



The City of New York
Department of Investigation

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DEPARTMENT OF INVESTIGATION
DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY PLAN
FISCAL YEAR 2020

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

DOI is committed to creating a diverse and inclusive workforce and providing increased opportunities for all employees. When we value our differences, we build stronger teams driving the best performance. 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 working toward attaining agency goals in this area. All agency staff are accountable for complying with the City's EEO Policy and implementing the FY 2020 Diversity and EEO Plan.

DOI employees have a responsibility to be respectful of all our co-workers and members of the public. Recognizing that the people of our agency are one of our greatest assets, we are committed to the recruitment, development, and retention of a diverse and inclusive workforce reflective of our City's population. We expect all managers and supervisors to promote a work environment that values equity, inclusion, and respect for all.

During the 2nd quarter of FY 2020, I will issue a Commitment Statement to all agency employees affirming the principles of diversity, inclusion, and equal employment opportunity. The statement is intended to guide managers and supervisors across all levels, as well as communicate the focus of our agency to all employees. I will emphasize the need for 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.

I will drive accountability by involving the EEO Officer as the agency's makes critical human resources decisions, 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 (OCEI). 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 achieve throughout the year.

The agency has and will continue to report to DCAS on the steps undertaken to comply with all legal mandates and the provisions of the various Executive Orders and laws prohibiting employment discrimination in New York City. The agency will also disseminate and post legal notices and policies as required.

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, Chantal Senatus, will continue to 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 is prominently available to all employees. Employees will continue to be encouraged to contact the agency EEO Officer with any questions, inquiries, concerns or complaints regarding EEO rights 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 consist of more generalized recognition of staff through:

1. DOI's Annual Awards Ceremony, January 25, 2019

At this event, employees and units are recognized for their work in furtherance of the agency's mission. It also presents an opportunity for employees to celebrate one another's accomplishments. The next Ceremony has been scheduled for January 17, 2020.

2. Annual Employee Appreciation Day, August 2, 2019

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

3. Galloneers Club Breakfast- September 24, 2019

Organized to recognize and appreciate staff who regularly participate in the agency's blood drives through the American Red Cross.

4. Customer Service Appreciation breakfast October 2019

This event is held annually to recognize all of our front-line staff.

The agency will endeavor to recognize employees, supervisors, managers, and units demonstrating superior accomplishment in diversity and equal employment opportunity throughout the fiscal year. Such measures to be considered are:

- Diversity & EEO Awards*
- Public Notices
- Diversity and EEO Appreciation Events*
- Positive Comments in Performance Appraisals
- Other: Continuing the traditions of Appreciation Day, the Awards Ceremony and the Customer Service Breakfast

**Please specify under "Additional Comments"*

Additional Comments:

We are planning a World in a Pocket food fair/competition for March 2020

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.

(chart follows)

In FY 2020, 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

Additional Comments:

As part of the on-boarding process, Human Resources will include the self-identification form. Additionally, as part of New Employee Orientation, the EEO staff include a reference to the form during the EEO presentation.

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

2. Describe the review process of the 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. These reports reviewed regularly with the Agency Head.

The agency conducts regular reviews of the CEEDs data 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, Director	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____

General Counsel, Deputy Commissioner	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
Commissioner	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
Other	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input checked="" type="checkbox"/> Other First Deputy Commissioner, Deputy Commissioner/Chief of Investigations, and the Deputy Commissioner for Operations

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

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

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

IV. EEO, Diversity, Inclusion, and Equity Initiatives for FY 2020

1. Proactive Strategies to Enhance Diversity, EEO and Inclusion

State below the central goals of your strategy for FY 2020 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 2020.

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

2. Workplace:

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

3. Community:

DOI promotes outreach to the public which creates awareness of DOI's mission as well as DOI's availability as a potential employer in our communities. The Director of Intergovernmental Affairs and Outreach is committed to reaching out to police precincts and community groups to provide introductory presentations and informational materials to law enforcement partners and the public.

2. 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 2020 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.

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:

Approximately ninety percent (90%) of DOI titles are Non-Competitive and Exempt, and therefore are not subject to selection from a Civil Service List. Therefore, DOI also encourages staff to look at these postings as promotional opportunities.

The agency is in the process of conducting job analysis and developing standard template tasks for particular titles while keeping in mind DCAS's Minimum Qualification Requirements.

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 2019, 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)
- Citywide Onboarding survey
- Citywide Exit Survey for Non-Represented Employees
- Exit interview or surveys developed by the agency

The agency will adopt in FY 2020 the following initiatives based on the analysis of the results of the survey(s):

1. Engage in more management skills training for supervisors
2. Publicize professional development opportunities on a regular basis

Additional Initiatives, Programs, or Comments:

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

C. COMMUNITY:

In FY 2020, 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:

We will continue to identify best practices for creating and disseminating Requests for Proposals, remaining cognizant of the requirements under the City's MWBE programs.

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 2020:

- 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:

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

Note, that approximately ninety percent (90%) of DOI titles are Non-Competitive and Exempt, and therefore are not subject to selection from a Civil Service List. We will continue to engage in communications with MOPD regarding Civil Service titles and will explore options relating to the distribution of other postings to MOPD.

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

Diverse Recruitment Source(s)	What sort of return do you expect to see from the effort? Indicate if this source yielded increased and diverse applicant pool. Were there successful hires from this source?
<p>1. College and Universities including: John Jay College, Cardozo, New York Law School, Baruch, Pace University, Monroe College, and St. John’s University (including affinity groups)</p>	<p>1. We are hopeful that our efforts will allow us to reach a larger diverse population and thereby result in an increasingly diverse workforce. We are also working on ways to track our efforts more closely.</p> <p><input checked="" type="checkbox"/> Previous hires from this source</p>
<p>2. Minority organizations and associations including: Asian American Bar Association, The LGBT Bar Association of Greater New York, National Latino Officers Association, National Association of Black Accountants, and 100 Blacks in Law Enforcement Who Care.</p>	<p>2. Same as above</p> <p><input type="checkbox"/> Previous hires from this source</p>
<p>3. Specialized Disciplines including: The Association of Inspectors General, National Association of African Americans in Human Resources, Discover Policing, City & State, and the New York Law Journal</p>	<p>3. Same as above</p> <p><input type="checkbox"/> Previous hires from this source</p>
<p>4. Simplicity and Handshake</p>	<p>4. Same as above</p> <p><input type="checkbox"/> Previous hires from this source</p>
<p>5. Specialized recruiting source- Professional Diversity Network</p>	<p>5. Diversity recruiting platform through which we anticipate being able to better track the minority and women organizations through which candidates are applying.</p> <p><input type="checkbox"/> Previous hires from this source</p>

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 2019 and their demographic profiles. Indicate your plans to provide internship/fellowship opportunities in FY 2020.

The agency provided the following internship opportunities in FY 2019:

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

The agency will continue to 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 2020.

Additional Comments:

DOI currently provides investigative and legal internships. In FY 2019 (Fall 2018, Spring 2019 and Summer 2019), there were a total of 78 DOI interns, a decrease of 9 intern positions made available in Fiscal Year 18: 45 female, 33 male, 6 Black, 8 Asian, 10 Hispanic, 2 identifying as being of two or more races, 51 White and 0 Other/Unidentified.

We will continue our summer internship program for investigative and legal positions, and seek to recruit a diverse, qualified group from various schools. We also plan to proactively recruit for each semester, offering interns the opportunity to intern for a maximum period of 2 semesters so that the opportunity to experience DOI is exercised more broadly. This will hopefully also assist in increasing the diversity of our applicant pools.

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

	Fall 2018	Spring 2019	Summer 2019
Total Graduate Students	14	8	10
Male	5	1	5
Female	9	7	5
White	10	5	7
Black	0	0	1
Hispanic	1	2	1
Asian	1	1	1
2 or more races	2	0	0
Total Undergraduate Students	14	9	23
Male	5	5	12
Female	9	4	11
White	7	6	16
Black	2	1	3
Hispanic	3	0	3
Asian	2	2	1
2 or more races	0	0	0

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 2020. 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 2020. Currently, there are 0 [number] 55-a participants. There are 0 [number] participants who have been in the program less than 2 years. Last year, a total of 0 [number] new applications for the program were received and 0 participants left the program due to [state reasons]. The agency has been actively working with DCAS on taking advantage of 55-a program opportunities.

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

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

Based on the June 7, 2016 -55-a memorandum, issued by DCAS, the agency will carefully evaluate each request by longtime provisional employees for designation under § 55-a to serve non-competitively in a competitive title position to ensure that the request is not made solely to avoid the consequences of 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 2020 are:

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

Additional Goals, Initiatives, and Comments:

Approximately ninety percent (90%) of DOI titles are Non-Competitive and Exempt, and therefore are not subject to selection from a Civil Service List.

VI. Selection (Hiring and Promotion)

1. For FY 2020, 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 2020, 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.
- 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:

DOI encourages staff to take developmental/skills courses offered through the DCAS Citywide Training Center. Additionally, the agency has offered writing courses and training on an ad hoc basis.

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

In FY 2020, the agency will do the following:

- Review and develop a protocol for in-title promotions and salary increases.
- 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 positions, including 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).

Additional Comments:

DOI posts open job positions, including mid- and high-level positions, on nyc.gov as well as the publications noted herein. As part of outreach, DOI's Human Resources personnel contact minority professional organizations to inform them of open positions and to solicit a diverse, qualified applicant pool.

The agency has also engaged the assistance of Profession Diversity Network- a platform for multiple women and minority professional organizations in various disciplines. The functionality of this resource is being revisited through our Director of Intergovernmental Affairs and Outreach.

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

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

The agency's protocol for in title promotions/salary increases includes providing a justification for the promotion/salary increase as part of the Personnel Action Request package. The recommending supervisor must make clear what sets this employee apart

from others in the same title so as to justify selecting that employee for the promotion/salary increase. Human Resources has developed a promotions checklist for agency use. These recommendations are reviewed by Executive Staff as part of the approval process.

3. For FY 2020, 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 2020, 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 increases or decreases in applications of qualified applicants and selection rates.

Additional Comments:

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

4. For FY 2020, 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.

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.

- 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:

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

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

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

In FY 2020, the agency EEO Officer will do the following:

PRE-SELECTION:

- Collaborate with the Director of Human Resources to ensure that an updated listing of sources for diverse applicants, including schools and professional organizations, is maintained.
- Actively monitor agency job postings.
- In collaboration with the Director of Human Resources, review interview questions to ensure that they are EEO-compliant, job-related, and required by business necessity.
- Provide feedback to the hiring manager after the EEO Officer’s assessment.
- Assist the hiring manager if a reasonable accommodation is requested during the interview.

May observe interviews when necessary, especially for underutilized job titles and/or mid- and high-level discretionary positions.

Other: _____

POST-SELECTION:

Periodically review candidate evaluation forms and conduct a job applicant analysis via the NYCAPS eHire Applicant Interview Log reports to advise Human Resources of any demographic trends and/or EEO concerns.

Review hiring package for review and approval.

Other: _____

Additional Comments:

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

During a review of our quarterly CDEEO data, we examine the demographics for newly hired employees and the way in which data impacts the overall agency demographics. If there is any underutilization observed, then the agency makes a concerted effort to reach out to organizations and other partners to increase a diverse applicant pool for future hiring. The EEO Officer identifies underutilized demographics for open positions.

The EEO Officer reviews interview questionnaires and applicant logs. Moreover, the EEO Officer actively monitors agency job postings for diverse, qualified applicants.

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

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 2020.
- 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).

VII. Training

Training Topic	Type of Audience (e.g. Front-Line Staff, Managers, Supervisors, etc.)	Target Number of Participants	Targeted Dates
1. Hiring Practices	Hiring Managers; Supervisors involved in the hiring process	40	March 2020
2. Structured Interviewing (interactive/classroom)	Hiring Managers; Supervisors involved in the hiring process	50	March 2020
3. Implicit Bias Training (classroom)	Agency-wide	400	April 2020
4. EEO (live)- mandatory 2-year requirement	Agency-wide	400	May 2020
5. EEO (classroom)	As corrective action as needed	tbd	ongoing
6. Everybody Matters (D&I)	As corrective action as needed	tbd	ongoing

VIII. Reasonable Accommodation

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

- Managers, supervisors, human resources personnel and discipline personnel are required to report to the EEO Office any reasonable accommodation requests and needs that are received, observed, learned about or suspected, so that the EEO Office may facilitate discussions, research appropriate accommodations, and assist with the resolution of the matter.
- The agency provides reasonable accommodation for disability, religion, victims of domestic violence, sex offense and stalking, pregnancy, childbirth or a related medical condition.
- The agency grants or denies request 30 days after submission or as soon as possible.
- The agency head or designee¹ must review and grant or deny the appeal fifteen (15) days after submission of appeal.

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

- 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?

The Disability Rights Coordinator and other EEO staff communicate with the requestor and (where warranted) the supervisor to assess the reasonable accommodation request to make a determination whether the accommodation is needed, and if needed, whether the accommodation would be effective, and if effective, whether providing the reasonable accommodation would impose an undue hardship on the agency.

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

After the possible accommodations have been explored, the employee receives written notification of the request approval or denial. Where the request is denied, the letter includes the fact that the employee may file an appeal with the Commissioner. Within ten (10) business days of the receipt of an appeal, the Commissioner or her designee, reviews and evaluates the reasonableness of the employee’s request, consults with the employee and EEO Officer and other representatives that the Commissioner deems necessary, and/or consults with Office of Citywide EEO or the Law Department. Within fifteen (15) business days of the receipt of the appeal, the Commissioner issues a written determination and, if granted, the EEO Officer monitors implementation of the reasonable accommodation.

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/eoo/diversityeoo/media/19647/reasonable-accommodation-procedural-guidelines-lc-12116.pdf> (p17).

The agency stays abreast of the EEO policy and NYC Human Rights Law and all other applicable rules and regulations regarding reasonable accommodations for disability, religion, victims of domestic violence, sex offense and stalking, pregnancy, childbirth and pregnancy related medical conditions.

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 2020.
- All managers\supervisors will be trained by March 7, 2021.
- 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)- as needed as part of corrective action	Supervisors	tbd	ongoing
	Front Line Staff	tbd	ongoing
lgbTq – Power of Inclusion (e-learning)	Supervisors	80	April 2020
	Front Line Staff	320	April 2020

- The agency will ensure that the Transgender Restroom Access notice/poster is posted where required, e.g., on bulletin boards, near restrooms and, in digital form, where other EEO notices and announcements can be found.

Additional Comments:

We will incorporate information about taking the Computer Based Training (CBT) as part of the onboarding process.

B. Executive Order 21 (2016): Prohibition on Inquiry regarding Job Applicant’s Pay History

- 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 and Unconscious Bias Training.

Additional Comments:

Shortly after the EO went into effect, the agency reviewed its recruitment and hiring to determine whether salary was requested at any time in the process. Based on this review, the agency removed salary information (regarding the candidate’s previous salary) from the Personnel Action Request (PAR) form. The PAR is completed by the hiring manager during the time candidate offers are being made. The agency also informed managers of the EO’s mandates and directed hiring managers not to request previous salary information.

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

- The agency plans to train all new employees on Sexual Harassment Prevention within 30 days of start date. Current employees will be trained annually.

Training Topic	Type of Audience	Target # of participants	Targeted Dates
1. Sexual Harassment Prevention (classroom)	Corrective action	As necessary	
2. Sexual Harassment Prevention (e-learning)	Agency-wide	400	November 2019

Additional Comments:

The agency’s first cycle completion rate is 99%. We are following the same process for communicating with staff and their managers regarding the importance of completing the training in a timely manner. We have incorporated information about taking the Computer Based Training (CBT) as part of the onboarding process.

D. Local Law 93 (2018): Risk Assessment Survey & Initiatives to reduce/minimize risk of sexual harassment.

Please provide a summary of agency initiatives to address the risk of sexual harassment and devise responsive strategies to minimize such risk. Please refer to the risk assessment survey conducted in 2018 and indicate if the initiatives were completed or are continuing.

	Initiative(s)	Who is Responsible for implementing the initiative(s)?	Timeframe\Timeline
Risk 1 Homogenous Workplace	The diversity of our staff may be achieved through broadly distributing our job postings to staff (including a directive to senior staff to think of diverse candidates) and minority organizations, among other measures.	Human Resources, EEO Officer, Hiring managers	<u>Ongoing</u> <input checked="" type="checkbox"/> <u>Completed</u> <input type="checkbox"/>
Risk 2 Cultural and Language Differences in the workplace	To address perceived cultural differences, we could embrace them through awareness events (i.e. a multicultural potluck, recognizing cultural and religious holidays throughout the year).	Human Resources, EEO Officer	<u>Ongoing</u> <input checked="" type="checkbox"/> <u>Completed</u> <input type="checkbox"/>
Risk 3 Workplaces with Significant Power Disparities	In order to decrease feelings of power disparity, managers should be encouraged to maintain an open-door policy.	Human Resources	<u>Ongoing</u> <input checked="" type="checkbox"/> <u>Completed</u> <input type="checkbox"/>
Risk 4 Isolated Workplaces	In order to mitigate feelings of isolation in our more remote offices, EEO staff can visit each site periodically. Additionally, DOI is in the process of consolidating its	EEO Officer and staff	<u>Ongoing</u> <input checked="" type="checkbox"/> <u>The move to 180 Maiden Lane</u> <u>Completed</u> <input checked="" type="checkbox"/>

	offices into 180 Maiden Lane so that should mitigate this issue as well.		
Risk 5 Decentralized Workplaces	Same as above		<u>Ongoing</u> <input checked="" type="checkbox"/> <u>The move to 180 Maiden Lane</u> <u>Completed</u> <input checked="" type="checkbox"/>
<p>Other Findings: Please note that our risk assessment did not indicate that there are any active risk factors findings, however, we are engaging in the above in an abundance of caution.</p> <p>Education and Training:</p> <ol style="list-style-type: none"> Education and training are important tools. As part of orientation, staff have a brief live EEO training that includes education regarding the identification of sexually harassing behavior. We also emphasis that staff should report observed behavior and consult with EEO staff even where the employee is uncertain. Additionally, we will encourage managers and other staff to become educated with respect to implicit bias and cultural awareness. 			

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

<input checked="" type="checkbox"/> The agency will input the sexual harassment Complaint Data on the DCAS Citywide Complaint Tracking System, contemporaneously update the information, and affirm the data in a timely manner when requested by DCAS. <input checked="" type="checkbox"/> The agency will input all types of complaints in the Complaint Data on the DCAS Citywide Complaint Tracking System, contemporaneously update the information, and affirm the data in a timely manner when requested by DCAS. <input checked="" type="checkbox"/> The agency will ensure that complaints are closed within 90 days.
<p><i>Additional Comments:</i></p>

F. Local Law 101 (2018): 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, has conducted a climate survey and:

- analyze results of the response data sent by DCAS.
- implement the following initiatives to address concerns raised in the Climate Survey:
 1. increased employees' familiarity with the EEO complaint process at the start of their employment (i.e., onboarding) and throughout their tenure. This will contribute to reducing the risk of experiencing discrimination and sexual harassment; and
 2. reviewed the EEO complaint process and incorporate DCAS Office of Equity and Inclusion best practices.
- The agency will provide a report to DCAS on the above initiatives by January 31, 2020.
 [NOTE: DCAS is mandated to submit a report on Action Plan to the Mayor and the Speaker of the Council].

Additional Comments:

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 a 2020 audit conducted by NYC EEPC specific to our EEO practices. If warranted and depending of the timing of such matters, 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 2020 to include and implement EEPC recommendations that will be implemented during the fiscal year.
- The agency is subject to any other oversight or review by a federal, state or city civil rights agency [please specify _____].
 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 the EEPC or [_____ **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.

MARGARET GARNETT

Print Name of Agency Head

Margaret Garnett

Signature of Agency Head

Date

APPENDIX
Contact Information

Please provide contact information (name, title, office address, telephone number and e-mail address) for the following individuals at your agency:

1. Agency EEO Officer
Chantal Senatus
Deputy General Counsel
180 Maiden Lane, 24th Floor
(212) 825-5928
csenatus@doi.nyc.gov

2. Agency Chief Diversity & Inclusion Officer – None Designated

3. ADA Coordinator
Shayvonne Nathaniel
Director, Human Resources
180 Maiden Lane, 20th Floor
(212) 825-5939
snathaniel@doi.nyc.gov

4. Disability Rights Coordinator
Shayvonne Nathaniel

5. Disability Services Facilitator
Mark McGuigan
Executive Director, Facilities Management
180 Maiden Lane, 16th Floor
(212) 825-5974
mmguigan@doi.nyc.gov

6. 55-a Coordinator
Shayvonne Nathaniel

7. Career Counselor
Shayvonne Nathaniel

(cont.)

8. Training Liaison(s)

Laura Bowman

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

LBowman@doi.nyc.gov

Debra Montefinese (DCAS training coordinator)

Director, Statistical Analysis
180 Maiden Lane, 20th Floor
212-825-2805

dmontefinese@doi.nyc.gov

Chantal Senatus (EEO in-house training)

EEO Officer

Signature: Margaret Garnett
Margaret Garnett (Apr 22, 2020)

Email: mgarnett@doi.nyc.gov






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Final Audit Report

2020-04-22

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