sexual Harassment Prevention within 30 days of start date.
- The agency will train all current employees on Sexual Harassment Prevention (Cycle 3) as indicated in the Section VII Training above.

Additional Comments: None.

C. Local Law 97 (2018): Annual Sexual Harassment Reporting

- The agency will input sexual harassment complaint data on the DCAS Citywide Complaint and Reasonable Accommodation (CAD) Database, contemporaneously update the information, and affirm the data in a timely manner when requested by DCAS.
- The agency will input **all types of complaint** data on the DCAS Citywide Complaint and Reasonable Accommodation (CAD) Database, contemporaneously update the information, and affirm the data in a timely manner when requested by DCAS.
- The agency will do its best to ensure that complaints are closed within 90 days.

Additional Comments: None.

D. Local Law 101 (2018): Climate Survey

The agency, in collaboration with DCAS, will conduct a climate survey in FY 2021 by proceeding to do the following:

- Distribute questionnaire electronically to agency employees.
- Designate computers with internet/intranet access to enable employees without computers or internet/intranet access to complete survey during work hours.
- Analyze results of the response data sent by DCAS.
- Continue to implement initiatives identified in the 2018 Climate Survey Action Plan which was submitted to DCAS and reported to City Council Speaker in 2020.

Additional Comments: None.

X. Audits and Corrective Measures:

Please check the statement(s) that apply to your agency.

The agency is NOT involved in an audit conducted by NYC EEPC or another governmental agency specific to our EEO practices.

The agency is currently being audited or preparing responses to an audit conducted by the EEPC or _____ [**another governmental agency – please specify**] specific to our EEO practices. **Upon forwarding our responses to the recommendations issued by the EEPC, the agency will submit to OCEI an amendment letter, which shall amend the agency plan for FY 2021 to include and implement EEPC recommendations that will be implemented during the fiscal year.**

The agency is subject to any other oversight or review by a federal, state or city civil rights agency [please specify _____].
Please attach a copy of the document setting out the oversight parameters and the agency’s most recent report to the oversight agency.

Within the last two years the agency was involved in an audit conducted by the EEPC or _____ [**another governmental agency – please specify**] specific to our EEO practices.

The agency will continue/be required to implement measures during the year that this plan is in effect (please attach a copy of the audit findings.)

The agency received a Certificate of Compliance from the auditing agency.
Please attach a copy of the Certificate of Compliance from the auditing agency.

XI. Agency Head Signature

NOTE: Agency Head's signature and date should be provided for final submission only after the agency receives approval of the plan by DCAS.

Neil Matthew

Print Name of Agency Head

Neil Matthew

Signature of Agency Head

01/26/2021

Date

APPENDIX

Contact Information for Agency EEO Personnel

Please provide contact information (name, title, e-mail, telephone number and full office address) for the following EEO roles at your agency. If several roles are performed by the same individual, you may list that person once but include all assigned EEO functions:

1. Agency EEO Officer

Margaret Withers

5 Manhattan West, 3rd Floor, New York, NY 10001

Ph# 212-857-7169, fax# 212-857-1106, mwithers@fisa-opa.nyc.gov

2. ADA Coordinator

Margaret Withers

5 Manhattan West, 3rd Floor, New York, NY 10001

Ph# 212-857-7169, fax# 212-857-1106, mwithers@fisa-opa.nyc.gov

3. Disability Rights Coordinator

Margaret Withers

5 Manhattan West, 3rd Floor, New York, NY 10001

Ph# 212-857-7169, fax# 212-857-1106, mwithers@fisa-opa.nyc.gov

4. Disability Services Facilitator

Margaret Withers

5 Manhattan West, 3rd Floor, New York, NY 10001

Ph# 212-857-7169, fax# 212-857-1106, mwithers@fisa-opa.nyc.gov

5. 55-a Coordinator

Margaret Withers

5 Manhattan West, 3rd Floor, New York, NY 10001

Ph# 212-857-7169, fax# 212-857-1106, mwithers@fisa-opa.nyc.gov

6. Career Counselor(s)

Janet Zerilli

5 Manhattan West, 4th Floor, New York, NY 10001

Ph# 212-857-1513, fax# 212-857-1026, jzerilli@fisa-opa.nyc.gov

7. Training Liaison(s)

Glenis Patterson

5 Manhattan West, 4th Floor, New York, NY 10001

Ph# 212-857-1614, fax# 212-857-1026, gpatterson@fisa-opa.nyc.gov

Signature: *Nl Matthew*

Email: nmatthew@fisa-opa.nyc.gov