



**DEPARTMENT OF TRANSPORTATION**  
**DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY PLAN**  
**FISCAL YEAR 2021**

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

Recognizing that the people of our agency are one of our greatest assets, we are committed to recruitment, development, and retention of a diverse and inclusive workforce reflective of our City's population. When we value our differences, we build stronger teams driving the best performance. We expect all managers and supervisors to promote a work environment that is fair and safe for all New York City employees and which values equity, inclusion, and respect for all. I will hold the Assistant Commissioner of EEO, Diversity & Inclusion, all EEO professionals, human resources professionals, legal professionals, managers and supervisors accountable for ensuring that the agency does not discriminate against employees or applicants for employment and support the diversity and inclusion initiatives at the agency by observing EEO regulations and actively working toward attaining agency goals in this area. All agency staff are accountable for the effective implementation of the City's EEO Policy and the FY 2020 Diversity and EEO Plan.

This fiscal year, I will issue a Commitment Statement to affirm the principles of diversity, inclusion, and equal employment opportunity. This will serve as guidance to managers and supervisors across all levels, as well as communicate the focus of our agency to all employees. I will drive accountability by integrating the Assistant Commissioner of EEO, Diversity & Inclusion in critical human resources decisions regarding workforce changes that might negatively impact any protected EEO group, including recruitment strategies, vacancy projections, succession planning, selections for training/career development opportunities, and strategic planning.

My leadership team will implement the objectives and actions of this plan, as well as work to create a diversity and inclusion strategy based upon guidance provided by the DCAS Office of Citywide Equity and Inclusion. We will conduct discussions throughout the year coinciding with the issuance of our quarterly workforce reports and will take steps to review the goals we achieved at the end of the year.

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

We are committed to maintain a workplace free from all forms of harassment and discrimination prohibited by the City's EEO Policy. The Assistant Commissioner of EEO, Diversity & Inclusion, James L. Hallman, should serve as a resource for agency managers and supervisors by providing us with best practices and providing direction in addressing any identified EEO issues. Mr. Hallman's contact information will be prominently available to all employees. Mr. Hallman should be contacted with any questions, inquiries, concerns or complaints employees may have regarding their EEO rights and the New York City's efforts to protect them and any allegation of violation of the EEO Policy.

**This statement is the same as last year.**

**II. Recognition and Accomplishments**

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

1. Continuation of the EEO Liaison Program - On February 6, 2018, DOT’s Office of EEO, Diversity & Inclusion (“EDI”) announced the launch of its “EEO Liaison Program” the goal of which is to build a trusted network of employees from various DOT divisions, all formally trained in EEO laws and policies, and uniquely situated to build rapport and establish levels of trust within DOT work-sites and facilities that position EDI and DOT to more effectively meet its EEO obligations, including the direction of complaints to the EDI Office. All DOT employees were welcome to apply whereby 60 applications were received. A panel comprising members from EDI, the Division of Human Resources & Facilities Management, the Commissioner’s Office, and included input from Deputy Commissioners and/or their designees vetted applicants to ensure they had no EEO, discipline or performance issues and used a Reviewing Rubric when making selections that took the following factors into account: Division; Diversity; Work level and function; Geographic coverage (worksites); City tenure. Ultimately, 29 applicants were selected. In preparing them for their roles, they will be required to undergo trainings and attend meetings and/or briefings related to EEO matters. As an introduction, they were asked to complete DCAS Computer Based Trainings (CBT) including the Equal Employment Opportunity CBT; Everybody Matters – Diversity & Inclusion CBT; IgBTq: The Power of Inclusion CBT; and Sexual Harassment CBT.

2. Continued growth of DOT’s ERG Initiative – EDI introduced employees to ERGS in the Fall of 2018. As of August, 2020, DOT had the following seven (7) officially recognized ERGS: • Women Empowering Women in Nontraditional Work (WE WIN) • Organizacion Latino Americano @ DOT (OLA) • LGBT @ DOT • African American Career Advancement Network (AACAN) • DiverseAbilities • Working Parents Resource Group • Asian/Pacific Islander Association (APIA).

On November 5, 2020, EDI announced the establishment of DOT’s newest ERG: The Indigenous Peoples’ Collective (IPC). IPC’s mission is to improve the visibility of Indigenous employees and foster awareness of Indigenous cultures, traditions and values. This will be accomplished through collaboration with appropriate DOT offices to promote hiring, retention, and career advancement opportunities for Indigenous talent through education, training, and networking. A collective of Indigenous employees and allies, this employee resource group shall serve as a support system to elevate Indigenous voices and create opportunities for Indigenous employees to impact their own agency and other Indigenous communities in NYC.

DOT’s ERGs have been instrumental in helping DOT meet its diversity and inclusion goals. They recently partnered with the Commissioner and other senior leaders to discuss a wide variety of issues affecting employees, including but not limited to equity, structured hiring and promotions, training, Black Lives Matter, racial injustice and systemic oppression.

3. Special Events for Cultural and Heritage Recognition - Throughout the calendar year, the EDI Office scheduled different cultural and heritage events, including programming for Black History Month, Women’s History Month, Asian American and Pacific Islander Heritage Month, LBGTQ+ Pride Month,

Disability Pride and Disability Employment Awareness Month, Hispanic Heritage Month, and Native American Heritage Month. Some examples of events include book club, TED talks, museum trips, and panel discussions.

4. Continuation of DOT Future Leaders Program - In 2017, recognizing that the transportation and engineering fields, as well as the trades, are traditionally white male-dominated, and we see that often reflected in the Civil Service hiring process, DOT created the Future Leaders Program to specifically identify, nurture and promote a diverse cohort of employees from all divisions within the agency, with a particular focus on employees of color and women who might not ordinarily get exposure to agency leadership and the full range of agency functions and opportunities. This year-long fellowship provides 30 early to mid-career professionals from across every part of the agency the opportunity to develop networking, communication, and presentation skills and connect their work to the big picture. Currently spearheaded by Lauren Antonelli, the Agency’s Deputy Director for Administration for the Commissioner’s Office, organizes and leads events for the Future Leaders including guest speakers, panel discussions, interactive workshops, tours, and social events. Through conversations and interviews with your peers, Future Leaders will exchange ideas and experiences and ask questions to learn more about the inner workings of DOT. The program includes up to a month-long rotation in another agency division and culminates with group presentations to pitch an idea to senior staff. The Future Leaders program complements the variety of professional development opportunities that DOT already offers. Diversity is one of the factors considered in the selection of candidates. With the program in its third year, program participants participated in panel discussions with senior staff and received tours of some of DOT’s facilities and other team building activities. Since its inception there have been three Future Leaders classes, 82 participants in total. We made the candidate selection for the 2020 program but suspended the class due to the pandemic.

6. In 2019, we established a new data transfer arrangement with the Department of Citywide Administrative Services (DCAS) that provides EDI and Human Resources with demographic data of personnel and job applicants, which has enabled DOT to complete the first ever Workforce Profile analysis on under-represented demographic groups in certain civil service titles of interest, released in 2020.

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

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

*\* Please specify under “Additional Comments”*

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

*Additional Comments:*

**III. Workforce Review and Analysis**

**As of 6/30/2020, according to the EBEP210 CEEDS report, DOT’s total headcount was 5,783.**

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

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

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

*Additional Comments:*

In FY 2021, the agency will send out an e-mail to all DOT personnel reminding them of the federal government’s changes to demographic categories under which state and local governments must report. Employees will be told that the revised categories for race were expanded to include “Native Hawaiian or Pacific Islander” and “Two or more races.” The revised categories, also allow employees to identify as “Hispanic or Latino” separate from and in addition to race. Employees will be asked to review their personal profile in Employee Self-Service (ESS) and voluntarily identify their gender and race/ethnicity. Field employees at work locations with computer kiosks will be instructed to make these changes at the kiosks. Employees at locations without kiosks will be advised to log-on to ESS using a personal computer or device at [www.nyc.gov/ess](http://www.nyc.gov/ess). Employees unable to complete the self-identification form using ESS will be able to submit the form to Human Resources.

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

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

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

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

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

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

**Additional Comments:**  
 Quarterly HR reviews the dashboard sent by the Office of EEO, Diversity and Inclusion and tracks underutilization among job groups and within titles within those underutilized job groups. This review of underutilized titles will in turn affect the way DOT recruits for those particular titles. In 2018 a “Plan to Reduce Underrepresentation and Prohibition Against the Use of Criteria that is not Job-Related in the Selection Process” was released to Agency Personnel Coordinators. This plan was redistributed to agency personnel in September 2020 as an appendix included in the Structured Hiring Guide. DOT is committed to the principles of equal employment opportunity and diversity. In furtherance of this commitment the Agency compiles a list of civil service (i) in which, according to data provided quarterly by DCAS, there may be underutilization of female employees or those in a particular racial/ethnic group (Black, Hispanic, and Asian at DOT; and (ii) where the Agency has considerable discretion in making appointments. Additionally, Divisions will be reminded (by way of

their Personnel Coordinators) that when preparing Job Vacancy Notices to review the competencies, skills, and abilities required for available positions to ensure that these standards are updated, job-related and required by business necessity. To the extent that Divisions are using criteria that may not be job related and required by business necessity or when considering candidates for appointment or promotion, they are to stop the practice immediately. In addition, DOT's Human Resources and Asset Management teams work to review workforce demographics and to identify areas where underutilization exist within DOT. DOT looks at Agency-wide data and within its Divisions to identify which titles experience underutilization among female employees and particular racial/ethnic groups.

The Office of the Executive Deputy Commissioner, EDI (EEO, Diversity and Inclusion), and the Division of Human Resources have also worked to create a thorough picture of the demographic make-up of DOT's Workforce. Aimed at contextualizing and furthering the agency's commitment to equitable employment practices, the Workforce Profile provides Senior Staff and Division heads a comprehensive view of the level of representation across DOT units and "job categories".

#### Important Statistics

The Workforce Profile provides statistical measures that key in on areas where the agency needs to focus.

- **Underrepresentation:** Statistical method which compares the demographic make-up of a job category (i.e. "Managers", "Computer/IT", "Technical/Inspections"...etc) to the expected make up. Expected make up is derived from established City research that estimates the availability of various demographics in a job category.
- **Title of Interest:** Individual Civil Service Title where significant underrepresentation is found within one or more demographic groups (Ethnicity/Race OR Gender).
- **Title to Monitor:** Individual Civil Service Title where there is a moderate level of underrepresentation found within one or more demographic groups (Ethnicity/Race of Gender)

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

##### **1. Proactive Strategies to Enhance Diversity, EEO and Inclusion**

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

##### **1. Workforce:**

Overall Objective – build a diverse workforce that is reflective of the diverse City it serves by developing strategies to attract and retain high performers that are committed to DOT's organizational mission.

**2. Workplace:**

Overall Objective – cultivate a flexible, collaborative, and inclusive work environment that leverages diversity and empowers all contributors. Building inclusiveness ensures that all employees feel included, connected, and engaged.

**3. Community:**

Overall Objective – facilitate outstanding culturally competent public service while strengthening collaborator and community relations through effective leadership and accountability.

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

**A. WORKFORCE:**

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

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

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

The agency will address underutilization in FY 2021 by:

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

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

- Job analysis and skills audit.
- Conduct workforce planning and forecasting.
  - Integrate succession planning in the agency activities to develop a pipeline, facilitate a seamless transition and continuity of service.
  - Ensure that there will be a diverse applicant pool for the anticipated vacancies.

- Evaluate best sources for diverse candidates
- Encourage agency employees to take promotional civil service examinations.

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

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

*Additional Initiatives, Programs, or Comments:*

1. The DOT HR Analytics Team and Performance Management Team will continue building on its workforce diversity profile report using CEEDS data in conjunction with its own independent workforce analysis to review workforce demographics and to identify areas where underutilization exists within DOT. DOT has been looking at the composition of its various divisions, as well as drawing comparisons with broader industry and occupational demographics. DOT continues to utilize CEEDS, the Workforce Underutilization Report, and other Workforce Dashboard tools to establish a targeted plan to address underutilization and a working dialogue with Agency leaders and senior staff. DOT also worked diligently with Citywide EEO to make the CEEDS data even more useful with its discussions around new title mapping groups and adding work unit codes to the workforce composition data.

The 2020 Divisional Workforce Profile represents the Divisional Workforce as of the final Payroll of Calendar Year 2020 (December 24th, 2020). The report tracks the change in Workforce composition from the end of the previous year (final Payroll of 2019: December 27th, 2019). It provides a broad look at DOT's employees at the agency level and by division.

- 2. Structured Hiring Initiative: the EEO, Diversity & Inclusion (EDI) office, together with Human Resources and the Executive team, developed a comprehensive guide for Hiring Managers, and Personnel Coordinators to follow when seeking to fill a position. The guide includes detailed information starting with the basics of a structured interview and the steps to be taking pre-interview through post interview. While structured hiring is encouraged for all interviews, it is mandatory for the hiring of titles of interest.
- 3. Work closely with DOT Human Resources division to align diversity recruiting, internal candidate development, and equitable selection practices strategically with current employment needs.
- 4. Continue to encourage employees to participate in civil service exams to promote growth towards advancement.
- 5. The DOT Human Resources Division emails employees the DCAS Monthly Exam Schedule every month. HR continues to email civil service exam notices to the Agency Personnel Coordinators,

who in turn distribute the information to all of their division’s staff. Information on exams is also posted on DOT’s kiosks, bulletin boards, and intranet. Information is similarly passed on to those employees serving in the lower titles that are promotable.

- 6. Continue to reach out to non-traditional sources to generate applicant interest for underutilized titles.
- 7. Perform enhanced recruiting of Engineers due to demand and attrition in engineering titles. In addition to attending career fairs and holding info sessions at engineering schools, DOT also holds agency job fairs to recruit new graduates.
- 8. In addressing the impending retirement of employees, DOT Human Resources Division annually reviews the workforce with senior management to identify potentially qualified successors and to discuss the skill and competencies to be developed with training.

**B. WORKPLACE:**

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

The agency will take initiatives to create an inclusive work environment that values differences, and to maintain focus on retaining talent across all levels.

Promote employee involvement by supporting Employee Resource Groups (ERGs).

The agency will create a Diversity Council to leverage equity and inclusion programs.

In FY 2020, the agency conducted the following survey(s) to improve the recruitment, hiring, inclusion, retention and advancement of people in underrepresented groups:

- Engagement /Job Satisfaction/ Employee Morale Survey(s)
- Workplace Insight Survey for Exiting (WISE) Managers
- Exit interview or surveys developed by the agency

The agency will adopt in FY 2021 the following initiatives based on the analysis of the results of these survey(s):

- 1.
- 2.

*Additional Initiatives, Programs, or Comments:*

**DOT ERG Initiative:**

As mentioned above, in 2018, EDI invited DOT employees to attend an informational session to learn about DOT's newest Diversity & Inclusion initiative, Employee Resource Groups or ERGs. At the session, EDI explained that ERGs are employer-recognized group of employees who convene to collectively celebrate, promote, and advocate for professional development, cultural connections, diversity and inclusion, and to enhance engagement/morale in the workplace. It acknowledged that ERGs would be instrumental in helping DOT work toward its Strategic Diversity & Inclusion Goals of workforce diversity, workplace inclusion, and community understanding. EDI also told attendees that each ERG would be responsible for establishing its own mission, goals, and annual activities, which must align with DOT's strategic goals.

DOT's ERGs have been instrumental in helping DOT meet its diversity and inclusion goals. They recently partnered with the Commissioner and other senior leaders to discuss a wide variety of issues affecting employees, including but not limited to equity, structured hiring and promotions, training, Black Lives Matter, racial injustice and systemic oppression.

**Special Events for Cultural and Heritage Recognition:**

Throughout the calendar year, the EDI Office has scheduled different cultural and heritage events, including programming for Black History Month, Women's History Month, Asian American and Pacific Islander Heritage Month, LBGTQ+ Pride Month, Disability Pride and Disability Employment Awareness Month, and Hispanic Heritage Month. Some examples of events include book club, TED talks, museum trips, and panel discussions.

**DOT Future Leaders:**

In 2017, recognizing that the transportation and engineering fields, as well as the trades, are traditionally white male-dominated, and we see that often reflected in the Civil Service hiring process, DOT created the Future Leaders Program to specifically identify, nurture and promote a diverse cohort of employees from all divisions within the agency, with a particular focus on employees of color and women who might not ordinarily get exposure to agency leadership and the full range of agency functions and opportunities. This year-long fellowship provides 30 early to mid-career professionals from across every part of the agency the opportunity to develop networking, communication, and presentation skills and connect their work to the big picture. Deputy Director for Administration Lauren Antonelli organizes and leads events for the Future Leaders including guest speakers, panel discussions, interactive workshops, tours, and social events. Through conversations and interviews with your peers, Future Leaders will exchange ideas and experiences and ask questions to learn more about the inner workings of DOT. The program includes up to a month-long rotation in another agency division and culminates with group presentations to pitch an idea to senior staff. The Future Leaders program complements the variety of professional development opportunities that DOT already offers. Diversity is one of the factors considered in the selection of candidates.

**DOT Leadership Academy:**

Also, as mentioned above, in 2018, DOT created the Leadership Academy, a new program to help seasoned employees take stock of where they are and come away with some concrete plans and strategies for moving their career forward. Through self-assessment tools, skill building workshops, and panel discussions, participants will have the opportunity to meet members of the senior team and focus on how to best reach their career goals. The Leadership Academy is designed to complement the variety of professional development opportunities that DOT already offers. At the end of the program participants will write a plan for taking the next steps in their career. Diversity is one of the factors considered in the selection of candidates.

**Equity Working Group:**

COVID-19's disproportionate impact on historically disenfranchised communities, as well as the recent deaths of Black men and women during confrontations with law enforcement, have re-emphasized the need for open conversations around racial disparities and equity in all aspects of our society. Racial disparities and systematic racism are unfortunately, also a part of the present experiences of many members of the public, in their interactions with other government agencies throughout our nation, and this is particularly true for people of color.

Consequently, it is pivotal that the work that we do and decisions we make as the city's Department of Transportation (DOT) focus on promoting racial and social equity. The agency has several efforts underway to advance this goal, include three staff-level working groups; the Equity in Planning Working Group, led by Denise Ramirez, Strategic Planning Unit; Equity In Enforcement working group, led by Assistant Commissioner Kim Wiley-Schwartz, Safety Education and Outreach Unit; and the Equity in Infrastructure working group, led by Luis Gonzalez, Policy Unit . Each of these groups have a focused mission to address key areas of concern where policy change is needed.

These groups provide further opportunities for staff engagement and to cohesively communicate the sum total of these efforts back to staff.

- Agency Equity Initiatives
- Equity in Planning
- Equity in Enforcement
- Equity in Infrastructure

**Environmental Justice Interagency Working Group:**

Environmental Justice (EJ) refers to the principle that all people, regardless of race or socioeconomic background, have a right to live, work, and play in communities that are safe, healthy, and free of harmful environmental conditions. In order to advance environmental justice, New York City (City or NYC) must provide for the fair treatment and meaningful involvement of all New Yorkers in the development, implementation, and enforcement of environmental laws, regulations, policies, and activities.

Under the leadership of Mayor Bill de Blasio, the City has committed to environmental justice with nation-leading legislation to investigate historic and persistent environmental injustices and develop a plan to tackle these disparities. The legislation also aims to build equity and embed environmental justice into the fabric of the City's decision making.

The Environmental Justice program is centered on three main products, which include the delivery of an EJ study, portal, and plan. The EJ study will provide a comprehensive view of the present state of environmental justice in the City and inform the development and implementation of the remainder of the EJ program. The data and analysis from the EJ study will be used to create a public portal and mapping tool where New Yorkers can see what environmental justice looks like in their community. All of this work leads up to the creation of the City’s Environmental Justice Plan, which will identify possible citywide initiatives for promoting EJ and outline a set of discrete recommendations for better imbedding equity and environmental justice into the City’s decision making processes.

These products will be developed and implemented by three distinct teams, including the Mayor’s Office of Climate Policy & Programs (CPP), an Interagency Working Group comprised of staff from 18 City Agencies, and the Environmental Justice Advisory Board made up of nationally recognized EJ advocates and subject matter experts. DOT is one of the 18 agencies that comprise the Interagency Working Group. Denise Ramirez, Director, Strategic Planning Unit represents DOT at the Interagency Working Group. The staff from the Strategic Planning Unit (Jackson McNeil, Hilda Cardenas) are also part of several subcommittees tasked with developing the study.

**C. COMMUNITY:**

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

In FY 2021, the agency will:

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

*Additional Initiatives, Programs or Comments:*

**Street Ambassador Program**

In 2015, DOT launched the Street Ambassador Program to engage New Yorkers on their own terms. The unit is comprised of 10 multi-lingual public engagement specialists who develop outreach plans and provide support for DOT projects. Street Ambassadors target high-volume community locations to expand the public’s feedback and knowledge of DOT’s Street Improvement Projects.

Ambassadors go where New Yorkers go: bustling streets, schools, churches, libraries, senior centers, movie theaters, supermarkets, and shopping centers. This approach allows DOT to establish a presence that builds trust and transparency throughout the planning and implementation process.

The Street Ambassador Program is designed to be:

- **Equitable** - the program is intentional about hearing from everyone. We actively seek out underrepresented groups to make sure their voices are heard by coming to them and speaking in the language most comfortable to them. If a language is not spoken by the team, the Ambassadors work with DOT's Language Access Group to bring on an interpreter.
- **Flexible** – Ambassadors work on weekends, during morning rush, or at evening events to meet people on their own time. Weekend work is built in without the use of overtime by developing a staggered schedule. Half the team works Sunday through Thursday and the other half works Tuesday through Saturday. Early morning or evening events are accommodated by adjusting the shift hours.
- **Respectful** – we honor the time that busy New Yorkers are able to give us. Rather than making them come to a pre-set workshop or town hall, we come to their neighborhood and join their events.

As the department responded to the immediate needs and challenges presented by the pandemic, the Ambassadors pivoted to COVID priority projects. The team assisted in data cleaning for Open Streets, and established a photo review process for assessing roadway setups under the Open Restaurants program. This began with an intake system setup through Outlook, which eventually evolved into individual case support through ARTS. The team also assisted HIQA in completing on-site inspections, and trained an independent consultant to assist with photo reviews and first touch phone calls. These calls helped to orient restauranteurs in terms of what to expect, and established best practices for meeting the siting criteria prior to inspection. The team is currently helping restaurants meet the updated guidelines for winterization, while also participating in a Working Group tasked with creating definitive guidelines and language around the permanent Open Restaurants program.

The Ambassadors worked with Transit Development to gather feedback along Jamaica Ave, for a possible busway between Sutphin Blvd and 168th St. The team completed a merchant survey, a socially distanced shoppers survey, and placed flyers with QR survey links at bus stops along the corridor. This allowed the team to pilot revised protocols for conducting limited in person outreach, as well as remote data collection. The team established protocols that included decals spread 6ft apart for facilitated conversations, mandatory mask use for staff and respondents, contactless self-administered survey links, unidirectional material distribution, and PPE on site for translators and community partners. Data collected from the merchant phase of outreach was used in siting locations for the shopper phase that followed. The Ambassadors also partnered with the local bid to make introductions with the local merchants. We saw an increase in participation of

~20%. The promising results merit further study to establish its efficacy, but we plan to use this approach again on future merchant surveys slated for 2021.

### **Mobility Management Program**

The Mobility Management Program (MMP) coordinates and improves mobility for New Yorkers who have been historically excluded and underserved in the transportation planning process. This involves several methods, including:

- Developing resources and tools for NYC DOT staff and the community;
- Coordinating efforts within NYC DOT and the public;
- Identifying strategies to improve transportation services.

This comprehensive and strategic approach benefits the community and project managers by improving communication and collaboration between the agency and the community being served. Below are several examples of mobility management initiatives.

### **Education & Training**

In 2020, MMP completed the development of a guide and an e-learning module on accessible power point presentations. The guide and e-learning modules is available to NYC DOT staff for on-demand training. This training is helping to build capacity within DOT on how to create presentations that meet the needs of people with vision and cognitive disabilities, as well as those with low-literacy.

In February 2020, MMP partnered with the Disability Ally Initiative to provide sensitivity training to DOT outreach staff. The event focused on building understanding and communication skills with people who have a developmental disability.

In July 2020, the MMP hosted three webinars to celebrate the 30<sup>th</sup> anniversary of the ADA. The workshops were also instrumental in building capacity within DOT on the needs of people with disabilities. The webinars focused on:

- Traveling with vision loss in NYC - safely and independently
- Assistive technology and braille literacy
- Digital inclusion and meaningful public engagement

The MMP team also provided guidance to DOT staff on how to create accessible virtual meetings for people with disabilities and those with limited English proficiency. Due to the ongoing pandemic, DOT has hosted public meetings and workshops through virtual platforms. The MMP team is providing support to ensure that underserved community are not left out of the process.

### **Public Outreach**

In 2020, NYC DOT completed the travel study of low income and limited English proficient populations. The purpose of the survey is to understand the travel patterns, transportation challenges and priorities, and perceptions of these groups. The study also focused on public

engagement, seeking to understand how these communities would like to be engaged. The study is comprised of two parts: quantitative and qualitative research. The quantitative research involved the surveying of approximately 6,000 New Yorkers while the qualitative research portion concentrated on twelve focus groups with this population. The results of the study are being used to inform community outreach, project planning and development.

#### Mobility Management Resource Guide

In 2019, MMP began updating the Mobility Management Resource Guide. The Resource Guide is a one-stop shop for information on accessible transportation. The guide includes profiles of DOT's programs, services, and a visual guide of infrastructure improvements with a primary focus on traditionally underserved communities. The guide also includes information on transit services provided by other agencies, such as the Metropolitan Transportation Authority, the Port Authority of NY and NJ, Westchester Bee Line and Nassau County's NICE Bus. In 2020, staff completed the draft guide and began circulating for input. The guide will be released in early 2021.

#### Inclusive Public Participation with Older Adults and New Yorkers with Disabilities

The MMP team conducts outreach to non-profit organizations to provide information on DOT's accessible programs, including educating the public on Accessible Pedestrian Signals. Because of the ongoing pandemic, the outreach efforts have been limited to virtual outreach.

In January 2020, MMP presented at the Regional Adult Education Network (RAEN) Access event, focused on disability awareness & employment. The event was an opportunity to connect with Brooklyn residents and provide information on DOT's accessible programs.

In July 2020, MMP presented at VISIONS Summer Transition Program, virtual workshop. VISIONS is a non-profit organizations that serves people with vision disabilities. The Summer Transition Program focuses on high school youth; it prepares them to travel independently as they move on to college or employment. MMP provided information on NYC DOT's programs and how participants can tap into these programs.

In August 2020, MMP in conjunction with representatives from our Public Spaces and Safety Planning units collaborated participated in University without Walls and shared information on DOT's programs for older adults. University without Walls is an initiative of DOROT, a non-profit organization, which brings education to older adults via telephone. This was an opportunity for NYC DOT to connect with a demographic that we may not typically engage with.

#### Planning

##### Equity & Environmental Justice Study

NYC DOT is part of a citywide working group to develop an Equity & Environmental Justice (EJ) Study. The study, in response to local laws 60 and 64 of 2017, will provide a comprehensive view of the present state of environmental justice in New York City and inform the development and implementation of a plan. The study is led by the Mayor's Office for Climate Policy and Programs, supported by an advisory board made up of equity and EJ advocates, and a working group of 18 City agencies (including NYC DOT).

Proposed Activities for 2021 Annual Work Plan

The publication of the 2021 Mobility Management Resource Guide and the completion of the Equity & Environmental Justice Study.

**V. Recruitment**

**A. Recruitment Efforts**

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

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

- Review policies, procedures, and practices related to targeted outreach and recruitment.
- Review underutilization in job groups to inform recruitment efforts.
- Identify resources to bolster efforts aimed at increasing the effectiveness of diversity recruitment.
- Put in place an operating, up-to-date, accessible website, mobile application and social media presence related to EEO protection and rights.
- Currently in operation.
- Assess agency job postings to ensure appropriate diversity, inclusion, and equal opportunity employer messaging.
- Share job vacancy notices with the Mayor’s Office for People with Disabilities at [nycatwork@mopd.nyc.gov](mailto:nycatwork@mopd.nyc.gov), (212) 788-2830 and ACCES VR by sending the job vacancy notices to Maureen Anderson at [Maureen.Anderson@nysed.gov](mailto: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](mailto:citywiderecruitment@dcas.nyc.gov)
- If your agency is an eHire agency, post ALL vacancies on NYC Careers.
- Ensure that agency personnel involved in both the discretionary and the civil service hiring process have received:
  - Structured Interviewing training
  - Unconscious Bias training

- Assess recruitment efforts to determine whether such efforts adversely impact any particular group.

*Additional Strategies, Initiatives and Comments:*

In some titles where there is underutilization, we have reached out to non-traditional sources for applicants, including the following sources:

- Advancing Women In Transportation
- Society of Women Engineers
- LatPro-Latin Professionals
- CUNY Schools
- National Society of Black Engineers
- Society of Hispanic Professional Engineers
- Nontraditional Employment for Women (NEW)

In order to expand our diverse recruitment sources, all Agency job openings have been posted to the following websites:

- AfricanAmericanHires.com
- AllHispanicJobs.com
- ALLGBTJobs.com
- AsianHires.com
- DisabilityJobs.net
- DiversityJobs.com
- LatinoJobs.org
- VeteranJobs.net
- WeHireWomen.com

As part of the 2018 “Plan to Reduce Underrepresentation in Job Groups” is a recruitment plan in which HR, on a monthly basis, continue to distribute to relevant organizations DCAS-issued Notices of Examination for underrepresented titles. For these titles, HR will continue to post external Job Vacancy notices on multiple recruitment websites which target underrepresented populations. DOT’s Personnel staff will continue to attend job fairs at local colleges, as well as accessibility-related and veterans job fairs. If such efforts do not yield qualified diverse applicants, DOT will consider ways to adjust its approach to ensure additional qualified and diverse applicants. When pictures are used in recruitment advertisements, diversity will be displayed. All advertisements will include a statement that the City of New York and DOT are Equal Employment Employers. The Agency will endeavor to maintain and update a roster of recruitment sources which target underrepresented populations, and will, where possible, send posting notices for underrepresented titles to these organizations. Lastly, DOT will include the Mayor’s Office for People with Disabilities (which has access to DOT vacancies) as an important recruitment source for people with disabilities.

DOT emails all staff every discretionary job posting. Personnel Coordinators and Liaisons disseminate the postings to division employees without access to email, distribute to field locations, and post on location bulletin boards.

Diverse Recruitment Source(s)	What sort of return do you expect to see from the effort? Indicate if this source yielded sufficiently large and diverse applicant pools.
<p>1. 55-a Job Fairs</p> <p>2. DOT Engineering Job Fairs</p> <p>3. CUNY Schools</p> <p>4. Nontraditional Employment for Women (NEW)</p> <p>5. NYC Veterans Fairs</p>	<p>1. DOT expects to recruit individuals with disabilities. This source yielded an increased and diverse applicant pool.</p> <p><input checked="" type="checkbox"/> Previous hires from this source</p> <p>2. DOT expects to recruit diverse entry-level engineers. This source yielded an increased and diverse applicant pool.</p> <p><input checked="" type="checkbox"/> Previous hires from this source</p> <p>3. DOT expects to reach a diverse market of CUNY graduates for discretionary positions requiring college and/or graduate degrees. This source yielded an increased and diverse applicant pool.</p> <p><input checked="" type="checkbox"/> Previous hires from this source</p> <p>4. DOT expects to recruit more women for traditional male construction jobs. This source yielded an increased and diverse applicant pool.</p> <p><input type="checkbox"/> Previous hires from this source</p> <p>5. DOT expects to recruit more veterans. This source yielded an increased and diverse applicant pool.</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 2020 and their demographic profiles, based on self-ID data. Indicate your plans to provide internship/fellowship opportunities in FY 2021.

The agency provided the following internship opportunities in FY 2020:

<b>Type of Internship\Fellowship</b>	<b>Total</b>	<b>Race/Ethnicity *[#s] * Use self-ID data</b>	<b>Gender * [#s] * Use self-ID data</b>
1. Urban Fellows	3	Hispanic = 1 White = 2	M-2, F- 1, Non-Binary __ Other __ Unknown __
2. Public Service Fellows	6	Asian = 2 Unknown =2 White = 2	M- 2, F- 4, Non-Binary __ Other __ Unknown __
3. Summer College Interns	31	Asian = 15, Black = 5 Hispanic = 4, White = 7	M- 15, F- 16, Non-Binary __ Other __ Unknown __
4. Summer Graduate Interns	19	Asian = 6, Black = 1 Hispanic = 3, White = 9	M- 6, F- 13, Non-Binary __ Other __ Unknown __
5. College Aides	156	Asian = 51, Black = 23 Hispanic = 35, White = 46 Two or more races = 1	M- 89, F- 67, Non-Binary __ Other __ Unknown __
6. DYCD Interns	21	American Indian = 1 Asian = 4, Black = 10 Hispanic = 4, White = 1 Two or more races = 1	M- 12, F- 9
7. CUNY Service Corps	15	Asian = 1, Black = 2 Hispanic = 1 Unknown = 11	M- 3, F- 1 Unknown- 11

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

The agency will utilize the internship/fellowship programs to improve a pipeline of candidates from underutilized groups for entry-level positions, including in mission-critical occupations.

The agency has hired former interns/fellows.

The agency plans to provide internship/fellowship opportunities in FY 2021.

**Additional Comments:**

In FY 2020, the agency hired 3 Urban Fellows and an additional 5 NYC Public Service Fellows. DOT will participate in the next cohort of both Fellowship programs, if we receive Budget approval during FY 2021.

In FY 2021, DOT will recruit both College Aides and Summer Interns from local and regional schools, and via posting on the City’s website. In addition to participating in career fairs, DOT will also hold

agency-specific info sessions at CUNY schools in order to attract a diverse intern candidate pool. Provided we receive Budget approval, the agency will hire College Aides and Summer Interns during the last two quarters of FY 2021.

In FY 2020, the agency participated in the DYCD (Department of Youth and Community Development) Ladders for Leaders Program, the Intern & Earn Program, and the Transportation Career Mentoring Program. DOT will continue to participate in all three of these DYCD programs during FY 2021, provided DYCD offers them.

In FY 2021, if the agency's budget allows, DOT will also participate in the CUNY Service Corps Program, which focuses on undergraduate students from diverse academic, socioeconomic, and racial/ethnic backgrounds, while providing training and support services.

**C. 55-a Program**

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

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

DOT will publicize the availability of the program; ensure that all competitive job postings include the 55-a language; continue to participate on panels; and continue to participate in job fairs. The agency will also notify participants of promotional exams for which they are eligible.

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

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

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

Currently, there are 22 55-a participants.

There are 5 participants who have been in the program less than 2 years.

Last year, a total of 6 new applications for the program were received

and 3 participants left the program due to resignation (1) and retirement (2).

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

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

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

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

Based on the June 7, 2016, 55-a memorandum, issued by DCAS, the agency will carefully evaluate each request by longtime provisional employees for designation under § 55-a to serve non-competitively in a competitive title position to ensure that the request is not made solely to avoid the consequences of Civil Service Law § 65(3). In addition, the agency will reiterate to provisional staff that 55-a certification should not be used as a substitute for passing a civil service exam. The agency will encourage 55-a participants to take civil service examinations.

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

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

1. Publicizing the availability of the program
2. Ensuring that all competitive job postings include the 55-a language
3. Continuing to participate on panels
4. Continuing to participate in job fairs

These goals are the same as last year.

*Additional Goals, Initiatives, and Comments:*

**VI. Selection (Hiring and Promotion)**

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

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

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

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

*Additional Initiatives and Comments:*

In addition to all of the above tasks, conduct group info sessions on civil service and career development.

Promote citywide employee development programs, including all DCAS scholarship and award programs.

Post information on the agency's intranet regarding job openings, civil service exams, DCAS resources, agency training and professional development, and online learning and training.

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

In FY 2021, the agency will do the following:

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

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

*Additional Comments:*

In June 2018, DOT established a Promotion Review Committee (PRC) that is made up of the Executive Deputy Commissioner, the Chief Operations Officer (COO), the COO's Chief of Staff, the Commissioner's Chief of Staff, the Deputy Commissioner for Human Resources and Facilities Management, and the Assistant Commissioner for Equal Employment, Diversity and Inclusion. The PRC meets monthly to review all promotions for positions earning salaries of \$100,000 or more, considers and evaluates whether the promotions conform with agency policies and goals for a diverse and inclusive workforce, confirms that the promotions are equitable among staff with comparable job titles and functions across divisions, and certifies that the cost of the promotions are covered within the agency's budget.

In September 2020, DOT brought in and outside vendor who delivered a mandatory Racial Bias Training to the agency's top 247 managers and supervisors. The objectives of this interactive three-hour program were to address the impact of race in the workplace, understand and prevent micro-aggressions, and learn ways to build an inclusive organization. We will endeavor to provide this training to even more supervisors, hiring managers, and personnel liaisons during this fiscal year. This training is one of many steps that DOT will be taking to address concerns of racial bias, not only during the hiring process but in all aspects of the workplace.

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

During FY 2021, the agency will do the following:

- Engage in a collaborative effort between EEO, HR and managers where necessary, develop action plans to eliminate identified barriers.
- Recommend specific, job-related qualification standards for each position that reflect the duties, functions, and competencies of the position and minimize the potential for gender stereotyping and other unlawful discrimination. Make sure these standards are consistently applied when choosing among candidates.
- Consult with EEO in creating/reviewing objective criteria for evaluating candidates for hire or promotion and applying those criteria consistently to all candidates.
- In conducting job interviews, ensure nondiscriminatory treatment by conducting a structured interview, where the same questions are asked of all applicants for a particular job or category of job and inquiring about matters directly related to the position in question.

- Use a diverse panel of interviewers to conduct the interview.
- Consult with the EEO Officer to review the interview questions.
- Where possible, include the EEO Officer as an observer of interviews with applicants.
- Use the NYCAPS eHire applicant tracking system for external and internal applicants.
- Monitor the results of action plans for any changes in the agency workforce including increases or decreases in applications of qualified applicants and selection rates.

*Additional Comments:*

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

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

*Additional Comments:*

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

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

**PRE-SELECTION:**

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

**POST-SELECTION:**

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

*Additional Comments:*

The EEO, Diversity and Inclusion (EDI) office, together with the Human Resources and the Executive team, developed a comprehensive guide for Hiring Managers and Personnel Coordinators to follow when seeking to fill a position. This includes:

- The Basics of Structured Interviewing
- Pre-Interview Hiring Requirements
- The Structured Interview
- Post-Interview Hiring Requirements
- Unconscious Bias
- Governing EEO Laws

Starting in 2020, HR advised divisions personnel coordinators to begin entering interview information in NYCAPs, as required by all city agencies. This enables HR and EDI to evaluate the interview process.

Oversight at resume selection stage:

- Review by HR and EDI of resumes selected
- HR will hold hiring process if upon review there are candidates who are not qualified but are selected for interviews or if diverse and qualified candidates are not selected for an interview but based on a review of their resume they are determined to be otherwise qualified for the position sought. Will also confirm interview panels are compliant with the Structured Hiring Guidelines.
- EDI will approve interview questions. Will perform advisory role and will conduct post-audit review.

Oversight at Interviews and Candidate Selection

- Review by HR and EDI after first (and subsequent) round interviews.
- HR will hold hiring process if upon review rating sheets from each round of interviews are not satisfactory and if applicants advancing are not otherwise qualified for the position sought.
- EDI will perform advisory role and will conduct post-audit review.
- Review by HR and EDI for final selection.
- HR will hold hiring process if rating sheets are not satisfactory and if final selection process did not follow Structured Hiring Guidelines.
- EDI will perform advisory role and will conduct post-audit review.

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

- The agency will use the DCAS Layoff Procedure as guidance, should there be any layoffs, terminations and demotions due to legitimate business/operational reasons in FY 2021.
- The agency will analyze the impact of layoffs or terminations on racial, gender, age groups, and people with disabilities.
- Where layoffs or terminations would have a disproportionate impact on any of these groups, the agency will document that the targeted titles or programs were selected based on objective criteria and justified by business necessity.

The Agency Personnel Officer, EEO Officer and General Counsel will be involved in making layoff or termination decisions. It should be noted that layoffs must be conducted by seniority in compliance with civil service law (for competitive titles) and union contract (for non-competitive and labor class titles).

**VII. Training**

Training Topic	Type of Audience (e.g. All Staff, Front-line Employees, Managers, Supervisors, etc.)	Target Number of Participants	Targeted Dates
1. EEO Awareness (e-learning)	Office	3947	FY 2021
2. EEO Awareness (classroom)	Field	1755	FY 2021
3. Everybody Matters (D&I) (e-learning)	Managers Supervisors	936	FY 2021
4. Everybody Matters (D&I) (classroom)	Managers Supervisors	49	FY 2021
5. Sexual Harassment Prevention (e-learning)	All employees	3947	FY 2021
6. Sexual Harassment Prevention (classroom)	All employees	1755	FY 2021
7. lgbTq – Power of Inclusion (e-learning)	Managers, Supervisors, and Front-line employees  All other employees	1459	FY 2021
8. lgbTq – Power of Inclusion (classroom)	Managers, Supervisors, and Front-line employees  All other employees	418	FY 2021
9. Disability Etiquette	EEO Liaisons; Personnel Coordinators	65	FY 2021
10. Structured Interviewing and Unconscious Bias (classroom)	All DOT staff who serve on interview panels	1101	FY 2021
11. Other (specify) Racial Bias	Managers, Supervisors	247	FY 2021
12. Other (specify)			FY 2021

**VIII. Reasonable Accommodation**

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

- Managers, supervisors, human resources personnel and discipline personnel are required to report to the EEO Office any reasonable accommodation requests and needs that are received, observed, learned about or suspected, so that the EEO Office may facilitate discussions, research appropriate accommodations, and assist with the resolution of the matter.
- The agency provides reasonable accommodation for disability, religion, victims of domestic violence, sex offense and stalking, pregnancy, childbirth or a related medical condition.
- The agency follows the City’s Reasonable Accommodation Procedure.
- The agency grants or denies request 30 days after submission or as soon as possible.
- The agency head or designee must review and grant or deny the appeal fifteen (15) days after submission of appeal.
- If the review and decision on appeal is NOT by the Agency Head, please provide the name and title of the designee<sup>1</sup> : Joseph Jarrin, EDC.
- The agency will input the Reasonable Accommodation activity on the DCAS Citywide Complaint and Reasonable Accommodation (CAD) Database and update the information as needed.
- The agency analyzes the reasonable accommodation data and trends.
- The agency has posted/will circulate the *Reasonable Accommodations at a Glance* sheet for the workforce.

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

<sup>1</sup> EEO Officer and General Counsel should **NOT** be appointed as agency head designee for review of appeals to reasonable accommodation decisions. Refer to the revised guidelines below. Note the conflict of interest; in the event of an external challenge to the denial of a reasonable accommodation, the agency’s General Counsel would be tasked with defending the agency against a decision in which that office was a decision maker on appeal.

<http://extranet.dcas.nycnet/eoo/diversityeoo/media/19647/reasonable-accommodation-procedural-guidelines-lc-12116.pdf> (p17).

DOT provides reasonable accommodations to qualified persons with disabilities, with requests for religious observances and practices, with pregnancy, childbirth, or medical conditions related to pregnancy and for victims of domestic violence, sex offenses or stalking, unless providing such accommodations will create an undue hardship.

The reasonable accommodation process is flexible and interactive, involving DOT representatives who are necessary to the reasonable accommodation process and the individual who is requesting a reasonable accommodation. In all instances, the DOT's Assistant Commissioner of EEO, Diversity & Inclusion, facilitates the interactive process/cooperative dialogue, researches appropriate accommodations and assists in the resolution of the matter.

DOT ensures the confidentiality of medical records submitted with the reasonable accommodation requests. Such information must be collected and maintained on separate forms, and in separate medical files, apart from other personnel data. DOT may disclose medical information only in the following circumstances: (1) to first-aid personnel, if the disability might require emergency treatment; (2) to government officials investigating the agency's compliance with applicable laws; (3) to workers' compensation offices in accordance with Workers' Compensation Law; and (4) for insurance purposes. Moreover, managers and supervisors may be informed of an employee's necessary work restrictions and any accommodations required.

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

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

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

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

*Additional Comments:*

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

<input type="checkbox"/> The agency plans to train <u>all</u> new employees on Sexual Harassment Prevention within 30 days of start date.  <input checked="" type="checkbox"/> The agency will train <u>all</u> current employees on Sexual Harassment Prevention (Cycle 3) as indicated in the Section VII Training above.
<i>Additional Comments:</i>

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

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

**D. Local Law 101 (2018): Climate Survey**

<p>The agency, in collaboration with DCAS, will conduct a climate survey in FY 2021 by proceeding to do the following:</p> <input checked="" type="checkbox"/> Distribute questionnaire electronically to agency employees. <input checked="" type="checkbox"/> Designate computers with internet/intranet access to enable employees without computers or internet/intranet access to complete survey during work hours. <input checked="" type="checkbox"/> Analyze results of the response data sent by DCAS. <input checked="" type="checkbox"/> Continue to implement initiatives identified in the 2018 Climate Survey Action Plan which was submitted to DCAS and reported to City Council Speaker in 2020.
<i>Additional Comments:</i>

**X. Audits and Corrective Measures:**

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

- The agency is NOT involved in an audit conducted by NYC EEPC or another governmental agency specific to our EEO practices.
- The agency is currently being audited or preparing responses to an audit conducted by the EEPC or \_\_\_\_\_ **[another governmental agency – please specify]** specific to our EEO practices. **Upon forwarding our responses to the recommendations issued by the EEPC, the agency will submit to OCEI an amendment letter, which shall amend the agency plan for FY 2021 to include and implement EEPC recommendations that will be implemented during the fiscal year.**
- The agency is subject to any other oversight or review by a federal, state or city civil rights agency [please specify \_\_\_\_\_].  
**Please attach a copy of the document setting out the oversight parameters and the agency’s most recent report to the oversight agency.**
- Within the last two years the agency was involved in an audit conducted by the EEPC or \_\_\_\_\_ **[another governmental agency – please specify]** specific to our EEO practices.
- The agency will continue/be required to implement measures during the year that this plan is in effect (please attach a copy of the audit findings.)
- The agency received a Certificate of Compliance from the auditing agency.  
**Please attach a copy of the Certificate of Compliance from the auditing agency.**

XI. Agency Head Signature

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

Henry B. Gutman

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Print Name of Agency Head



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Signature of Agency Head

8/30/2021

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Date

**APPENDIX**

Contact Information for Agency EEO Personnel

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

1. Agency EEO Officer  
James Hallman  
Assistant Commissioner of EEO, Diversity and Inclusion  
59 Maiden Lane  
New York, NY 10041  
(212) 839-6603  
[jhallman@dot.nyc.gov](mailto:jhallman@dot.nyc.gov)
  
2. Deputy EEO Officer  
Benjamin Graham  
59 Maiden Lane  
New York, NY 10041  
(212) 839-6605  
[bgraham1@dot.nyc.gov](mailto:bgraham1@dot.nyc.gov)
  
3. Disability Rights Coordinator  
James Hallman (Same as above)
  
4. (Interim) ADA Coordinator  
Denise Ramirez  
(212) 839-6995  
[Dramirez1@dot.nyc.gov](mailto:Dramirez1@dot.nyc.gov)
  
5. Disability Services Facilitator  
Vacant
  
6. 55-a Coordinator  
Lianne Palacios  
Deputy Director of Personnel  
55 Water Street, 8<sup>th</sup> Floor  
New York, NY 10041  
(212) 839-9516  
[lpalacios@dot.nyc.gov](mailto:lpalacios@dot.nyc.gov)
  
7. Career Counselor(s)  
Peter Scavetta

Associate Director of Personnel  
55 Water Street, 8<sup>th</sup> Floor  
New York, NY 10041  
(212) 839-9452  
[pscavetta@dot.nyc.gov](mailto:pscavetta@dot.nyc.gov)

8. Training Liaison(s)

Wanda Clyde  
Training Coordination Supervisors | Training and Development  
55 Water Street, 8th Floor  
New York, NY 10041  
(212) 839-2241  
[wclyde@dot.nyc.gov](mailto:wclyde@dot.nyc.gov)

Paulette Fields  
Administrative Manager | Training and Development  
55 Water Street, 8th Floor  
New York, NY 10041  
(212) 839-2252  
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