

NYC DEPARTMENT OF RECORDS AND INFORMATION SERVICES
DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY PLAN
FISCAL YEAR 2022

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

As the Commissioner of the Department of Records and Information Services (DORIS), I remain fully committed to ensuring fair employment practices at the agency. The senior staff and I are familiar with the provisions of, and the obligations set forth in, both the City Charter and the City's Equal Employment Opportunity Policy ("EEO"). We are committed to developing a diverse and inclusive workforce that reflects the City's population.

I expect all managers and supervisors to actively promote work environments based on equity, inclusion, and respect for all. Our goal is for employees, present and future, to view DORIS as a model employer.

I am committed to ensuring that DORIS does not discriminate against employees or applicants for employment in any manner prohibited by federal, state and/or local laws. Our agency EEO program contains the following requirements:

Managers and supervisors must conduct documented meetings with staff, at least once each year, to reaffirm their commitment to the agency's EEO policy and to discuss the right of employees to file EEO complaints with the Department's EEO officer and/or EEO counselors or with outside entities.

All staff involved in conducting employment interviews must review structured interviewing material prepared by the Chief Citywide Equity and Inclusion Officer and the agency's EEO Officer.

All staff should be aware of the identities of the agency's EEO personnel and how to contact them.

- LaTonya Jones, Director of Community and External Affairs, is the agency EEO Officer. Her office is located at 31 Chambers Street, Suite 305. Her telephone number is 212-341-6022 and her email is lcjones@records.nyc.gov.
- The agency's EEO Counselors are as follows: Julie Chau, Michael Lorenzini and Urmi Udeshi. All are located at 31 Chambers Street and Michael Lorenzini visits the Queens and Brooklyn warehouses on a regular basis. Contact information is: wchau@records.nyc.gov/212-788-8619; mlorenzini@records.nyc.gov/212-788-8576; and uudeshi@records.nyc.gov/212-788-8634.
- Naomi Pacheco, Director of Administration, who is familiar with employment opportunities, is the agency Career Counselor and will provide career counseling to employees who request it. She is also the disability rights coordinator. Her office is located at 31 Chambers Street, Suite 304. Her telephone number is 212-788-8622 and her email is napacheco@records.nyc.gov. Employees interested in receiving counseling should contact her to make an appointment.

I encourage all employees to access the EEO resources available at DORIS, including materials accessible on the agency's intranet. Please contact LaTonya Jones with any concerns or questions you may have.

This statement is the same as last year.

II. Recognition and Accomplishments

Describe below key initiatives and accomplishments that your agency undertook last fiscal year (2021) to advance Equal Employment Opportunity, Equity, Diversity, and Inclusion; for example, completing training goals, introducing new equity programs, or launching employee resource groups. Use the Additional Comments section to list more than five items.

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

1. The agency's Quality of Work Life Committee organized virtual agency events regularly over the past year, including a monthly social hour and agency book club.
2. The agency held a training day on December 16, 2020 and part of December 23, 2020, which included an all-staff meeting, self-guided completion of the Sexual Harassment Prevention computer-based training, Department of Investigation training, cross-training presentations, Right to Know training, and division updates.
3. Conducted outreach to agency consultants and contractors who met the requirements of an MWBE to engage them around certification.
4. The EEO Officer required that all senior staff members complete a disability awareness training in FY 2021 and provided links to relevant training opportunities offered throughout the year.

The agency recognizes employees, supervisors, managers, and agency units demonstrating superior accomplishment in diversity, equity, 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 2022.

Additional Comments:

III. Workforce Review and Analysis

Please provide the total agency headcount as of 6/30/2021

Total Headcount: 62

Please provide the number of employees whose Race/Eth and/or Gender is 'Unknown'

Race/Ethnicity: 2 Gender: 0 Both R/E and Gender: 2

(These figures are available on the total line for your agency in the EBEP210 CEEDS report)

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 2022, 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 Employee Self Service (by email; strongly recommended every year)
- Agency's intranet site
- Newsletters and internal Agency Publications
- On-boarding of new employees
- Employees unable to complete the self-identification form using ESS will be provided an opportunity to submit paper form to the EEO Office.
- In FY 2022, the agency will inform and remind employees of the option to add preferred name in ESS.

Additional Comments:

2. Describe the review process of the quarterly CEEDS reports on workforce composition, utilization, and 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 to reduce/eliminate underutilization.

- 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
Agency Head	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
Human Resources	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
General Counsel	<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____

Other (Agency Attorney)	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
<p><input checked="" type="checkbox"/> The agency review entails a discussion concerning perceived workplace barriers for job groups that may surface in underutilization reports and factors that may be creating these barriers (e.g., hiring patterns in specific job titles).</p> <p><input checked="" type="checkbox"/> 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.</p>	
<p><i>Additional Comments:</i></p> <p>The agency attorney, Administrative Personnel Officer, and EEO Officer meet once a month to review overlapping concerns and the agency's overall effort to implement best practices around HR and EEO. The EEO Officer circulates workforce statistics to the agency head, agency attorney, and HR administrator for review on a quarterly basis. The EEO Officer also meets weekly with the agency head.</p>	

IV. EEO, Diversity, Inclusion, and Equity Initiatives for FY 2022

1. Proactive Strategies to Enhance Diversity, Equity, Inclusion and EEO in areas of Workforce, Workplace, and Community.

State below the central goals of your strategy for FY 2022 focused on promoting equity, increasing diversity, assuring equal employment opportunity, and enhancing the value of inclusion at your agency. Categorize your goals according to the strategic area targeted. Workforce goals are directed at the composition of your workforce, recruitment, retention, promotion, and professional development. Workplace goals have to do with inclusion, workplace culture, and employee activities. Community goals are directed at the external environment of your agency: the public and entities served by the agency. Describe special initiatives to enhance equity and focus on race relations in item 4.

1. Workforce:

The agency will continue to offer expanded training opportunities aimed at improving staff skills, particularly in agency diversity and inclusion goals. In FY 2021 and 2022, the EEO officer identified trainings for senior staff to complete (including disability awareness and managing 5 generations, respectively) in order to build relevant managerial skills for a diverse and inclusive environment.

In FY 2021, the agency launched a LinkedIn site to aid in expanding, more equitable recruitment. The agency will continue to engage potential employees and partner organizations as part of an outreach effort.

2. Workplace:

In FY2021, the agency made a commitment to improving conditions at each of its three worksites, including the renovation of existing workspaces, installation of new workspaces at an existing facility, and the relocation of staff and the collections of the Municipal Archives to a new state-of-the-art, climate-controlled facility. These renovations continue at our Queens warehouse.

The QWL Committee continues to plan optional activities for all staff, including a bi-monthly book club.

The agency is holding all-staff events throughout the year, including an all-staff meeting in October 2021 and a training day in December 2021. The all-staff meetings allow staff members from across each division to meet, discuss agency issues, and offer recommendations or observations of existing challenges and strengths. The training day included the completion of an Intro to Equity and Inclusion course.

The agency circulated training opportunities to staff related to their work functions, coping with stress, managing change, and communication, including wellness offerings from WorkWell NYC and the Mayor’s Office of Appointments.

3. Community:

The agency will build on outreach efforts to various communities in the five boroughs, including the continuation of the Womens Activism NYC and Neighborhood Stories projects – which have transitioned to virtual formats. The agency is also working to expand its collaborations with local K-12 schools by adding curriculum aids to its website for use by educators, partnering with local schools to participate in the campaign to gather 20,000 stories of inspiring women in the digital archive, and providing virtual tours of our Brooklyn Bridge materials to elementary students. In this effort, the agency has engaged interns for educational and community outreach projects through the following programs: CUNY Service Corp, Futures and Options, and PENCIL. The agency has also engaged a Volunteer Outreach Coordinator and Educational Outreach Coordinator to work on the above projects, through the NYC Service AmeriCorps program. Through the work of the AmeriCorps members and the expanding volunteer program, the agency is continuing to recruit people to be interviewed as part of the personal story project or WomensActivism.NYC digital archive. The agency has also recruited community members for two new volunteer opportunities on the agency’s educational initiative and September 11th risers transcription project. In addition, one of the agency’s advisory boards is developing a curriculum aid on pandemics and content on neighborhoods.

4. Equity and Race Relations Initiatives:

The agency regularly shares available trainings and or discussions related to equity and race relations with staff and encourages all to participate. Moreover, at the agency’s December 2021 all-staff training day, staff will be required to complete Workwell’s Intro to Equity and Inclusion workshop. In addition, the EEO Officer regularly attends trainings and conferences to build on agency best practices on equity and race relations initiatives, including the three-part equity series being held by DCAS REI and LeadNYC in November and December 2021.

2. Describe the ongoing and new programs, actions, and initiatives planned for FY 2022, which are aimed toward 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 actions and initiatives 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 limited to the EEO Office.

The agency will address underutilization in FY 2022 by:

- Expanding internal and external applicant pools to address the underutilization through outreach strategies for broader recruitment.
- Launching outreach efforts to inform and encourage applications for the upcoming civil service examinations.
- 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:
 - Integrate succession planning in the agency activities to develop a pipeline, facilitate a seamless transition and continuity of service, especially for critical managerial positions.
 - 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.
- Implement initiatives to improve the personal and professional development of employees.
- Conduct assessment to ensure pay and promotions are equitable.

Describe specific actions designed to enhance equity:

The agency is requiring all staff to take the Intro to Equity and Inclusion training offered by Workwell.

Additional Initiatives, Programs, or Comments:

The agency has proposed revisions to the title specifications for the civil service title series that a large proportion of DORIS employees are in. The changes recognize an increased use of technology skills in these titles.

B. WORKPLACE:

In addition to the strategic goals above, please indicate here specific actions and initiatives 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).

List below the names of existing ERGs:

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

Agency Diversity Council is in existence and active.

Agency will sponsor focus groups, Town Halls and learning events on race, equity, and inclusion.

Agency will actively inform employees of their rights and protections under the New York City EEO Policy.

Agency will keep employees informed of the EEO complaint and reasonable accommodation processes and circulates *DCAS EEO Complaint Procedural Guidelines and Reasonable Accommodations Procedural Guidelines*.

Agency will ensure that its workplaces post anti-hate or anti-discrimination posters.

In FY 2021, 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

Other (specify): _____

The agency will adopt in FY 2022 the following initiatives based on the analysis of the results of these survey(s):

- 1.
- 2.

Describe specific actions designed to enhance equity and initiatives to address race relations in the agency:

The agency will continue to seek out and share relevant workshops and training opportunities offered by other agencies, including the Department of Citywide Administrative Services, Workwell, and the Commission on Human Rights, among others, with all agency staff.

Additional Initiatives, Programs, or Comments:

Based on the responses most people left for higher salaries offered in the private sector or better quality of life such as teleworking or moving out of state.

C. COMMUNITY:

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

In FY 2022, 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.
- Expand language services for the public.

Describe specific actions designed to enhance equity:

In October 2021, the agency opened a second facility in Sunset Park, Brooklyn, which also provides reference services to the public. The agency plans to engage with neighborhood residents by offering programs of interest.

Regarding Minority/Women Business Enterprise (MWBE) outreach, the agency is working with MWBE vendors to educate them on the need to register and get acclimated in Passport to respond to and win bids through the platform. The agency will also be leveraging a network of other local government LGRMIF grant recipients to conduct joint-outreach to NY-State certified MWBE archival supply vendors to get them City MWBE certification.

Additional Initiatives, Programs or Comments:

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 2022:

- Review policies, procedures, and practices related to targeted outreach and recruitment.
- Utilize Inclusive Recruitment Guide Issued by the Office of Citywide Equity and Inclusion to develop strategic recruitment plans.
- 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 new diversity, inclusion, and equal opportunity employer messaging is included.
- 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
 - Everybody Matters EEO and Diversity and Inclusion Training
- Assess recruitment efforts to determine whether such efforts adversely impact any particular group.

Additional Strategies, Initiatives and Comments:

The EEO Officer works closely with the HR Administrator to ensure that staff involved on hiring panels has received required training in Equal Employment Opportunity practices, structured interviewing and unconscious bias.

B. Recruitment Sources

Diverse Recruitment Source(s)	What sort of return do you expect to see from the effort? Indicate if this source yielded diverse applicant pools.
1. Mayor's Office for People with Disabilities	1. The agency expects to see greater diversity amongst the pool of applicants, candidates interviewed, and ultimately hires. <input type="checkbox"/> Previous hires from this source
2. Society of American Archives- Archives and Archivists of Color	2. The agency expects to see greater diversity amongst the pool of applicants, candidates interviewed, and ultimately hires. <input type="checkbox"/> Previous hires from this source
3. Society of American Archives - Latin American and Caribbean Cultural Heritage Archives (LACCHA)	3. The agency expects to see greater diversity amongst the pool of applicants, candidates interviewed, and ultimately hires. <input type="checkbox"/> Previous hires from this source
4. Society of American Archives - Native American Archives Roundtable	4. The agency expects to see greater diversity amongst the pool of applicants, candidates interviewed, and ultimately hires. <input type="checkbox"/> Previous hires from this source
Online listings and list services targeting various communities, including ARMA International website, Simmons College, Long Island University, CUNY placement offices, the Queens College Library School list and historically black colleges and universities. 5.	6. The agency expects to see greater diversity amongst the pool of applicants, candidates interviewed, and ultimately hires. <input checked="" type="checkbox"/> Previous hires from this source

C. Internships/Fellowships

Indicate the type of internship/fellowship opportunities available at your agency. Please provide the number of student interns/fellows employed in FY 2021 and their demographic profiles, based on self-ID data. Indicate your plans to provide internship/fellowship opportunities in FY 2022.

The agency provided the following internship opportunities in FY 2021:

Type of Internship\Fellowship	Total	Race/Ethnicity *[#s] * Use self-ID data	Gender * [#s] * Use self-ID data
1. Urban Fellows			M __ F__ Non-Binary __ Other __ Unknown __
2. Public Service Corps	1	1 Unknown	M __ F_1_ Non-Binary __ Other __ Unknown __
3. Summer College Interns	1	1 Black	M_1_ F__ Non-Binary __ Other __ Unknown __
4. Summer Graduate Interns Law School Interns	2	2 Unknown	M_1_ F_1_ Non-Binary __ Other __ Unknown __
5. Other (specify): CUNY Service Corp Futures and Options AmeriCorps	14	14 Unknown	M __ F_13_ Non-Binary __ Other __ Unknown_1_

* 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 2022.

Additional Comments:

D. 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.

The 55A Coordinator is the agency's Administrative Personnel Officer and involved in coordinating all aspects of the agency's recruitment process. The agency will continue to assess potential recruitment opportunities for 55A with future job vacancies and staff promotions.

- Agency uses mostly non-competitive titles which are not eligible for the 55-a Program.
- Agency does not use the 55-a Program and has no participating employees.

2. Indicate the goals of your 55-a Program Coordinator for FY 2022. 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 2022.

Currently, there are 0 [number] 55-a participants.

There are 0 [number] participants who have been in the program less than 2 years.

Last year, a total of 0 [number] new applications for the program were received and 0 participants left the program due to [state reasons] _____.

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

There hasn't been a direct initiative taken to hire 55-a employees.

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

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. Develop a recruitment strategy for the 55-a program at DORIS
2. Educate hiring panel members on the 55-a programs
3. Identify additional organizations that can aid in the 55-a candidate recruitment and add them to distribution list for postings.

These goals are the same as last year.

Additional Goals, Initiatives, and Comments:

In FY 2021, the agency had very few hiring opportunities. In FY 2022, there are more positions being filled and the 55-A coordinator will ensure that all agency postings are circulated to the Mayor's Office for People with Disabilities and additional resources, as identified.

VI. Selection (Hiring and Promotion)

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

A. Career Counselors

For FY 2022, 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) about advising employees of opportunities for promotion as well as overall career development.

In FY 2022, 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:

The HR Administrator offers weekly open office hours, in addition to by-appointment meetings – to discuss staff concerns, goals, and needs regarding their careers.

B. New Hires and Promotions

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

In FY 2022, the agency will do the following:

- Review, revise and/or develop a protocol for in-title promotions and salary increases.
 - Promotion and salary increase protocol in existence.
 - Assess the criteria for selecting/promoting 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.
- Compare the demographics of current employees to the placements.
- Ensure promotion justification is included in all promotion requests.

Review and analyze the demographics race\ethnicity and gender for those who received the promotion\salary raises to ensure such practices are equitable.

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

- 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:

C. Selection Process

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

During FY 2022, the agency will do the following:

- 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.
- Engage in a collaborative effort between EEO, HR and managers where necessary, develop action plans to eliminate identified barriers.
- 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.
- EEO Officer is asked to review the interview questions.

Additional Comments:

D. Review of Hiring, Promotion and selection Practices

For FY 2022, 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.
 - Ensure hiring panels are composed of staff from diverse backgrounds (e.g., diversity based on experience, gender, age, race and ethnicity).
- 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:

E. EEO Role in Hiring and Selection Process

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

In FY 2022, 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.
- EEO reviews vacancy postings to ensure elimination of language that has the potential for gender stereotyping and other unlawful discrimination. (It is recommended to use gender-neutral terms and pronouns).
- Actively monitor agency job postings.
- Ensure all job postings include updated EEO Employer statement released in 2021.
- EEO is consulted regarding creation/review of objective criteria for evaluating candidates for hire or promotion and applying those criteria consistently to all candidates.
- 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.
- Advise Human Resources in the development of a comprehensive guide for hiring managers.
- Assist the hiring manager if a reasonable accommodation is requested during the interview.
- Observe interviews, when necessary, especially for underutilized job titles and/or mid- and high-level discretionary positions.
- Advise Human Resources to use candidate evaluation form for uniform assessment and equity.
- 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.

- Perform advisory role to Human Resources in the selection process and conduct post-audit review.
- Review hiring package to evaluate that the selection process was conducted in accordance with EEO best practices.
- Other: _____

Additional Comments:

F. Layoffs

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

Please refer to **Section IX** to ensure the agency complies with training requirements under local laws and Executive Orders.

Training Topic	Type of Audience (e.g. All Staff, Front-line Employees, Managers, Supervisors, etc.)	Target Number of Participants	Targeted Dates
1. Everybody Matters – EEO and Diversity & Inclusion (e-learning)		62	
2. Everybody Matters – EEO and Diversity and Inclusion (classroom/live webinar)			
3. Sexual Harassment Prevention (e-learning)	All employees	75	
4. Sexual Harassment Prevention (classroom/live webinar)			
5. lgbTq – Power of Inclusion (e-learning)	Managers, Supervisors, and Front-line employees All other employees	62	
6. lgbTq – Power of Inclusion (classroom/live webinar)	Managers, Supervisors, and Front-line employees All other employees		
7. Disability Etiquette		5	
8. Structured Interviewing and Unconscious Bias (classroom/live webinar)			
9. Other (specify)			
10. Other (specify)			

VIII. Reasonable Accommodation

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

- 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.
- Absent any undue hardship, 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 done by the Agency Head.
Provide the name and title of the designee¹ : _____
- The designee reports directly to the Agency Head.
- 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.

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

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

- The agency has posted/will circulate the *Reasonable Accommodations at a Glance* sheet for the workforce.

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

The agency's reasonable accommodation requests are made to the agency's EEO Officer, who subsequently meets with the staff member to discuss the request. The EEO Officer will meet with the staff member's supervision and HR (as needed) to assess any hardship to the agency. Appeals for reasonable accommodations are reviewed by the agency head.

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 within the last two years.
- 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:

In the agency's new Sunset Park space, the rest rooms are gender neutral and are designated for "staff" or "researchers."

B. Executive Order 59: Chief Diversity Officer/Chief MWBE Officer

Under Executive Order No. 59 of 2020, all agencies shall appoint a Chief Diversity Officer/Chief MWBE Officer, with the appropriate experience and knowledge to oversee the agency's MWBE program, to report directly to the agency head. Agency heads shall ensure internal candidates are considered for the Chief Diversity Officer/Chief MWBE Officer.

- The agency appointed a Chief Diversity Officer/ Chief MWBE Officer by August 28, 2020.

Provide the name and title of the Chief MWBE Officer : _Lisa Velasquez_____

Additional Comments:

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.
- The agency will train all current employees on Sexual Harassment Prevention (Cycle 4 – September 1, 2021 – August 31, 2022) as indicated in the Section VII Training above.

Additional Comments:

D. Local Law 97 (2018): Annual Sexual Harassment and Complaint Reporting

- The agency will input sexual harassment complaint data on the DCAS Citywide Complaint and Reasonable Accommodation (CAD) Database, contemporaneously update the information, and affirm the data in a timely manner when requested by DCAS.
- The agency will input **all types of complaint** data on the DCAS Citywide Complaint and Reasonable Accommodation (CAD) Database, contemporaneously update the information, and affirm the data in a timely manner when requested by DCAS.
- The agency will ensure that sexual harassment complaints are closed within 90 days.
- The agency will ensure that all other complaints are closed within 90 days.

Additional Comments:

The agency has not received any sexual harassment complaints.

E. Local Law 101 (2018): Climate Survey

The agency, in collaboration with DCAS, conducted a climate survey in FY 2021 and will proceed to do the following in FY 2022:

- 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.
- Analyze FY 2021 survey data once provided by DCAS.
- Develop an Action Plan to address concerns raised in the FY 2021 Climate Survey and submit it to DCAS by July 31, 2022. *[Further guidance will be provided to agency by DCAS in 2022.]*

Additional Comments:

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 2022 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.

Pauline Ann Tody

Print Name of Agency Head



Signature of Agency Head

1-31-2022

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 enter only the name in further entries. Insert table rows as needed.

Title/Function	Name	Email	Telephone
Agency EEO Officer	LaTonya Jones	LCJones@records.nyc.gov	212.341.6022
Chief Diversity Officer/Chief MWBE Officer per E.O. 59	Lisa Velasquez	lvelasquez@records.nyc.gov	212-341-6036
ADA Coordinator	Naomi Pacheco	napacheco@records.nyc.gov	212-788-8622
Disability Rights Coordinator	Naomi Pacheco	napacheco@records.nyc.gov	212-788-8622
Disability Services Facilitator	Gerald Rosero	grosero@records.nyc.gov	212-788-8610
55-a Coordinator	Naomi Pacheco	napacheco@records.nyc.gov	212-788-8622
Career Counselor(s)	Naomi Pacheco	napacheco@records.nyc.gov	212-788-8622
Training Liaison(s)	Naomi Pacheco	napacheco@records.nyc.gov	212-788-8622
EEO Counselor(s)	Urmi Udeshi	uudeshi@records.nyc.gov	212.788.8634
EEO Counselor(s)	Wai Yu (Julie) Chau	wchau@records.nyc.gov	212.788.8619
EEO Counselor(s)	Michael Lorenzini	mlorenzini@records.nyc.gov	212.788.8576