



The City of New York
Department of Investigation

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DEPARTMENT OF INVESTIGATION
DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY PLAN
FISCAL YEAR 2021

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

On behalf of the Department of Investigation, 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 involve the EEO Officer in critical human resources decisions, including recruitment and selection strategies, workforce projections, succession planning, promotion of training/career development opportunities, and strategic planning.

We will report to DCAS on the steps undertaken to comply with all legal mandates and the provisions of the various Executive Orders and laws prohibiting employment discrimination in New York City, and on the progress in implementing this Plan.

The Agency EEO Officer, Chantal Senatus, will serve as the primary resource for managers and supervisors by providing best practices and direction in addressing EEO issues. Their 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. Annual Employee Appreciation Day – 8/2/19

DOI held its 9th annual Employee Appreciation Picnic and Softball Tournament. The half-day event included food, games, and opportunities for employees to interact with other DOI employees, as well as senior management.

2. Galloneers Club Breakfast – 9/24/19

This event is organized to recognize and appreciate staff who regularly participate in the agency's blood drives through the American Red Cross

3. Annual Holiday Gathering- 12/16/19

A celebration of the holidays falling within that month where, unlike in previous years, executive staff advocated for a low flat contribution amount to allow more of the line staff to attend without worrying about a tiered contribution system.

4. Agency Recognition Awards Ceremony- 1/17/20

At this event, employees and units are recognized for their work in furtherance of the agency's mission. It also presents an opportunity for employees to celebrate one another's accomplishments.

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 see the examples provided above.

** 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:

The agency was in the process of planning a Cultural Food Festival in March 2020 when the State was Paused because of the COVID Pandemic. When the opportunity presents itself, we will reinitiate this effort.

III. Workforce Review and Analysis

**Please provide the total agency headcount as of 6/30/2020:
360 (EBEPR210 CEEDS report; plus approximately 165 on-loan staff)**

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:

As part of the on-boarding process, Human Resources will include the self-identification form. Additionally, during the New Employee Orientation EEO presentation, the EEO training staff reminds employees to complete or update the form if they have not already done so.

Human Resources also sends out periodic emails reminding staff that they have the ability to update their status through the self-identification form.

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 (First Deputy Commissioner, Deputy Commissioner/Chief of Investigations, and the Deputy Commissioner for Operations)	<input checked="" 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:

The agency also takes into account its on-loan staff, which is a significant portion of our workforce, in its statistical analysis. This includes primarily the staffing at our Offices of the Inspector Generals for NYCHA, Health + Hospitals, and School Construction Authority. The EEO Officer works with Human Resources to obtain records relating to hiring, promotions and separations for each quarter. The EEO Officer tabulates the statistics relating to these categories for DOI Executive Staff.

IV. EEO, Diversity, Inclusion, and Equity Initiatives for 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:

Our people are our greatest asset; we are committed to recruiting, developing and retaining a diverse and inclusive workforce which reflects our City's communities. Our goal is to recruit with diversity in mind by reaching out to organizations and school groups. We have the goal of developing a robust training program to encourage internal candidates to become informed and obtain experience that would make them the best prospects for promotion.

2. Workplace:

We want our employees, present and future, to view us as an employer of choice. To do that, we will provide a workplace that values diversity of thought and experiences.

3. Community:

DOI promotes outreach to the public- which includes the City's workforce and contractors- to create awareness of DOI's mission as well as DOI's investment in our communities. The agency's Outreach staff is committed to reaching out to provide presentations and informational materials to law enforcement partners and the public.

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/or 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:

A committee including Training, EEO, Human Resources and Operations, is in the process of developing a managerial training program to address the needs of current managers and those interested in obtaining managerial skills.

Staff are encouraged to apply for promotional positions through Human Resources agency emails advertising new postings. However, approximately 90% of DOI positions are not subject to selection from a Civil Service List (Non-Competitive and Exempt titles).

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. Engage in more management skills training for supervisors
2. Continue to publicize professional development opportunities

Additional Initiatives, Programs, or Comments:

Providing management and professional training opportunities to all DOI staff will enhance equal opportunity in career advancement. DOI will develop its training program to include management skills training, conflict resolution, and other relevant opportunities. There is also an Orientation Program for new staff to acclimate them to the agency’s operations and practices.

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:

We will continue to identify best practices for creating and disseminating Requests for Proposals, remaining cognizant of the requirements under the City’s MWBE programs. Additionally, our Deputy Commissioner for Operations is the agency’s designated Diversity Officer for such matters.

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:

One opportunity to address underutilization arises when vacancies occur. By casting a wide net to recruit applicants from diverse sources, increases the chance of finding a qualified candidate who belongs to an underrepresented group. We will identify the recruitment sources that the agency used and whether or not candidates were hired from these sources.

We also:

1. Post all positions internally and notify employees of open positions, including whether a position represents a promotional opportunity.
2. Provide current employees who applied for the vacancy and met the minimum qualification requirements with the opportunity to interview for the job, unless the employee does not have the listed qualifications.
3. Participate in job fairs and provide postings to minority organizations and other diverse populations. We also employ college students as interns in order to provide them with a greater understanding of the agency and to promote future employment.

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. College and Universities including: John Jay College, Cardozo, New York Law School, Baruch, Pace University, Monroe College, and St. John's University (including affinity groups)	1. We are hopeful that our efforts will allow us to reach a larger diverse population and thereby result in an increasingly diverse

	workforce. We are also working on ways to track our efforts more closely. <input checked="" type="checkbox"/> Previous hires from this source
2. Minority organizations and associations (e.g. Asian American Bar Association, The LGBT Bar Association of Greater New York, National Latino Officers Association, National Association of Black Accountants, and 100 Blacks in Law Enforcement Who Care)	2. Same as above <input type="checkbox"/> Previous hires from this source
3. Simplicity and Handshake	3. Same as above <input type="checkbox"/> Previous hires from this source
4. Specialized recruiting source- Professional Diversity Network	4. Same as above <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		M __ F__ Non-Binary __ Other __ Unknown __
2. Public Service Corps	0		M __ F__ Non-Binary __ Other __ Unknown __
3. Summer College Interns	See additional comments below		M __ F__ Non-Binary __ Other __ Unknown __
4. Summer Graduate Interns	See additional comments below		M __ F__ Non-Binary __ Other __ Unknown __

5. Other (specify):	See additional comments below	M __ F__ Non-Binary __ Other __ Unknown __
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*** 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:

DOI currently provides investigative and legal internships. In FY 2020 (Fall 2019, Spring 2020 and Summer 2020), there were a total of 52 DOI interns, a decrease of 26 intern positions made available in Fiscal Year 19, primarily due to the COVID pandemic Pause and related constraints.

We will continue our summer internship program for investigative and legal positions, and seek to recruit a diverse, qualified group from various schools.

We have instituted a more formal self-reporting program, requiring that interns complete the Citywide self-identification form, so as to maintain more accurate statistics regarding ethnicity and gender. The detailed statistics are noted below.

	Fall 2019	Spring 2020	Summer 2020
Total Graduate Students	9	4	6
Male	1	0	3
Female	8	4	3
White	4	1	6
Black	2	1	0
Hispanic	1	0	0
Asian	0	2	0
2 or more races	2	0	0
Total Undergraduate Students	9	11	3
Male	3	1	2
Female	6	10	1
White	6	7	2
Black	2	2	0
Hispanic	0	2	0

Asian	1	0	1
2 or more races	0	0	0

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.

In addition to sharing our postings with the MOPD, we also include information regarding the 55-a Program in our onboarding materials. Please note that approximately ninety percent (90%) of DOI titles are Non-Competitive and Exempt.

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 0 [number] 55-a participants.
 There are 0 [number] participants who have been in the program less than 2 years.
 Last year, a total of 0 [number] new applications for the program were received and 0 participants left the program due to [state reasons] _____.

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.

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. To create a greater awareness of the 55-a program through continued communications on the DOI intranet and agency bulletin boards
- 2. To remind hiring managers that Human Resources is available to assist with reaching out to MOPD for candidates.

These goals are the same as last year.

Additional Goals, Initiatives, and Comments:

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:

DOI encourages staff to take developmental/skills courses offered through the DCAS Citywide Training Center. Additionally, the agency has offered writing courses and training on an ad hoc basis. The agency is in the process of developing a more directed and robust managerial training regimen.

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 DOI Human Resources Unit internally and publicly posts job announcements for senior staff positions. DOI Hiring Managers conduct interviews and ask questions designed to assess the candidate’s substantive knowledge, management skills and other relevant skills. The Commissioner and other senior staff have the option to interview any and all candidates being considered but focus on those candidates considered for mid- and high-level positions. In order to expand the applicant pool for open positions, DOI encourages employees to make referrals to others who meet the job requirements.

DOI is mindful of demographics as reflected in the CEEDs data, as well as other DOI records, and takes measures to prevent underutilization. Specifically, the agency regularly monitors diversity within senior management and considers diversity when seeking candidates for mid- and high-level positions.

The agency’s protocol for in title promotions/salary increases includes providing a justification for the promotion/salary increase as part of the Personnel Action Request package. The recommending supervisor must make clear what sets this employee apart from others in the same title so as to justify selecting that employee for the promotion/salary increase.

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.
- 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:

As part of this effort, the agency is working on centralizing the hiring process for line investigators and possibly other titles.

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:

Please note that with respect to the Post-Selection process, DOI currently has its own Interview Logs and does not use the NYCAPS eHire Interview Logs. We are in the process of evaluating whether the agency will make the shift to using the eHire Interview Logs in the future. The EEO Officer does review the EEO NYCAPS reports, which does list applicant sources.

Approximately ninety percent (90%) of DOI titles are Non-Competitive and Exempt, and therefore are not subject to selection from a Civil Service List. Note that DOI is not currently engaged in any test development as a result. Where the titles are Civil Service, for internal hires and for on-loan staff, we will be engaged in the measures indicated above.

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:

The EEO Officer consults with the Human Resources unit regarding their listing of sources for diverse applicants, including schools and professional associations. We continuously revise and edit our listing based upon participation from the school/organization and candidates yielded due to DOI’s outreach.

During a review of our quarterly CDEEO data, we examine the demographics for newly hired employees and the way in which data impacts the overall agency demographics. If there is any

underutilization observed, then the agency makes a concerted effort to reach out to organizations and other partners to increase a diverse applicant pool for future hiring.

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 Mandatory training	All Staff	525	December 2020
2. EEO Awareness (e-learning)	As necessary where individuals are not available for "1" above	tbd	Not applicable
3. EEO Awareness (classroom-including virtual)	Employees directed to undergo refresher training as a result of EEO violation	tbd	Not applicable
4. Everybody Matters (D&I)	Employees directed to undergo refresher training as a result of EEO violation	tbd	Not applicable

5. Everybody Matters (D&I) (classroom- including virtual)	Employees directed to undergo refresher training as a result of EEO violation	tbd	Not applicable
6. Sexual Harassment Prevention (e-learning)	All Staff	525	February 2021
7. Sexual Harassment Prevention (classroom- including virtual)	As corrective action as needed	tbd	Not applicable
8. lgbTq – Power of Inclusion (e-learning)	All Staff	525	April/May 2021
9. lgbTq – Power of Inclusion (classroom- including virtual)	As corrective action as needed	tbd	Not applicable
10. Unconscious/Implicit Bias	All Staff	525	Between January and June 2021
11. Structured Interviewing	Hiring Managers; Supervisors involved in the hiring process	60	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 : Wesley Gibson, Deputy Commissioner of Operations
- 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 ADA/Disability Rights Coordinator engages in a cooperative dialog with the requestor to assess the reasonable accommodation request to make (1) a determination as to whether the accommodation is needed, and (2) if needed, whether the accommodation would be effective, and (3) if effective, whether providing the reasonable accommodation would impose an undue hardship on the agency. Where warranted, the ADA/Disability Rights Coordinator consults the supervisor regarding the nature of the accommodation.

Generally, the requests are resolved within one to two weeks after the request is made. If the reasonable accommodation request is equipment-related, supported by medical documentation, and gives the employee the ability to perform his/her required tasks and the agency can afford it; the Disability Rights Coordinator obtains the equipment through the agency's procurement process. If the reasonable accommodation involves a request for a personnel action (such as leave, modified or part-time schedules, modified workplace, or reassignment), the employee's current position, the needs of the agency, and the impact on the agency is assessed. The Americans with Disabilities Act ("ADA") and the Family and Medical Leave Act ("FMLA") are also reviewed as part of this process.

After exploring the possible accommodations, the employee receives written notification of the request approval or denial. Where the request is denied, the letter includes the fact that the employee may file an appeal with the Commissioner. Within ten (10) business days of the receipt of an appeal, the Commissioner or her designee, reviews and evaluates the reasonableness of the employee's request, consults with the employee and EEO Officer and other representatives that the Commissioner deems necessary, and/or consults with Office of Citywide EEO or the Law Department.

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).

Within fifteen (15) business days of the receipt of the appeal, the Commissioner issues a written determination and, if granted, the EEO Officer monitors implementation of the reasonable accommodation.

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:

The agency incorporates the information about taking the Computer Based Training (CBT) into the onboarding process and sends an email to new employees reminding them of their obligation to take the training.

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:

The agency incorporates the information about taking the Computer Based Training (CBT) into the onboarding process and sends an email to new employees reminding them of their obligation to take the training.

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 ensure that complaints are closed within 90 days.

Additional Comments:

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:

The distribution of the Climate Survey took place on October 28, 2020.

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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 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.

MARGARET GARNETT

Margaret Garnett

Print Name of Agency Head



Signature of Agency Head

November 23, 2020

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
Chantal Senatus
Deputy General Counsel
180 Maiden Lane, 24th Floor
(212) 825-5928
cseatus@doi.nyc.gov
2. Agency Deputy EEO Officer – **None Designated**
3. Agency Diversity & Inclusion Officer [if designated]- **None Designated**
4. ADA Coordinator
Shayvonne Nathaniel
Director, Human Resources
180 Maiden Lane, 20th Floor
(212) 825-5939
snathaniel@doi.nyc.gov
5. Disability Rights Coordinator
Shayvonne Nathaniel
6. Disability Services Facilitator
Mark McGuigan
Executive Director, Facilities Management
180 Maiden Lane, 16th Floor
(212) 825-5974
mmguigan@doi.nyc.gov
7. 55-a Coordinator
Shayvonne Nathaniel
8. Career Counselor(s)

Shayvonne Nathaniel

9. Training Liaison(s)

Laura Bowman

Director of Training
180 Maiden Lane, 23rd Floor
(212) 825-2469

LBowman@doi.nyc.gov

10. EEO Counselor(s)

Lynette Wade

Confidential Investigator, NYPD-OIG
EEO Counselor/ Investigator/Trainor
180 Maiden Lane, 18th FL
(212) 825-2177

LWade@doi.nyc.gov

Amy Young

Assistant General Counsel
EEO Investigator
180 Maiden Lane, 24th Fl

AYoung@doi.nyc.gov

(212) 825-2869