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**By E-mail and Mail**

August 31, 2015

Dean Fuleihan  
Director  
Office of Management & Budget  
255 Greenwich Street, 6<sup>th</sup> Floor  
New York, NY 10007

Re: Audit: Preliminary Determination: Review, Evaluation and Monitoring of the Office of Management & Budget's Employment Practices and Procedures from January 1, 2012 to December 31, 2014.

Dear Director Fuleihan:

On behalf of the members of the Equal Employment Practices Commission (Commission or EEPC), thank you and your agency for the cooperation extended to our staff during the course of this audit. This letter contains the Commission's findings and preliminary determinations pursuant to our audit and analysis of your agency's employment practices and procedures for the period covering January 1, 2012 to December 31, 2014.

The New York City Charter, Chapter 36, Section 831(d)(5), empowers this Commission to audit and evaluate city agencies' employment practices, programs, policies and procedures, and their efforts to ensure fair and effective equal employment opportunity for employees and applicants seeking employment with city agencies. Section 831(d)(2) provides that this Commission may, pursuant to an audit, make a preliminary determination that any plan, program or procedure utilized by any city agency does not provide equal employment opportunity and recommend all necessary and appropriate procedures, approaches, measures, standards and programs to be utilized by agencies in these efforts.

The Office of Management & Budget, which may herein be referred to as "the agency," falls within the Commission's purview under Chapter 36, Section 831(a) of the New York City Charter, which delineates city agency as any "city, county, borough or other office, administration, board, department, division, commission, bureau, corporation, authority, or other agency of



government where the majority of the board members of such agency are appointed by the mayor or serve by virtue of being city officers or the expenses of which are paid in whole or in part from the city treasury...”

The purpose of this audit and analysis is to evaluate the agency’s employment practices and procedures. This Commission has adopted *Uniform Standards for EEPC Audits*<sup>1</sup> and *Minimum Equal Employment Opportunity Standards for Community Boards* to assess agencies’ EEO programs and policies for compliance with federal, state and local laws, regulations, policies and procedures which are designed to increase equality of opportunity for municipal government employees and job applicants. These standards are founded upon and consistent with federal, state and local laws, regulations, procedures and policies including, but not limited to, the Citywide Equal Employment Opportunity Policy - Standards and Procedures to be Utilized by City Agencies; the New York City Human Rights Law (NYC Administrative Code §§8-107(1)(a) and (d), 8-107.13, and 8-107.1); the New York State Civil Service Law §55-a; the Equal Employment Opportunity Commission’s Instructions to Federal Agencies for EEO, Management Directive 715; the Uniform Guidelines on Employee Selection Procedures (29 CFR §§1607.3 - 1607.7), the Americans with Disabilities Act and its Accessibility Guidelines, and the equal employment opportunity requirements of the New York City Charter. Prescribed corrective actions are consistent with the aforementioned parameters. This Commission does not issue findings of discrimination pursuant to the New York City Human Rights Law.

Since this Commission is empowered to review and recommend actions which each agency should consider including in its annual plan of measures and programs to provide equal employment opportunity (Annual EEO Plan), the audited agency should incorporate required corrective actions in its current EEO Program and prospective Annual EEO Plans.

### **Scope and Methodology**

This Commission’s audit methodology includes collection and analysis of the documents, records and data the agency provides in response to the *EEPC Document and Information Request Form*; responses to the *EEPC Interview Questionnaires* for EEO professionals and others involved in EEO program administration; and, if applicable, review of the agency’s *Annual EEO Plans* and *Quarterly EEO Reports* and analysis of workforce and utilization data from the *Citywide Equal Employment Database System (CEEDS)*.

This Commission reviews data from CEEDS to understand the concentrations of race and gender groups within an agency’s workforce. EEO Program Analysts examine imbalances between the number of employees in a particular job category and the number that would reasonably be expected when compared to their availability in the relevant labor market. Personnel transactions are reviewed in order to ascertain the agency’s employment practices. Where underutilization is revealed within an agency’s workforce, EEO Program Analysts assess whether the agency has undertaken reasonable measures to address it.

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



EEO professionals (including, but not limited to, past or current EEO Officers, Deputy or Co-EEO Officers, EEO Counselors, EEO Trainers, EEO Investigators, Disability Rights Coordinators, Career Counselors, 55-a Program Coordinators) and others involved in EEO program administration such as the Principal Human Resources Professional are given a two-week deadline to complete their individual questionnaires and return any items requested. The Commission's EEO Program Analysts also conduct additional research and follow-up discussions or interviews with EEO professionals, when appropriate.

### **Description of the Agency**

Established by Section 225(b) of the New York City Charter, the Office of Management and Budget (OMB) is responsible for developing the Mayor's Preliminary and Executive Budgets, and for advising the Mayor on all policy issues affecting the City's fiscal stability and the efficiency of City services.

(<http://a856-gbol.nyc.gov/GBOLWebsite/61.html> July 2015)

A summary of agency workforce data is included in Appendix 2. The agency's total workforce is 350.

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

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

#### **I. ISSUANCE, DISTRIBUTION AND POSTING OF EEO POLICIES:**

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

1. Issue a general EEO Policy statement or memo reiterating commitment to EEO, declaring the agency's position against discrimination on any protected basis, advising employees of the names and contact information of EEO professionals, and attaching, or providing employees pertinent electronic links to, an EEO Policy/Handbook.

➤ The agency did not demonstrate that it issued a general EEO Policy statement or memo. **Corrective Action Required.**

**Corrective Action #1:** Issue a general EEO Policy statement or memo reiterating commitment to EEO, declaring the agency's position against discrimination on any protected basis, advising employees of the names and contact information of EEO professionals, and attaching, or providing employees pertinent electronic links to, an EEO Policy/Handbook.

2. Distribute/Post a paper or electronic copy of the *Equal Employment Opportunity Policy, Standards and Procedures to Be Utilized by City Agencies* – or an agency EEO Policy that conforms to city, state and federal laws – for use by managers, supervisors, and legal,

human resources and EEO professionals. Include, or attach as addenda: a policy against sexual harassment; and providing reasonable accommodations; an up-to-date list of protected classes under NYC and NYS Human Rights Laws; and current contact information for the agency's EEO professionals, as well as federal, state and local agencies that enforce laws against discrimination.

- ✓ The agency posted on its intranet site a link to the *Equal Employment Opportunity Policy, Standards and Procedures to Be Utilized by City Agencies*, which included a policy against sexual harassment and reasonable accommodations; and an up-to-date list of protected classes under NYC and NYS Human Rights Laws; and current contact information for the federal, state and local agencies that enforce laws against discrimination. In addition, the agency posted on its intranet a list of the names, addresses, and contact information for the agency's EEO professionals.

## II. EEO TRAINING FOR AGENCY:

**Determination:** The agency is in not in compliance with the standards for this subject area.

3. Establish and implement an EEO training plan for new and existing employees to ensure that all individuals who work within the agency, including managers and supervisors, receive training on unlawful discriminatory practices under local, state and federal EEO laws; EEO rights and/or responsibilities; discrimination complaint and investigation procedures; prevention of sexual harassment; and reasonable accommodation procedures.
  - The agency did not demonstrate that it established and implemented an EEO training plan for new and existing employees during the audit period. **Corrective Action Required.**

**NOTE:** Subsequent to the audit period, the agency established a mandatory EEO training plan. The Human Resources Professional notified employees via email on August 2015, of the requirement to complete the Computer Based Training (CBT) on *Diversity and Inclusion* by September 2015. **Corrective Action Required.**

**Corrective Action # 2:** Implement the EEO training plan for new and existing employees to ensure that all individuals who work within the agency, including managers and supervisors, receive training on unlawful discriminatory practices under local, state and federal EEO laws; EEO rights and/or responsibilities; discrimination complaint and investigation procedures; prevention of sexual harassment; and reasonable accommodation procedures.

**III. EMPLOYMENT PRACTICES (Recruitment, Hiring & Promotion):**

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

4. Assess recruitment efforts to determine whether such efforts adversely impact any particular group. To the extent that adverse impact is discovered, at a minimum, identify relevant professional and community organizations serving women, minorities, and other protected groups throughout the City, review and update listings of recruitment outreach sources, and contact these organizations when provisional positions become available or where the agency may otherwise use discretion in hiring.

- The agency did not demonstrate that it assessed recruitment efforts to determine whether such efforts adversely impact any particular group. **Corrective Action Required.**

**Corrective Action # 3:** Assess recruitment efforts to determine whether such efforts adversely impact any particular group. To the extent that adverse impact is discovered, at a minimum, identify relevant professional and community organizations serving women, minorities, and other protected groups throughout the City, review and update listings of recruitment outreach sources, and contact these organizations when provisional positions become available or where the agency may otherwise use discretion in hiring.

5. The principal EEO Professional, HR Professional, and General Counsel, review the agency's statistical information (i.e. workforce, hires, promotions, and separations by race/ethnicity and gender), the annual number of EEO complaints, and the agency's employment practices, policies and programs on an annual basis to identify whether there are barriers to equal opportunity within the agency and determine what, if any, corrective actions are required to correct deficiencies.

- The principal EEO Professional, HR Professional, and General Counsel, did not review the agency's statistical information (i.e. workforce, hires, promotions, and separations by race/ethnicity and gender), the annual number of EEO complaints, and the agency's employment practices, policies and programs on an annual basis to identify whether there are barriers to equal opportunity within the agency and determine what, if any, corrective actions are required to correct deficiencies. **Corrective Action Required.**

**Corrective Action # 4:** Ensure that the principal EEO Professional, HR Professional and General Counsel, review the agency's statistical information (i.e. workforce, hires, promotions, and separations by race/ethnicity and gender), the annual number of EEO complaints, and the agency's employment practices, policies and programs on an annual basis to identify whether there are barriers to equal opportunity within the agency and

determine what, if any, corrective actions are required in order to correct deficiencies (e.g. underutilization or adverse impact). If necessary, consult with the Law Department, Division of Citywide Diversity and EEO, or another resource for guidance.

6. Assess the manner in which candidates are selected for employment, to determine whether there is any adverse impact upon any particular racial, ethnic, disability, or gender group. To the extent that adverse impact is discovered, determine whether the selection criteria being utilized are job-related. Discontinue using criteria that are not job-related, and adopt methods which diminish adverse impact.
  - The agency did not assess the manner in which candidates were selected for employment, to determine whether there is any adverse impact upon any particular racial, ethnic, disability, or gender group. In addition, the 2<sup>nd</sup> Quarter (last quarter of the audit period) and 4<sup>th</sup> Quarter (latest quarter available) of the agency's 2015 CEEDS Reports entitled, *Work Force Compared with Internal and External Pools*, indicate the agency has underutilization of protected classes in three and four job groups, respectively. See Appendix 3. **Corrective Action Required.**

**Corrective Action # 5:** Assess the manner in which candidates are selected for employment, to determine whether there is any adverse impact upon any particular racial, ethnic, disability, or gender group. To the extent that adverse impact is discovered, determine whether the selection criteria being utilized are job-related. Discontinue using criteria that are not job-related, and adopt methods which diminish adverse impact.

7. If women, minorities, or other protected groups are underrepresented in titles where there is discretion in hiring, advertise in minority- or female-oriented publications; contact organizations serving women, minorities, and other protected groups; participate in career fairs/open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.
  - The 4<sup>th</sup> Quarter, 2015 CEEDS Report *Work Force Compared with Internal and External Pools* indicates underutilization of protected classes in four job groups which may include discretionary titles (see Appendix 3). **Corrective Action Required.**

**Corrective Action # 6:** If women, minorities, or other protected groups are underrepresented in titles where there is discretion in hiring, advertise in minority- or female-oriented publications; contact organizations serving women, minorities, and other protected groups; participate in career fairs/open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.

8. If women, minorities, or other protected groups are underrepresented in *civil service* (list) titles, review the competencies, skills and abilities required (as presented in job vacancy

notices and notices of examination) for available positions to ensure that these standards are updated, job-related and required by business necessity. (This includes working with DCAS or the Civil Service Commission if applicable). Then advertise in minority- or female-oriented publications, contact organizations serving women, minorities, and other protected groups; participate in career fairs or open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.

- The 4<sup>th</sup> Quarter, 2015 CEEDS Report *Work Force Compared with Internal and External Pools* indicates underutilization of protected classes in four job groups which may include civil service titles (see Appendix 3). **Corrective Action Required.**

**Corrective Action # 7:** If women, minorities, or other protected groups are underrepresented in *civil service* (list) titles, review the competencies, skills and abilities required (as presented in job vacancy notices and notices of examination) for available positions to ensure that these standards are updated, job-related and required by business necessity. (This includes working with DCAS or the Civil Service Commission if applicable). Then advertise in minority- or female-oriented publications, contact organizations serving women, minorities, and other protected groups; participate in career fairs or open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.

9. Ensure that human resources professionals, managers, supervisors, and other personnel involved in the recruitment and hiring process are trained in EEO and interviewing, selection, and hiring skills to enable such individuals to correctly identify the most capable candidates (i.e. structured interview training or guide).
  - ✓ The agency provided supervisors and other personnel involved in the recruitment and hiring process with a *Guide to Structured Interviewing* from DCAS.
10. Promote employees' awareness of opportunities for promotion and transfer within the agency, and ensure that employees are considered for such opportunities.
  - ✓ The agency notified employees about civil service exam notices via email in 2014. In addition, the agency's intranet website included a Career Opportunities page with current job opportunities at the agency.
11. At minimum, indicate the agency is an equal opportunity employer in recruitment literature.
  - ✓ The agency advertised several job vacancies during the period in review including: *Unit Head, Pension Analysis Unit*, and (3) job vacancies for *Assistant Analyst/ Analyst*. Each job vacancy notice included the EEO tagline: "*The Office of Management and Budget and The City of New York are Equal Opportunity Employers.*"

12. Use and maintain an applicant/candidate log or tracking system which, at minimum, includes the *position, applicants'/candidates' names, identification number, ethnicity, gender, disability or veteran status, interview date, interviewers' names, result, reason selected/not selected (or disposition) of each applicant, and recruitment source*. Ensure that the process avoids the appearance of bias by delegating the responsibility for recording and maintaining this information to an individual other than the hiring manager.
- ✓ The agency used and maintained applicant/candidate *Interviewer's Report* and *Composite Recruitment Data* forms. The *Interviewer's Report* form included *position (job opening ID), and applicant's name, ethnicity, gender, disability or veteran status, interview date, interviewers' names, result, reason selected/not selected (or disposition) of each applicant, and the Composite Recruitment Data* form included the *recruitment source*.
- The agency reported that the hiring manager completed the applicant/ candidate's log. **Corrective Action Required.**

**Corrective Action # 8:** Ensure that the process avoids the appearance of bias by delegating the responsibility for recording and maintaining this information to an individual other than the hiring manager.

#### **IV. CAREER COUNSELING:**

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

13. Designate a professional (may be referred to as the Career Counselor) with appropriate training, knowledge and familiarity with career opportunities in City government to provide career counseling to employees upon request. Remind employees of the identity/type of guidance available from the Career Counselor at least once each year.
- ✓ The agency designated the Director of Personnel Management and Administration, who has appropriate training, knowledge and familiarity with career opportunities in City government, as principal EEO Professional and as Career Counselor in November 2009. The Career Counselor received a certificate of completion from the Society of Human Resources Management as a Professional in Human Resources (PHR).
14. The Human Resources Professional distributes the identity of the agency Career Counselor and ensures that all employees have access to information regarding job responsibilities, performance evaluation standards, examinations, training opportunities and job postings; informs the principal EEO Professional of the number of 55-a program participants and efforts the agency has made to employ, promote or accommodate qualified individuals with disabilities.



- ✓ The Human Resources Professional informed employees about job responsibilities, performance evaluation standards, civil service examinations, and training opportunities via email and regarding job opportunities posted on the agency's website. The HR Professional, who was responsible for the agency's participation in the 55-a program and the agency's efforts to employ, promote and accommodate qualified individuals with disabilities, was also appointed as the principal EEO Professional.

**V. EEO AND REASONABLE ACCOMMODATIONS FOR EMPLOYEES/  
APPLICANTS FOR EMPLOYMENT WITH DISABILITIES:**

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

15. Ensure that information regarding employee rights and obligations, and the complaint, investigation and reasonable accommodation procedures is made available in appropriate alternative formats (i.e., large print, audio tape and/or Braille) upon request to employees and applicants for employment with disabilities.
- ✓ The agency adheres to the Citywide EEO Policy which states that "*Agency heads should ensure that information regarding employee rights and obligations, and the complaint, investigation and reasonable accommodation procedures are made available in appropriate alternative formats to employees and job applicants with disabilities.*" The agency reported no requests for the agency's policies or procedures were made during the audit period.
16. Document reasonable accommodation requests and their outcomes.
- ✓ The agency's requests for reasonable accommodations were handled by the principal Human Resources Professional using the standardized form, *Request for Reasonable Accommodations*. The agency maintained a log which included information such as *Date, Employee ID, Type, Request, and Status*, which was provided.

**VI. RESPONSIBILITY FOR EEO PLAN IMPLEMENTATION - EEO PROFESSIONALS:**

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

17. Appoint a principal EEO Professional to implement EEO policies and standards within the agency. The principal EEO Professional is trained and knowledgeable regarding city, federal and state EEO laws; the requirements of the agency's EEO policies, standards and procedures; and the prevention, investigation, and resolution of discrimination complaints.
- ✓ The agency appointed the Human Resources Director as principal EEO Professional. The principal EEO Professional completed the office of Citywide Diversity and EEO, *Basic Training for Equal Employment Opportunity Representatives* in June 2010, and "*Everybody Matters*" training in April 2013, and received a certificate of completion from

the Society of Human Resources Management as a Professional in Human Resources (PHR).

18. Ensure that EEO professionals are trained in EEO laws and procedures and know how to carry out their responsibilities under the EEO Policy.
  - ✓ In addition to the principal EEO Professional, the agency appointed three EEO Counselors. EEO Counselors completed *Basic Training for EEO Professionals*, by the Office of Citywide Diversity and EEO.
19. The principal EEO Professional reports directly to the agency head (or an approved direct report other than the General Counsel) in order to exercise the necessary authority and independent judgment to fulfill EEO responsibilities.
  - ✓ The principal EEO Professional reported directly to the agency head. This reporting relationship was indicated in the agency's organization chart.
20. To ensure the integrity and continuity of the EEO Program, maintain appropriate documentation of meetings and other communications between the agency head (or a direct report other than the General Counsel) and the principal EEO Professional regarding decisions that impact the administration and operation of the EEO program.
  - The agency did not maintain appropriate documentation of meetings and other communications between the agency head (or a direct report other than the General Counsel) and the principal EEO Professional regarding decisions that impact the administration and operation of the EEO program. **Corrective Action Required.**

**Corrective Action # 9:** Maintain appropriate documentation of meetings and other communications between the agency head (or a direct report other than the General Counsel) and the principal EEO Professional regarding decisions that impact the administration and operation of the EEO program.

**VII. RESPONSIBILITY FOR EEO PLAN IMPLEMENTATION – SUPERVISORS/MANAGERS:**  
**Determination: The agency is in compliance with the standards for this subject area.**

21. Establish and administer an annual managerial/non-managerial performance evaluation program to be used for probationary periods, promotions, assignments, incentives and training.
  - ✓ The agency established and administered an annual managerial/non-managerial performance evaluation program (with timetable) and *Mayor's Office of Management and Budget Performance Review* evaluation form. The agency notified managers/supervisors of the performance evaluation process via email and attached the form for evaluating employees, with a copy of the performance evaluation roster.

22. The managerial performance evaluation form contains a rating for EEO (which covers responsibilities and processes for assuring their ability to make employment decisions based on merit and equal consideration, or treat others in an equitable and impartial manner).
- ✓ The agency's managerial evaluation form entitled, *Mayor's Office of Management and Budget Performance Review*, included a rating for managerial responsibilities which stated, "Manager possesses a thorough understanding of the City's Equal Employment Opportunity Policy, complies with the policy, and creates an environment where there is equality of job opportunities." Managers were rated on a scale that ranged from *Outstanding* to *Needs Improvement*.

**VIII. REPORTING STANDARD FOR AGENCY HEAD:**

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

23. Submit to the EEPC an Annual Plan of measures and programs to provide equal employment opportunity, and quarterly reports (up to 30 days following each quarter) on efforts to implement the plan.
- ✓ The agency submitted Annual Plans for Fiscal Years (FY) 2012, 2013, and 2015 and Quarterly Reports for the 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> Quarters of FY 2012 and FY2013.
- The agency did not submit its 4<sup>th</sup> Quarter report for FY 2012; its Annual Plan and 4<sup>th</sup> Quarter report for FY 2013; its Annual Plan and all Quarterly Reports for FY 2014; and all Quarterly Reports for FY 2015. **Corrective Action Required.**

**Corrective Action # 10:** Submit to the EEPC an Annual Plan of measures and programs to provide equal employment opportunity, and quarterly reports (up to 30 days following each quarter) on efforts to implement the plan.

**After implementation of the EEPC's corrective actions, if any:**

24. The agency head distributes a memorandum informing employees of the changes implemented in the EEO program pursuant to the EEPC's audit/analysis and re-emphasizing the agency head's commitment to the EEO program.

**Final Action:** Distribute a memorandum signed by the agency head informing employees of the changes implemented in the EEO program pursuant to the EEPC's audit/analysis and re-emphasizing the agency head's commitment to the EEO program.



**Conclusion**

The agency has 10 required corrective action(s) at this time.

Pursuant to Chapter 36 of the New York City Charter, your agency has the *option* to respond to this *preliminary determination*, but must respond to our Final Determination if corrective action is required.

*Optional Response to preliminary determination:* If submitted, your optional response should indicate, with attached documentation, what steps your agency has taken or will take to implement the prescribed corrective actions, and must be received in our office within 14 days from the date of this letter. No extensions will be granted for the *option* to respond to the *preliminary determination*.


*(Optional Conference)* During the Optional Conference, we will discuss the immediate steps your agency should take and address questions regarding your agency's implementation of the prescribed corrective action(s).

*(No Response Option)* If your agency does not respond to this preliminary determination within 14 days, it will become the EEPC's Final Determination.


*Mandatory Response to Final Determination:* Following this preliminary determination, the EEPC will issue a Final Determination where we may modify or eliminate the corrective actions based on verified information; identify remaining action which requires further monitoring in order to ensure implementation; and assign a mandatory compliance-monitoring period of up to 6 months for this purpose. Pursuant to Chapter 36 of the New York City Charter your agency must respond to our Final Determination within 30 days. Your response to the Final Determination will initiate the compliance monitoring period.

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

Respectfully Submitted by

  
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Elona Shehu, EEO Program Analyst

Approved by,

  
\_\_\_\_\_  
Charise L. Terry, PHR  
Executive Director

c: Patricia Herrick, principal EEO Professional

**APPENDIX 1**

**Office of Management & Budget**

**DESCRIPTION OF EEO JOB CATEGORIES**

**DESCRIPTION OF  
CITYWIDE EQUAL EMPLOYMENT OPPORTUNITY DATABASE SYSTEM (CEEDS)  
JOB GROUP CATEGORIES**

**001 Administrators:** Occupations in which employees set broad policies and exercise overall responsibility for the execution of these policies. This category includes: elected officials, commissioners, executive directors, deputy commissioners, chairpersons, general counsels, controllers, chiefs of department, inspector generals and kindred workers.

**002 Managers:** Occupations in which employees direct individual departments or special phases of the agency's operations, or provide specialized consultation on a regional, district or area basis. This category includes: assistant commissioners, deputy directors, assistant directors, project managers, special assistants, superintendents, deputy counsels and kindred workers.

**003 Management Specialists:** Occupations which require specialized and theoretical knowledge of management, finance or personnel, which is usually acquired through college training or through work experience and other training which provides comparable knowledge. This category includes: accountants, underwriters, financial analysts, personnel analysts, staff analysts, program analysts, buyers, purchasing specialists, inspectors, research analysts, program officers, project coordinators and kindred workers.

**004 Science Professionals:** Occupations which require specialized and theoretical knowledge of various scientific or mathematical fields, which is usually acquired through college training or through work experience and other training which provides comparable knowledge. This category includes: architects, engineers (chemical, nuclear, civil, electrical, industrial, mechanical, marine), computer specialists, telecommunications specialists, actuaries, statisticians, physicists, chemists, geologists, biologists, foresters and kindred workers.

**005 Health Professionals:** Occupations which require specialized and theoretical knowledge of the medical or health fields, which is usually acquired through college training or through work experience and other training which provides comparable knowledge. This category includes: physicians, dentists, veterinarians, optometrists, podiatrists, registered nurses, pharmacists, dieticians, occupational therapists, physical therapists, speech therapists, physician's assistants and kindred workers.

**006 Social Scientists:** Occupations which require specialized and theoretical knowledge of the social sciences, which is usually acquired through college training or through work experience and other training which provides comparable knowledge. This category includes: librarians, archivists, economists, psychologists, sociologists, urban planners and kindred workers.

**007 Social Workers:** Occupations which require specialized and theoretical knowledge of social work, youth and family counseling, addiction treatment and casework, which is usually acquired through college or training or through work experience and other training which provides comparable knowledge. This category includes: caseworkers, probation officers, correctional counselors, juvenile counselors, addiction treatment counselors, eligibility specialists, human rights specialists, community liaison workers, clergy and kindred workers.

**008 Lawyers:** Occupations which require specialized and theoretical knowledge of the law and the judicial process, which is usually acquired through college training. This category includes: attorneys, assistant district attorneys, counsels, assistant counsels, deputy counsels, law judges, and kindred workers.

**009 Public Relations:** Occupations which require special knowledge or skills in public relations, journalism, modern language or the fine arts, which are usually acquired through college training, specialized post-secondary school education, or work experience or training which provides comparable knowledge. This category includes: technical writers, graphic designers, musicians, actors, directors, announcers, painters, illustrators, photographers, artists, editors, press officers, public relations specialists, public relations advisors, interpreters, customer service specialists and kindred workers.

**010 Technicians:** Occupations which require a combination of basic scientific or technical knowledge and manual skill which can be obtained through specialized post-secondary school education or through equivalent on-the-job training. This category includes: health technicians (clinical laboratory, dental hygienists, health records, radiologic

and licensed practical nurses), electrical and electronic technicians, engineering technicians (electrical, electronic, industrial, and mechanical), drafting occupations, surveying and mapping technicians, science technicians, airline pilots and navigators, air traffic controllers, broadcast equipment operators, computer programmers, legal assistants, investigators, and kindred workers.

**011 Sales:** Not applicable.

**012 Clerical Supervisors:** Occupations in which employees are responsible for overseeing and supervising the duties of clerical staff. This category includes: chief clerks, supervising clerks, principal administrative associates, supervising cashiers, telegraph superintendents, supervising stenographers and kindred workers.

**013 Clerical:** Occupations in which employees are responsible for internal and external communication, recording and retrieval of data and/or information and other paperwork required in an office. This category includes: cashiers, computer operators, word processors, secretaries, stenographers, typists, ticket agents, receptionists, clerks (information, personnel, file, library, records), bookkeepers, office machine operators, telephone operators, messengers, dispatchers, stock clerks, meter readers, office aides, general office clerks, bank tellers and kindred workers.

**014 Household Services:** Not applicable.

**015 Police Supervisors:** Occupations in which uniformed employees with peace officers status set broad policies in the area of public safety and security, exercise overall responsibility for execution of policies, direct individual units or special phases of the agency's operations, or supervise on a regional, district or area basis. This category includes: sergeants, captains, lieutenants, inspectors, captains (correction), wardens and kindred workers.

**016 Fire Supervisors:** Occupations in which uniformed employees set broad policies in the area of public safety and protection; exercise overall responsibility for execution of policies; direct individual units or special phases of the agency's operations; or supervise on a regional, district or area basis. This category includes: lieutenants, captains, battalion chiefs, deputy chiefs, supervising fire marshals, supervising fire prevention inspectors and kindred workers.

**017 Firefighters:** Occupations in which uniformed employees are entrusted with public safety, security and protection from destructive forces. This category includes: firefighters, marine engineers (uniformed), fire prevention inspectors, fire protection inspectors and kindred workers.

**018 Police and Detectives:** Occupations in which uniformed employees with peace officer status are entrusted with public safety, security and protection. This category includes: police officer, detectives, correction officers, bridge and tunnel officers, sheriffs, special officers, enforcement agents (traffic, sanitation) and kindred workers.

**019 Guards:** Occupations in which employees are entrusted with public safety and security. This category includes: school crossing guards, housing guards, watch persons, lifeguards, park rangers, school guards and kindred workers.

**020 Food Preparation:** Occupations in which employees are responsible for the preparation and distribution of food, or management of food services, in City facilities (e.g. schools, correctional institutions, and concessions). This category includes: cooks, school lunch helpers, school lunch managers, food service managers, commissary managers and kindred workers.

**021 Health Services:** Occupations in which employees are responsible for assisting health professionals in maintaining and promoting the health, hygiene and safety of the general public. This category includes: dental assistants, dietary aides, public health assistants, nurse's aides, institutional aides, health aides, orderlies, and kindred workers.

**022 Building Services:** Occupations in which employees perform duties which result in or contribute to the upkeep and care of buildings and facilities. This category includes: custodians, cleaners, caretakers, maintainers, elevator operators and starters, exterminators, pest control aides and kindred workers.

**023 Personal Services:** Occupations in which employees perform duties which result in or contribute to the comfort or convenience of the general public. This category includes: housekeepers, barbers, attendants, railroad porters, homemakers, matrons and kindred workers.

**024 Farming:** Occupations in which employees perform duties which result in or contribute to the upkeep and care of agricultural/botanical/zoological facilities or grounds of public property. This category includes: herbarium aides, aquarium technicians, botanical gardening aides, gardeners, groundskeepers, pruners, hostlers, menagerie keepers, horseshoers and kindred workers.

**025 Craft:** Occupations in which employees perform duties which require special manual skill and a thorough and comprehensive knowledge of the processes involved in the work in which is acquired through on-the-job training and experience or through apprenticeship or other formal training programs. This category includes: mechanics, equipment repairers, telephone line installers, small instrument repairers, brick masons, carpenters, electricians, plumbers, mining occupations, tool and die makers, sheet metal workers, tailors, butchers, bakers, machine operators, locksmiths, precision handworking occupations and kindred workers.

**026 Operators:** Occupations in which employees perform duties which require specialized machine skills which are required through on-the-job training and experience or through apprenticeship or other formal training programs. This category includes: printing press operators, high pressure boiler operators, laundry workers and kindred workers.

**027 Transportation:** Occupations in which employees perform duties which require motor vehicle, bus, train, or other transportation operation skills which are acquired through on-the-job training and experience or through other formal training programs. This category includes: bus drivers, chauffeurs, motor vehicle operators, trainmasters, ferry terminal supervisors and kindred workers.

**028 Laborers:** Occupations in which employees perform duties which result in or contribute to the comfort, convenience, hygiene or safety of the general public, or which contribute to the upkeep and care of buildings and facilities. There are no job qualification requirements for titles in this category. This category includes: skilled craft helpers and apprentices, construction laborers, stock handlers, garage and service station related occupations, car cleaners, seasonal park helpers, track workers, assistant highway repairers and kindred workers.

**029 Sanitation Workers:** Occupations in which employees perform duties which result in or contribute to the cleanliness, hygiene and safety of the public domain. Qualification requirements, which include civil service examinations, exist for titles in this category. This category includes: sanitation workers, debris removers and kindred workers.

**030 Teachers:** Occupations which require specialized and theoretical knowledge of education and instructional methods, which is usually acquired through college training or through work experience and other training which provides comparable knowledge. This category includes: teachers, instructors, professors, lecturers, fitness instructors, graduate assistants, fellows, adjunct professors, substitute teachers, trade instructors, education/vocational counselors, education analysts, education officers, institutional instructors and kindred workers.

**031 Paraprofessionals:** Occupations in which employees perform some of the duties of a professional or technician in a supportive role, which usually requires less formal training and/or experience normally required for professional or technical status. Such positions may fall within an identified pattern of staff development and promotion. This category includes: administrative assistants, project associates, coordinators, community associates and assistants, community service aides, research associates, welfare service workers, child care workers and kindred workers.



**APPENDIX 2**

**Office of Management & Budget**

**Work Force Composition Summary  
4<sup>th</sup> Quarter FY 2015**

RUN DATE: 07/02/15  
 RUN TIME: 14:46:06.8

NEW YORK CITY DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES  
 CITYWIDE EQUAL EMPLOYMENT DATABASE SYSTEM (CEEDS)  
 WORK FORCE COMPOSITION SUMMARY

PAGE: 33  
 REPORT: EBEP210

QUARTER 4 YEAR 2015 AGENCY 019 OFFICE OF MANAGEMENT AND BUDGET

AGENCY CODE : 019 OFFICE OF MANAGEMENT AND BUDGET  
 EEO JOB GROUP : 001 ADMINISTRATORS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN			
40141	DEPUTY DIRECTOR OF MANAGEM	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1
40145	DIRECTOR OF MANAGEMENT AND	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1
EEO JOB GROUP TOTAL.....:		1	0	0	1	0	0	0	0	0	0	0	0	0	0	2
		50.00	0.00	0.00	50.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 019 OFFICE OF MANAGEMENT AND BUDGET  
 EEO JOB GROUP : 002 MANAGERS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN			
0608A	BUDGET ANALYST (OMB) (MANA	18	1	2	10	0	1	20	6	3	6	0	0	0	0	67
10025	ADMINISTRATIVE MANAGER	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1
10026	ADMINISTRATIVE STAFF ANALY	7	0	0	0	0	0	3	0	0	0	0	0	0	10	
10050	COMPUTER SYSTEMS MANAGER	3	0	1	1	0	0	0	0	0	0	0	0	0	5	
10074	COMPUTER OPERATIONS MANAGE	0	0	1	0	0	0	0	0	0	0	0	0	0	1	
13264	EXECUTIVE ASSISTANT TO THE	0	0	0	0	0	0	1	0	0	0	0	0	0	1	
30106	DEPUTY GENERAL COUNSEL (OM	1	0	0	0	0	0	0	0	0	0	0	0	0	1	
40143	DIRECTOR OF FINANCING POLI	1	0	0	0	0	0	0	0	0	0	0	0	0	1	
60802	DIRECTOR OF PUBLIC AFFAIRS	0	0	0	0	0	0	1	0	0	0	0	0	0	1	
83008	ADMINISTRATIVE PROJECT MAN	1	0	0	0	0	0	0	0	0	0	0	0	0	1	
95005	EXECUTIVE AGENCY COUNSEL	1	0	0	0	0	0	0	0	1	0	0	0	0	2	
EEO JOB GROUP TOTAL.....:		33	1	4	11	0	1	25	6	4	6	0	0	0	91	
		36.26	1.10	4.40	12.09	0.00	1.10	27.47	6.59	4.40	6.59	0.00	0.00	0.00	100.00	

AGENCY CODE : 019 OFFICE OF MANAGEMENT AND BUDGET  
 EEO JOB GROUP : 003 MANAGEMENT SPECIALISTS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN		
06088	BUDGET ANALYST (OMB)	70	8	9	14	0	2	52	11	15	43	0	0	0	224
EEO JOB GROUP TOTAL.....:		70	8	9	14	0	2	52	11	15	43	0	0	0	224
		31.25	3.57	4.02	6.25	0.00	0.89	23.21	4.91	6.70	19.20	0.00	0.00	0.00	100.00

AGENCY CODE : 019 OFFICE OF MANAGEMENT AND BUDGET  
 EEO JOB GROUP : 004 SCIENCE PROFESSIONALS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN		

RUN DATE: 07/02/15  
 RUN TIME: 14:46:06.8

NEW YORK CITY DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES  
 CITYWIDE EQUAL EMPLOYMENT DATABASE SYSTEM (CEEDS)  
 WORK FORCE COMPOSITION SUMMARY

PAGE: 34  
 REPORT: EBEP210

QUARTER 4 YEAR 2015 AGENCY 019 OFFICE OF MANAGEMENT AND BUDGET

13622 COMPUTER SPECIALIST (OPERA	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
EEO JOB GROUP TOTAL.....:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 019 OFFICE OF MANAGEMENT AND BUDGET  
 EEO JOB GROUP : 013 CLERICAL

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN			
05363	STATISTICAL SECRETARY (OMB	0	0	0	0	0	1	2	6	6	1	0	0	0	0	16
11704	SUPERVISOR OF OFFICE MACHI	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1
	EEO JOB GROUP TOTAL.....:	0	0	1	0	0	1	2	6	6	1	0	0	0	0	17
		0.02	0.00	5.88	0.00	0.00	5.88	11.76	35.29	35.29	5.88	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 019 OFFICE OF MANAGEMENT AND BUDGET  
 EEO JOB GROUP : 031 PARA PROFESSIONAL OCCUPATIONS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN-KNOWN			
10209	COLLEGE AIDE	2	0	0	0	0	0	1	0	0	0	0	0	0	0	3
10232	SUMMER GRADUATE INTERN	2	1	0	2	0	0	0	0	0	2	0	0	0	0	7
10234	SUMMER COLLEGE INTERNE (AL	2	0	0	0	0	0	1	1	0	0	0	0	0	0	4
56057	COMMUNITY ASSOCIATE	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1
	EEO JOB GROUP TOTAL.....:	6	2	0	2	0	0	2	1	0	2	0	0	0	0	15
		40.01	13.33	0.00	13.33	0.00	0.00	13.33	6.67	0.00	13.33	0.00	0.00	0.00	0.00	100.00

AGENCY TOTAL.....: 111 11 14 28 0 4 81 24 25 52 0 0 0 0 0 350  
 31.72 3.14 4.00 8.00 0.00 1.14 23.14 6.86 7.14 14.86 0.00 0.00 0.00 100.00

**APPENDIX 3**

**Office of Management & Budget**

**CEEDS Work Force Compared With Internal & External Pools**

**2<sup>ND</sup> Quarter FY 2015**

**4<sup>th</sup> Quarter FY 2015**

RUN DATE: 01/05/15  
 RUN TIME: 8:19:56  
 FY2015 Q2

NEW YORK CITY DEPARTMENT OF PERSONNEL  
 C E E D S S Y S T E M  
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS  
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 21  
 PROGRAM: EBP961  
 EXTRACT DATE: 12/31/14

AGENCY: 019 OFFICE OF MANAGEMENT AND BUDGET  
 EEO VARIABLE: ETH ETHNICITY  
 PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS  
 PROBABILITY CUT-OFF FOR IMBALANCE: .050

JOB GROUP	INCMB TOTAL	WHITE		BLACK		HISPANIC		ASIAN /		NATIVE A		ETH UNKN	
		OBSRV	EXPCT I	OBSRV	EXPCT I	OBSRV	EXPCT I	OBSRV	EXPCT I	OBSRV	EXPCT I	OBSRV	EXPCT I
001 ADMINISTRATORS	2	1	1 N	0	0 N	0	0 N	1	0 N	0	0 N	0	0 N
002 MANAGERS	86	56	44 O	7	16 U	8	11 N	15	9 O	0	0 N	0	3 N
003 MNGMT SPECS	235	123	96 O	20	70 U	27	30	63	31 O	0	1 N	2	5 N
004 SCIENCE PROFNS	1	1	0 N	0	0 N	0	0 N	0	0 N	0	0 N	0	0 N
013 CLERICAL	19	3	4	6	10 U	7	3 O	2	1	0	0 N	1	1
031 PARA PROFESSION	6	4	2 N	2	2 N	0	1 N	0	1 N	0	0 N	0	0 N

RUN DATE: 01/05/15  
 RUN TIME: 8:19:56  
 FY2015 Q2

NEW YORK CITY DEPARTMENT OF PERSONNEL  
 C E E D S S Y S T E M  
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS  
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 22  
 PROGRAM: EBP961  
 EXTRACT DATE: 12/31/14

AGENCY: 019 OFFICE OF MANAGEMENT AND BUDGET  
 EEO VARIABLE: GEN GENDER

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS  
 PROBABILITY CUT-OFF FOR IMBALANCE: .050

JOB GROUP	INCMB TOTAL	MALE		FEMALE		GENDER U	
		OBSRV	EXPCT I	OBSRV	EXPCT I	OBSRV	EXPCT I
001 ADMINISTRATORS	2	2	1 N	0	1 N	0	0 N
002 MANAGERS	86	49	46	37	36	0	2 N
003 MNGMNT SPECS	235	108	134 U	127	95 O	0	3 N
004 SCIENCE PROFNS	1	1	1 N	0	0 N	0	0 N
013 CLERICAL	19	2	5 U	17	13 O	0	1 N
031 PARA PROFESSION	6	4	2 N	2	3 N	0	0 N

RUN DATE: 07/02/15  
 RUN TIME: 14:25:28  
 FY2015 Q4

NEW YORK CITY DEPARTMENT OF PERSONNEL  
 C E E D S S Y S T E M  
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS  
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 21  
 PROGRAM: EBP961  
 EXTRACT DATE: 06/30/15

AGENCY:  
 EEO VARIABLE:

019 OFFICE OF MANAGEMENT AND BUDGET  
 ETH ETHNICITY

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS  
 PROBABILITY CUT-OFF FOR IMBALANCE: .050

JOB GROUP	INCMB TOTAL	WHITE			BLACK			HISPANIC			ASIAN /			NATIVE A			ETH UNKN		
		OBSRV	EXPCT	I	OBSRV	EXPCT	I	OBSRV	EXPCT	I	OBSRV	EXPCT	I	OBSRV	EXPCT	I	OBSRV	EXPCT	I
001 ADMINISTRATORS	2	1	1	N	0	0	N	0	0	N	1	0	N	0	0	N	0	0	N
002 MANAGERS	91	58	47	O	7	17	U	8	12	N	17	9	O	0	0	N	1	4	N
003 MNGMT SPECS	224	122	92	O	19	66	U	24	29		57	29	O	0	0	N	2	5	N
004 SCIENCE PROFNS	1	1	0	N	0	0	N	0	0	N	0	0	N	0	0	N	0	0	N
013 CLERICAL	17	2	3	U	6	9	U	7	3	O	1	1		0	0	N	1	1	
031 PARA PROFESSION	15	8	5		3	4	U	0	4	U	4	1	O	0	0	N	0	0	N

RUN DATE: 07/02/15  
 RUN TIME: 14:25:28  
 FY2015 Q4

NEW YORK CITY DEPARTMENT OF PERSONNEL  
 C E E D S S Y S T E M  
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS  
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 22  
 PROGRAM: EBP961  
 EXTRACT DATE: 06/30/15

AGENCY: 019 OFFICE OF MANAGEMENT AND BUDGET  
 EEO VARIABLE: GEN GENDER

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS  
 PROBABILITY CUT-OFF FOR IMBALANCE: .050

JOB GROUP	INCMB TOTAL	MALE			FEMALE			GENDER U		
		OBSRV	EXPCT	I	OBSRV	EXPCT	I	OBSRV	EXPCT	I
001 ADMINISTRATORS	2	2	1	N	0	1	N	0	0	N
002 MANAGERS	91	50	49		41	38		0	2	N
003 MNGMNT SPECS	224	103	128	U	121	90	O	0	3	N
004 SCIENCE PROFNS	1	1	1	N	0	0	N	0	0	N
013 CLERICAL	17	2	5	U	15	12		0	1	N
031 PARA PROFESSION	15	10	6	O	5	9	U	0	0	N