



Gregg Bishop
Commissioner

DEPARTMENT OF SMALL BUSINESS SERVICES
DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY PLAN
FISCAL YEAR 2019

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

Recognizing that the people of our agency are one of our greatest assets, we are committed to recruitment, development, and retention of a diverse and inclusive workforce reflective of our City's population. When we value our differences, we build stronger teams driving the best performance. We expect all managers and supervisors to promote a work environment that is fair and safe for all New York City employees and values equity, inclusion, and respect for all. I will hold 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 and support the diversity and inclusion initiatives at the agency by observing EEO regulations and actively working toward attaining agency goals in this area. All agency staff are accountable for the effective implementation of the City's EEO Policy and the FY 2019 Diversity and EEO Plan.

During Quarter (1, 2, 3 or 4) of FY 2019, I will issue a Commitment Statement to affirm the principles of diversity, inclusion, and equal employment opportunity. This will serve as guidance to managers and supervisors across all levels, as well as communicate the focus of our agency to all employees. I will drive accountability by integrating the EEO Officer in critical human resources decisions regarding workforce changes that might negatively impact any protected EEO group, including recruitment strategies, vacancy projections, succession planning, selections for 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 DCAS Office of Citywide Equity and Inclusion. We will conduct discussions throughout the year coinciding with the issuance of our quarterly workforce reports and will take steps to review the goals we achieved at the end of the year.

The agency will report to DCAS on the steps undertaken to comply with Executive Order No. 16 of 2016 and the provisions of the various Executive Orders and laws (e.g. Local Law 92, Section 201g of the New York State Labor Law, Local Law 101 and Local Law 93) prohibiting employment discrimination in New York City. The agency will also disseminate and post policies and required posters.

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The agency is committed to maintain a workplace free from all forms of harassment and discrimination prohibited by the City's EEO Policy. The Agency EEO Officer, Angelita McDonald-Major should serve as a resource for agency managers and supervisors by providing us with best practices and providing direction in addressing any identified EEO issues. The agency EEO Officer's contact information will be prominently available to all employees. The agency EEO Officer should be contacted with any questions, inquiries, concerns or complaints you may have regarding your EEO rights and the New York City's efforts to protect them and any allegation of violation of the EEO Policy.

This statement is the same as last year.

II. Recognition and Accomplishments

The agency's accomplishments in the past year in the area of EEO, Diversity and Inclusion are:

1. Over 95% of the agency's workforce received eLearning and instructor led Sexual Harassment training
2. Launched Risk Assessment Survey
3. Climate Survey
4. Agency managers received instructor led Unconscious Bias Training

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

- Diversity & EEO Awards*
- Public Notices
- Diversity and EEO Appreciation Events*
- Positive Comments in Performance Appraisals
- Other: No system in place for recognition

**Please specify under "Additional Comments"*

The agency will continue to recognize employees, supervisors, managers, and units demonstrating superior accomplishment in diversity and equal employment opportunity in FY 2019.

The agency will discontinue in FY 2019 the activities listed above.

Additional Comments: The agency recognizes employees in an annual all staff event with awards in categories of leadership. Express recognition on EEO accomplishments will be

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implemented. It is the agency's plan to implement create Employee Resources Group (ERG) which will create a space for the collaboration of ideas and best practices to engage the entire workforce for 2019 and future years and to include comments in performance appraisals.

III. Workforce Review and Analysis

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 2019, 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 annually)
- Agency's intranet site
- Newsletters
- On-boarding
- Manager/supervisor observation, if employee refuses to self-ID

Employees have been informed that the self-ID form that the agency uses now includes:

- Two or More Races (Not Hispanic or Latino)**
- Hispanic** as an option based on ethnicity
- Asian** is now separate from **Native Hawaiian and Other/Pacific Islander**

Additional Comments:

The agency plans to notify current employees and new hires of the self-ID changes by sending email notifications, displaying the information on the agency's intranet Work Organization Management Tool (WOMT) and at new hire [Human Resources (HR) & Equal Employment Opportunity (EEO)] orientation.

2. Describe plans to review the CEEDS 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 General Counsel work together to review demographic trends? Are these reports reviewed regularly with the Agency Head? How often?

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- The agency conducts regular reviews of the dashboard sent to the EEO Officer by DCAS' Office of Citywide Equity and Inclusion (OCEI) to provide demographic data and trends. The review takes into account workforce composition by job title, job group, race/ethnicity and gender of 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 type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input checked="" type="checkbox"/> Annually <input type="checkbox"/> Other _____
Other	<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input checked="" 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 will incorporate these reviews into its management structure.

In the past year, the agency experienced the departure of its long-term Executive Director of Human Resources, which limited the review and discussion of underutilization. Going forward both units will review the underutilization report to uncover factors which could create barriers.

- The agency will contact DCAS for best practices to assist in addressing potential barriers

IV. EEO, Diversity, Inclusion, and Equity Initiatives for FY 2019

1. Proactive Strategies to Enhance Diversity, EEO and Inclusion

State below the central goals of your strategy for FY 2019 focused on enhancing diversity, equal employment opportunity, and the overall value of inclusion at your agency. Include initiatives identified under Managing Diversity Leadership Initiatives (MDLI) that your agency will implement in FY 2019.

1. Workforce

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A primary goal for the Department of Small Business Services in 2019 will be to continue fostering a sense of shared accountability, commitment, and involvement regarding diversity and inclusion among SBS staff. This will be achieved by taking steps to promote sustainability through integrating and aligning diversity and inclusion with our mission and incorporating diversity and inclusion into our supervisory/managerial performance plans. We will seek to create and maintain a work environment that encourages collaboration, flexibility and fairness to enable individuals to contribute their full potential to their work.

SBS will continue to promote inclusive and transparent communication across agency divisions and staff. The agency has started cross-divisional initiatives where staff can share in the ownership of the agency successes and accomplishments. The agency's leadership believes that listening to the ideas, feedback, and suggestions of staff is the best way to make SBS a better place to work and grow. SBS solicits staff involvement in the process of developing programs and events that will continue to improve the work environment at SBS.

The EEO Office has reviewed the DCAS Workforce Profile Report for the statistical data on the recruitment eligibility of the Department of Small Business Services' staff. The EEO office will share this report data with the Human Resources Division and Executive staff so that strategies may be developed to address any potential gap in talent and staffing. As indicated in our plan, SBS will maintain partnerships with colleges, universities and professional organizations to solicit submissions of well-qualified women and minority candidates.

The agency's Career Counselor will continue to keep SBS staff apprised of all upcoming civil service and promotional exams.

SBS will continue to recruit from a diverse, qualified group of potential applicants to secure a high-performing workforce drawn from all segments of society. We will train employees on EEO and diversity to promote an equitable work environment and ensure compliance. The following initiatives will continue and/or be considered:

- Mentoring, coaching and/or providing a support network to individuals from diverse backgrounds to build rapport, increase diversity awareness and sensitivity, and to pass on critical knowledge about policies, procedures and practices.
- Ensuring that employees participate in formal career development activities and have individual development plans when needed and/or requested.
- Encouraging staff to seek opportunities for more complex assignments, special projects and participate on committees.

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- Support merit and performance-based rewards and recognition programs that promote excellence at all levels of the organization.
- Continue to develop partnerships with colleges and universities and maintain an ongoing relationship with professional organizations and institutions to solicit nominations of well-qualified women and minority applicants.

2. Workplace:

EEO Training

SBS continues to provide DCAS Online Computer-based training to all new hires. The computer-based training includes a discussion of the City's EEO Policy, employee rights and responsibilities under the City's EEO Policy, the discrimination complaint procedures and the reasonable accommodation procedures, preventing hostile work environment, retaliation and sexual harassment.

EEO Intranet: The Intranet serves as an information portal to keep staff abreast of upcoming EEO training, news, cultural events, trends and changes in laws and policies related to EEO and Diversity. The Helpdesk also provides immediate access to the EEO staff to address any critical issue that may arise.

SBS' EEO Office maintains an EEO informational station outside of the EEO Office, where there is an array of EEO-related material (e.g. policies, EEOC newsletters, EEO brochures and other EEO-related material).

On SBS' agency network, the EEO Office maintains a monthly EEO Diversity Calendar that post a variety of culturally diverse events throughout the city that staff can participate in.

In 2017 Mayor Bill DeBlasio signed into law Local Law 67 which prohibits employers from inquiring about prospective employee salary history during all stages of the employment process.

The EEO Office disseminated posters regarding transgender rights in the public spaces of the agency. Information regarding transgender rights is also displayed on agency intranet (WOMT).

Plans to create other ERG or Diversity and Inclusion events to foster and create an inclusive work environment.

SBS will facilitate the use of training to improve skills and access to career opportunities of all employees. The agency will also make every effort to ensure that all employees have

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equal opportunities for acknowledgment, such as performance evaluations, employee incentives, and quality of work life and recognition programs.

3. Community:

Poverty and inequality within New York City are key issues that this administration seeks to address. Through our Workforce programs SBS will focus on providing better quality jobs to our customers that will include higher wage standards, job benefits and career pathways and help entrepreneurs build stronger businesses. This approach will ensure that all sectors of our communities, including youth, immigrants, mature workers, veterans and minorities have an opportunity to prosper.

We remain committed as a service provider to the residents and businesses of New York City to focus on inclusion and cultural competency. SBS continues to offer a broad range of job placement and career development services for job seekers at our Workforce1 Career Centers and business growth services at our NYC Business Solutions Centers.

Avenue NYC grants is a competitive grant program that provides federal funding for local economic development and non-profit community-based organizations to strengthen retail corridors and address commercial needs in low to moderate income communities across the five boroughs. Through Avenue NYC, SBS provides community-based organizations with targeted funding, project implementation support, and access to local capacity building opportunities in order to promote grassroots economic development in historically underserved commercial corridors.

SBS staff is making a major commitment to provide our own staff and staff with our Business Solutions Centers and Workforce1 Center partner organizations with training in Mental Health First Aid. Those trained in MHFA will be able to identify the signs and symptoms of different mental illnesses and substance misuse disorders. SBS is committed to setting up an internal Mental Health Training Program over the next five years.

Our Division of Economic & Financial Opportunity has defined SBS as a leader in the promotion of opportunities for Minority and Women-Owned Businesses in New York City. We have built a program that is dedicated to promoting fairness and equity in the City procurement process and we will continue to provide services that strengthen the ability of certified M/WBEs to compete successfully in the marketplace. As the agency strategizes on ways to improve upon how we assist the hard to serve and underserved populations within our communities, we will seek to broaden Minority and Women owned Business Enterprise opportunities that will reach beyond certification and construction opportunities.

NYC Business Solutions' "Compete to Win" program offered a host of services for construction firms to help them to help them access the funding and expertise they need

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to bid and perform on City construction opportunities “Compete to Win” provides construction mentorship, bonding and technical assistance, a construction loan program and a teaming initiative to promote partnerships and joint ventures among certified companies. Through the construction loan program M/WBE’s can apply for loans that will cover contract-related labor and equipment costs.

Through our Workforce Development employment and training programs, we continue to offer job seeker support services and opportunities to all New York City residents. Our Workforce1 facilities provide universal access to all WIOA funded programs, including language access and fully integrate services to persons with disabilities.

SBS’ Neighborhood Development Division operates programs which provides assistance for growth and expansion in commercial areas neighborhoods throughout the five boroughs. The Avenue NYC commercial revitalization program is funded primarily through federal Community Development Block Grant (CDBG) funding that is expended in economically disadvantaged areas. Newly created retail leasing programs and leadership development build the capacity of the local organizations that seek to improve the quality of life for all the diverse communities that comprise our city. These programs will ensure access to city services to the widest socio-economic, cultural, gender, and ethnic demographic.

To increase the access of individuals with disabilities to the services provided by DSBS at our Workforce 1 Career Centers (WF1CC), Disability Training and resources will be provided to the Workforce1 Career Center staff. These initiatives will be provided on an as-needed basis as new staff is hired through our vendors.

1. Describe the new and continuing initiatives devoted to innovative enhancement and expansion of the three strategic pillars of Diversity and EEO strategy: **WORKFORCE, WORKPLACE, & COMMUNITY.**

A. WORKFORCE:

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

The agency will address underutilization in FY 2019 by:

- Enhancing internal and external applicant pools to address the underutilization.
- Using the quarterly workforce dashboard and identifying specific job groups where underutilization exists to guide recruitment efforts.

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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.
 - Use the DCAS Retirement Predictor Tools to address the impending retirement of employees and possible loss or gap in talent.
 - 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.
 - Encourage agency employees to take promotional civil service examinations by:
 - Sending e-mails with schedule of exams
 - Providing link to specific DCAS exams
 - Posting schedules and exam announcements at the agency intranet
 - Other (specify): _____
- Institute coaching, mentoring and cross training programs.
- Identify best practices to retain mature employees.
- Implement initiatives to improve the development and training of underrepresented employees.

Additional Initiatives, Programs, or Comments:

B. 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.

- In FY 2018, 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)

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- Citywide Onboarding survey
- Citywide Exit Survey for Non-Represented Employees
- Exit interview or surveys developed by the agency

The agency will adopt in FY 2019 the following initiatives based on the analysis of the results of the survey(s):

- 1.
- 2.

Additional Initiatives, Programs, or Comments:

C. COMMUNITY:

In FY 2019, the agency will:

- Continue or plan to promote diversity and EEO community outreach and government services, or participation with minority and women owned business enterprises (MWBES).
- Use 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: Neighborhood 360 and Avenue NYC Grant Programs; Neighborhood Fellows; Love Your Local Grant Program, WENYC, Immigrant Business Initiative.

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 2019:

- Review policies, procedures, and practices related to targeted outreach and recruitment.
- Direct 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 careers.
- 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
- Use the NYCAPS eHire Applicant Interview Log to determine whether recruitment efforts and recruitment sources yield a diverse pool of qualified candidates.
- Assess recruitment efforts to determine whether such efforts adversely impact any particular group.

Additional Strategies, Initiatives and Comments:

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Diverse Recruitment Source(s)	What sort of return do you expect to see from the effort? Were there successful hires from this source?
<ol style="list-style-type: none"> 1. College Fairs 2. Internal posting 3. External Job sites (LinkedIn, Idealist, Indeed etc.) 4. City, State and NYC.Gov 5. SBS intranet 	<ol style="list-style-type: none"> 1. Recruited interns and fellows 2. Provided internal employees with the opportunity to grow within the agency 3. Cast a wider net for candidate pool.

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 2018 and their demographic profiles. Indicate your plans to provide internship/fellowship opportunities in FY 2019.

The agency provided the following internship opportunities in FY 2018:

Type of Internship\Fellowship	Total	Race/Ethnicity [#s]	Gender [#s]
1. Urban Fellows	2	1-W 1-AA	Male: ___ Female: <u>2</u>
2. Public Service Corps		N/A	Male: ___ Female: ___
3. Summer College Interns		7	Male: <u>3</u> Female: <u>4</u>
4. Summer Graduate Interns			Male: ___ Female: ___
5. Other (specify):			Male: ___ Female: ___

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- 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 2019.

Additional Comments:

C. 55-a Program

1. Please discuss plans to utilize the 55-a Program to hire and retain qualified individuals with disabilities. Indicate the goals of your 55-a Program Coordinator for FY 2019. 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 2019. Currently, there are 3 [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] N/A .

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

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serve non-competitively in a competitive title position to ensure that the request is not made solely to avoid the consequences of CSL § 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 2019 are:

1. Provide 55-a program pamphlets and overview to all new employees during new employee orientation.
2. Distribute job postings to Disability base organizations to encourage applying for jobs, which can be hired into the 55-a program.
3. Maintain a database of resumes submitted by applicants requesting to be hired as a 55-a enrollee
4. Post 55-a pamphlets throughout the agency on bulletin boards, in lunchrooms, etc.

Additional Goals, Initiatives, and Comments:

VI. Selection (Hiring and Promotion)

1. For FY 2019, if your agency is fiscally able to hire new employees and/or backfill open positions, please discuss the planned duties for your career counselor specific to advising employees of opportunities for promotion as well as overall career development.

In FY 2019, 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.
- Inform employees on promotional and transfer opportunities.

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- Arrange 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 filing for upcoming civil service exams.
- Provide agency staff with citywide vacancy announcements, civil service exams notices and other career development information.
- Continue to facilitate the use of training to improve skills and access to career opportunities of all employees in its Leadership Program and via referrals to DCAS.
- Assist employees and Job Training Program participants (if applicable) assess and 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:

2. What are your current new hire and promotional procedures for selection, especially for mid- and high-level discretionary positions?

In FY 2019, the agency will do the following:

- Review and develop a protocol for in-title promotions and salary increases.

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- Promote employee awareness of opportunities for promotion and transfer within the agency.
- Assess the criteria for selecting persons for mid-level to high level positions.
- Publicly post announcements for all senior staff 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, the agency head will determine whether the criteria being utilized are job-related. If the criteria are not job-related, the agency will discontinue using that method.
- Compare the demographics of current employees to the placements.
- Revise the promotion request form to include the various reasons why a promotion may be necessary.
- Review the demographics race\ethnicity and gender for those who received the promotion\salary raises.
- Submit the resumes for the second- and third-choices for the position.
- Review the demographics of the senior leadership regularly (by Agency Head).
- 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).

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Additional Comments:

3. For FY 2019, indicate how your agency will review the methods by which candidates are selected for new hiring and promotion. Identify the steps that are taken to ensure that selection process is objective, and job related. For instance, have you explored/implemented structured interviewing and/or training, panel interviews, etc.?

During FY 2019, the agency will do the following:

- Review policies, procedures, and practices related to hiring (including vacancy announcements, use of certification lists, and the selection process for mission critical occupations for possible barriers that have a negative impact on minority employees and applicants.
- Use a collaborative effort between EEO, HR and managers where necessary, develop action plans to eliminate identified barriers.
- Develop 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.
- Establish written 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.
- Have the EEO Officer review the interview questions.
- Have the EEO Officer sit in on interviews, where possible.
- Use the NYCAPS eHire applicant tracking system for external and internal applicants.
- Make adjustments to agency outreach and recruitment efforts where necessary.
- Monitor the results of action plans for any changes in the agency workforce including

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increases or decreases in applications of qualified applicants and selection rates.

Additional Comments:

4. For FY 2019, what steps will your agency take to review the positions filled through a civil service list?

- A. Detail planned actions specific to review of title specification, job description, interview procedures, and selection procedures.
- Reach out to DCAS' Classification at 212-386-0344 to ensure that the job description and specification is current.
 - Review and develop 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.
 - Use 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.
 - Identify at least two or three people to conduct the interview.
- B. Discuss your current protocol for use of the NYCAPS Applicant Interview Log reports to identify applicants by gender and race/ethnicity.
- The agency does not use the NYCAPS Applicant Interview Log Report.
 - The agency will schedule orientation with NYCAPS Central.
 - The agency will use the Applicant Interview Log Report to track applicant sources and identify the best sources of applicants.
- C. 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 conduct the interview.
- D. When identifying groups of subject matter experts to assist the DCAS test development team, please describe efforts that will be taken to select a diverse and inclusive group of individuals.

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- 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:

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

In FY 2019, 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: _____

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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.
- Review hiring package for review and approval.
- Other: _____

Additional Comments:

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 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 2019.
- The agency will analyze the impact of layoffs or terminations on racial, gender and age groups.
- 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).

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VII. Training

Training Topic	Type of Audience (e.g. Front-Line Staff, Managers, Supervisors, etc.)	Target Number of Participants	Targeted Dates
1. Structured Interviewing and Unconscious Bias (classroom)	Hiring Managers	50-60	7/31/19
2. Everybody Matters (D&I) (classroom)	All newly hired employees	10	Ongoing
3. Everybody Matters (D&I) (e-learning)	All newly hired employees	15	Ongoing
4. EEO (e-learning)	Refreshers for encumbered employees	200	Ongoing
5. EEO (classroom)	All newly hired employees	25	Ongoing
6. Other (specify)			

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.

<input checked="" type="checkbox"/> The agency provides reasonable accommodation for disability, religion, victims of domestic violence, sex offense and stalking, pregnancy, childbirth or a related medical condition. <input checked="" type="checkbox"/> The agency grants or denies request 30 days after submission or as soon as possible. <input type="checkbox"/> The agency head or designee ¹ must review and grant or deny the appeal fifteen (15) days after submission of appeal.
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¹ EEO Officer and General Counsel should **NOT** be appointed as agency head designee. Note conflict of interest, i.e., that in the case of an external challenge to the denial of a reasonable accommodation, the agency's GC would be tasked with defending the agency against a decision in which that office was a decision maker on appeal. Refer to the revised Guidelines indicating that neither the EEO Officer nor GC may serve as the agency head's designee found at: <http://extranet.dcas.nycnet/eo/diversityeeo/media/19647/reasonable-accommodation-procedural-guidelines-lc-12116.pdf> (p17).

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- The agency follows the City’s Reasonable Accommodation Procedure.
- The agency will input the Reasonable Accommodation activity on the DCAS Citywide Complaint and Reasonable Accommodation Tracking System and update the information as they occur.
- The agency analyzes the reasonable accommodation data made at the agency.

Describe procedures and speed of resolution. Does the agency analyze statistics with regard to volume, trends, and speed of disposition of EEO complaints and reasonable accommodation requests and appeals?

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, the 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 front-line supervisors, managers and employees will be re-trained during FY 2019. All managers\supervisors will be trained by March 7, 2019. All front-line employees will be trained by March 7, 2020.

Training Topic	Type of Audience	Target Number of Participants	Targeted Dates
lgbTq – Power of Inclusion (classroom)	Supervisors	15	6/30/19
	Front Line Staff	15	6/30/19
lgbTq – Power of Inclusion (e-learning)	Supervisors	60	4/30/19

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	Front Line Staff	250	4/30/19
<input checked="" type="checkbox"/> 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.			
<i>Additional Comments:</i>			

B. Executive Order 21: Prohibition on Inquiry regarding Job Applicant’s Pay History

<input checked="" type="checkbox"/> The agency will review its practices (including application and interview forms) with regards to prohibition on inquiry regarding pay history. All personnel involved in job interviews will be required to go through Structured Interview Training.
<i>Additional Comments:</i>

C. Local Law 92: Annual Sexual Harassment Prevention training

<input checked="" type="checkbox"/> The agency plans to train all new employees on Sexual Harassment Prevention within 30 days of start date. Current employees will be trained annually.			
Training Topic	Type of Audience	Target # of participants	Targeted Dates
1. Sexual Harassment Prevention (classroom)	All staff – Supervisors and Front-Line Staff	New Hires	9/30/19
2. Sexual Harassment Prevention (e-learning)	All staff – Supervisors and Front-Line Staff	New Hires	Ongoing
<i>Additional Comments: 95% of the agency’s workforce participated in the sexual harassment prevention e-learning and each new hire is provided link to complete within 30 days of start date</i>			

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D. Local Law 93: Risk Assessment Survey

The agency conducted a risk assessment survey that identified the following risk areas and initiatives to address the risk:

	Initiative(s)	Who is Responsible for implementing the initiative(s)?	Timeframe\Timeline
Risk 1 Homogenous Workplace	SBS will review training, messaging and information on the agency's intranet.	EEO/HR	Calendar Year 2019
Risk 2 Cultural and Language Differences in the workplace	Encourage staff to attend diversity and inclusion trainings available thru DCAS. Sponsor events celebrating diversity during the year.	EEO/HR	2019 calendar year
Risk 3 Workplaces with Significant Power Disparities	N/A		
Risk 4 Isolated Workplaces	N/A		
Risk 5 Decentralized Workplaces	N/A		
Other Findings			

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E. Local Law 97: Annual Sexual Harassment Reporting

- The agency will input the sexual harassment Complaint Data on the DCAS Citywide Complaint Tracking System and update the information as they occur.
- The agency will input **all types of complaints** in the Complaint Data on the DCAS Citywide Complaint Tracking System and update the information as they occur.
- The agency will ensure that complaints are closed within 90 days.

Additional Comments:

F. Local Law 101: Climate Survey

Describe how additional insights gained from the analysis of the citywide Climate Survey will influence your agency workforce/workplace/community initiatives.

The agency, in collaboration with DCAS, will conduct a climate survey 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.
- implement the following initiatives to address concerns raised in the Climate Survey:

Additional Comments:

APPENDIX

NEW YORK CITY DEPARTMENT OF SMALL BUSINESS SERVICES
AGENCY PERSONNEL CONTACT INFORMATION

EEO Officer

Name/title: Vacant, EEO / WIOA EO Officer
Address: 110 William Street, 2nd Floor, New York, NY 10038
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EEO Investigator

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Career Counselor

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Disability Rights Coordinator

Name/title: Michelle Barnes-Anderson, Director Disability Coordination
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Fax Number: (212) 618-8899
Email Address: mbarnes@sbs.nyc.gov

55-A Coordinator

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Training Liaison

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X. **Audits and Corrective Measures:**

Please choose the statement that applies 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 **Equal Employment Practice Commission (EEPC) – Evaluation of Sexual Harassment Prevention and Response Practices** 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 2019 to include and implement EEPC recommendations that will be implemented during the fiscal year.

agency is subject to any other oversight or review by a federal, state or city civil rights agency. Attach a copy of the document setting out the oversight parameters and the agency's most recent report to the oversight agency.

The agency was involved in an audit conducted by **[another governmental agency – please specify]** specific to our EEO practices. This 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.)

NOTE: Final Agency Head's signature and date should be set only after you receive DCAS' approval of the plan.

Gregg Bishop



Print Name of Agency Head



Signature of Agency Head

September 9, 2019

Date