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John J. Doherty Commissioner NYC Department of Sanitation 125 Worth Street, Room 702 New York, NY 10013

Re: Preliminary Determination: Audit and Analysis of the NYC Department of Sanitation Equal Employment Opportunity Program from January 1, 2012 to June 30, 2013.

Dear Commissioner Doherty:

On behalf of the members of the Equal Employment Practices Commission (Commission or EEPC), thank you and your agency for the cooperation extended to our staff during the course of this audit. This letter contains the Commission's findings and preliminary determinations pursuant to our audit and analysis of your agency's Equal Employment Opportunity (EEO) Program for the period covering January 1, 2012 to June 30, 2013.

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

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



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

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

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

Scope and Methodology

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

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

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



The agreed upon survey period for the EEPC Supervisor/Manager Survey was October 1, 2013 – October 22, 2013. On October 22, 2013, via email/phone the agency's principal EEO Officer was informed of the low response rate and was asked to encourage supervisors and managers to access and complete the survey. At the close of the survey period, there were 92 respondents. To ascertain the proportion of respondents the agency was asked to provide the total number of individuals in supervisory/managerial titles; the agency did not provide this number. Because of these and other logistical issues, such as lack of accessible computers for field employees, the EEPC Supervisor/Manager Survey and the EEPC Employee Survey will be administered during the next audit cycle. The results of the EEPC Supervisor/Manager Survey have been attached, but will not be referred to in this report. (See Appendix 2)

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

Description of the Agency

The Department of Sanitation keeps New York City clean by collecting and managing solid waste; clearing streets of litter, snow, and ice; cleaning debris from vacant lots; tagging and removing derelict vehicles; enforcing Health and Administrative Code provisions concerning illegal dumping; maintaining proper disposal of asbestos and medical waste; and maintaining the operation of solid waste transfer stations. To carry out its waste management function, the Department's responsibilities include recycling, waste reduction, and the operation of waste disposal facilities.

PRELIMINARY DETERMINATION

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

ISSUANCE, DISTRIBUTION AND POSTING OF EEO POLICIES: The agency is in compliance with the requirements for this subject area.

1. Distribute the Citywide or an agency EEOP – in paper or electronic copy – to legal, human resources and EEO professionals, as well as managers and supervisors. At minimum, include, or attach as addenda: a policy against Sexual Harassment; uniform and responsive procedures for investigating discrimination complaints and providing



reasonable accommodations that conform to city, state and federal laws; contact information for the EEO professionals; an up-to-date list of protected classes under NYC and NYS Human Rights Laws; and current contact information for federal, state and local agencies that enforce laws against discrimination.

- ✓ The agency follows the Citywide Equal Employment Opportunity Policy, Standards and Procedures to be Utilized by City Agencies (2005) (Citywide EEOP) which includes a policy against sexual harassment; uniform and responsive procedures for investigating discrimination complaints and providing reasonable accommodations that conform to city, state and federal laws; contact information for the EEO professionals; an up-to-date list of protected classes under NYC and NYS Human Rights Laws; and current contact information for federal, state and local agencies that enforce laws against discrimination. The agency distributed the Citywide EEOP at new employee orientation sessions and via payroll distribution.
- 2. Distribute an agency EEO Policy, or a copy of the EEO Policy Handbook, *About EEO: What You May Not Know,* to current/new employees and/or ensure that a copy is available via intranet or website.
- ✓ The agency distributed (in hardcopy and electronically) the Citywide EEOP and the EEO Policy Handbook, About EEO: What You May Not Know, with addendum to legal, human resources, and EEO professionals, as well as managers and supervisors and all new employees during orientation sessions, refresher training sessions, specialized meetings at the EEO Office, and during visits to field locations.
- 3. Issue a general EEO Policy statement or memo reiterating commitment to EEO, declaring the agency's position against discrimination on any protected basis, advising employees of the names and contact information of EEO professionals, and providing employees pertinent electronic links to the EEO Policy/Handbook/Addenda.
- ✓ The agency's Policy Statement reiterated commitment to EEO, declared the agency's
 position against discrimination on any protected basis, and advised employees of the
 names and contact information of EEO personnel.
- 4. Post on electronic bulletin boards, intranet sites, and at each facility the EEO policies and complaint procedures. Post the agency head's general EEO Policy Statement wherever the EEO policy and addenda or the EEO handbook is posted.
- ✓ The agency has posted via Intranet its EEO policies, EEO Policy Statement and contact information for EEO professionals. These documents are reviewed and updated annually.



II. EEO TRAINING FOR AGENCY:

The agency is in compliance with the requirements for this subject area.

- 1. Establish and implement an EEO training plan for new and existing employees to ensure that all individuals who work within the agency, including managers and supervisors, receive training on EEO laws and their related rights and responsibilities.
- ✓ The agency established and implemented an EEO training plan for new and existing employees to ensure that all individuals who work within the agency, including managers and supervisors, receive training on EEO laws and their related rights and responsibilities. In October 2012 DSNY provided EEO/DSNY Diversity & Your Job training for new supervisors and new General Superintendents. In November and December 2012, Computer-based EEO Training was provided to all General Superintendents. New employees took Equal Employment Opportunity & Work Diversity training in January, February, October and November of 2012. Current employees have been instructed to complete the EEO Computer Based training. All trainings have a component on preventing sexual harassment.

III. DISCRIMINATION /SEXUAL HARRASSMENT COMPLAINT & INVESTIGATION PROCEDURES:

Summary of Complaint Activity: The agency reported that there were a total of 22 internal complaints during the audit period: 13 were unsubstantiated, 8 were substantiated, and 1 was part of a class action filing. (See appendix 5) The agency reported a total of 7 external complaints: 4 received no probable cause determinations, 1 received a *Notice of Right to Sue, and* 2 were pending. (See appendix 6)

Nine complaint files submitted by the DSNY (12-002, 12-005, 12-006, 12-007, 12-011, 12-013, 12-016, 13-001, and 13-007) were filed and completed during the period in review.

The agency is in compliance with the requirements for this subject area.

- 1. Include in the complaint file a Discrimination Complaint Form or a complaint that captures the facts (including pertinent dates) that identify the respondent(s) with reasonable specificity and provide the essence of the circumstances which gave rise to the alleged discrimination.
- ✓ For each of the aforementioned complaints, the agency included a complaint tracking form and complaint form that captures the facts (including pertinent dates) that identify the respondent(s) with reasonable specificity and provide the essence of circumstances which gave rise to the alleged discrimination.



- Serve the respondent with a notice of the complaint that includes the respondent's right to respond to the allegations and right to be accompanied by a representative of his/her choice. Maintain in the complaint file documentation regarding the service of notice on the respondent.
- ✓ Respondents were served with a Notice of Discrimination Complaint that included the
 right to respond to the allegations and right be accompanied by a representative of
 his/her choice. Respondents were required to sign when receiving the Notice of
 Discrimination Complaint.

<u>NOTE</u>: Internal complaint file 12-016 did not include a *Notice* of *Discrimination Complaint*.

- 3. Take thorough notes, of words spoken and facts provided, during each interview. Include these notes in each complaint file. Word processed notes are preferred.
- ✓ Thorough notes of words spoken and facts provided during each interview were included in each complaint file.
- 4. Issue a *Confidential Written Report* within 90 days of the date the discrimination complaint was filed, although the investigation shall be commenced immediately.
- ✓ Confidential reports were written within 90 days of the date each discrimination complaint was filed. Investigations were commenced immediately.
- 5. Generate a report labeled "Confidential" consisting of Facts, Analysis, Conclusion, Recommendation, and Agency Head's Review at the conclusion of each complaint investigation.
- ✓ Each complaint file included a report that was labeled as "Confidential" consisting of Facts, Analysis, Conclusion, Recommendation, and Agency Head's Review as a result of the compliant investigation.
- Maintain EEO-related files in a secure area to ensure that they can be located and reviewed by the agency head, agency general counsel, and other appropriate staff identified by the agency head.
- ✓ The agency maintained EEO-related files in a secure area located in the EEO office to
 ensure that they can be located and reviewed by the agency head, agency general
 counsel, and other appropriate staff identified by the agency head. Confidential is
 stamped on all EEO-related files.



- 7. The agency head reviews the EEO professional's report; promptly issues a written/electronic determination adopting, rejecting, or modifying the recommended action; and signs each final determination (via writing or electronically) to indicate it has been reviewed and adopted.
- ✓ The agency head reviewed and approved the EEO professional's report. Each report was signed by the principal EEO Professional and the agency's Commissioner.
- 8. In order for the agency to demonstrate it has a meaningful and responsive procedure for investigating discrimination complaints, as required by City Human Rights Law, the complaint procedure requires written communication informing the complainant and respondent of the conclusion and outcome of a complaint investigation.
- ✓ The agency's discrimination complaint procedure required written communication informing the complainant and respondent of the conclusion and outcome of a complaint investigation.
- 9. Internal discrimination complaint files contain written indication of their outcomes and corrective action(s) taken as a result of the determination of the investigation.
- ✓ All complaint files contained written indication of their outcomes and corrective action(s) taken as a result of the determination.
- 10. Establish a complaint tracking and monitoring system that permits the agency to identify the location, status, and length of time elapsed in the EEO complaint process, the issues and the bases of the complaints, the aggreed individuals, and other information necessary to analyze complaint activity to identify trends.
- ✓ The agency used a complaint tracking form for internal complaints. It lists the complaint number, complainant, respondent, basis, issue, case tracking, filing date, determination, cross reference, contact information, and remarks.
- 11. The General Counsel assists the agency head in identifying and determining appropriate responses to EEO issues; works with the principal EEO Professional in the implementation of the City's EEO policies and related procedures; informs the principal EEO Professional when external complaints or litigation involving EEO matters are brought against the agency; is available to consult on internal EEO investigations; and is responsible for the investigation of, and response to, external EEO complaints.
- ✓ The General Counsel assisted the agency head in identifying and determining
 appropriate responses to EEO issues; worked with the principal EEO Professional in the
 implementation of the City's EEO policies and related procedures; informed the principal
 EEO Professional when external complaints or litigation involved EEO matters were



brought against the agency; was available to consult on internal EEO investigations; and responsible for the investigation of, and response to, external EEO complaints. The General Counsel advised the Agency Head when appropriate. The DSNY Commissioner reviewed and signed off on all EEO investigations. The agency's EEO office was active in researching information for external complaints. The final review and response is completed and signed by the General Counsel.

IV. SELECTION AND RECRUITMENT SYSTEM:

According to workforce data provided by the agency, during the audit period there were 369 applicants, 1134 hires, 262 promotions, and 1093 separations during the audit period. (Appendix 3) Between January 1, 2012 to June 30, 2013 the total number of employees decreased from 9,282 to 8,900. (See Appendix 1 for breakdown.) A review of data provided by the New York Department of Personnel Citywide Equal Employment Opportunity Database System (work force compared with internal and external pools) revealed underutilization of protected groups in 8 EEO job categories (appendix 4).

The agency is in partial compliance with the requirements of this subject area.

- 1. Assess recruitment efforts to determine whether such efforts adversely impact any particular group. To the extent that adverse impact is discovered, at a minimum, identify relevant professional and community organizations serving women, minorities, and other protected groups throughout the City, review and update listings of recruitment outreach sources, and contact these organizations when provisional positions become available or where the agency may otherwise use discretion in hiring.
- The agency did not assess recruitment efforts to determine whether such efforts adversely impact any particular group (i.e. where underutilization existed). <u>Corrective action is required</u>.
 - Corrective Action #1: Assess recruitment efforts to determine whether such efforts adversely impact any particular group. To the extent that adverse impact is discovered, at a minimum, identify relevant professional and community organizations serving women, minorities, and other protected groups throughout the City, review and update listings of recruitment outreach sources, and contact these organizations when provisional positions become available or where the agency may otherwise use discretion in hiring.
- 2. The principal EEO Professional, HR Professional, and General Counsel, review the agency's statistical information (i.e. workforce, hires, promotions, and separations by race/ethnicity and gender), the annual number of EEO complaints, and the agency's employment practices, policies and programs on an annual basis to identify whether



there are barriers to equal opportunity within the agency and determine what, if any, corrective actions are required to correct deficiencies.

- ✓ The Human Resources Director is involved in developing recruitment strategies and selecting recruitment media. The agency's Human Resources Director and Principal EEO Professional reviewed the agency's CEEDS reports to determine if women and/or minorities were underrepresented in particular job groups, to identify whether there are barriers to equal opportunity within the agency, and to ascertain what, if any, action is required to correct deficiencies.
- 3. Assess the manner in which candidates are selected for employment, to determine whether there is any adverse impact upon any particular racial, ethnic, disability, or gender group. To the extent that adverse impact is discovered, determine whether the selection criteria being utilized are job-related. Discontinue using criteria that are not job-related, and adopt methods which diminish adverse impact.
- ✓ In January 2012, the DSNY EEO Office performed an assessment of the manner in which employees were selected for layoffs in the Engineering Bureau. Since layoffs were impending, the EEO office analyzed 5 titles (Assistant Electrical Engineer, Assistant Urban Designer, Assistant Architect, Administrative Project Manager, and Administrative Construction Program Manager) to determine disparate impact. The results indicated no adverse impact, as defined by the 4/5ths rule.
- 4. If women, minorities, or other protected groups are underrepresented in titles where there is discretion in hiring, advertise in minority- or female-oriented publications; contact organizations serving women, minorities, and other protected groups; participate in career fairs/open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.
- ✓ The agency determined women and/or minorities were underrepresented in particular
 job categories by viewing the ethnic and gender make-up of the individual titles using
 CEEDS reports and data from the City Human Resource Management System (CHRMS).
- ✓ The agency did not give specific information on advertisements in minority- or femaleoriented publications, or on specific strategic recruitment conducted as a result of its
 determination, but indicated job vacancy notices were posted on bulletin boards,
 distributed via email and advertised in newspapers, radio and television. In addition, the
 agency participated in career fairs, job expos, school career day activities, and street
 fairs.
- The agency indicated that for the most part, the hiring of provisionals is limited, thus largely decreasing the need for discretionary recruitment. There are a limited number of vacancies for which it can actively recruit with approval from the Office of Management



and Budget. A Bureau may recruit externally for hard to fill positions (e.g. the agency placed advertisements on specialized IT sites seeking Computer Technicians). However, the agency placed recruitment ads through citywide recruitment advertising contracts awarded to Miller Advertising and Creative Media Advertising; the most used sites are Monster and Dice. Corrective action is required.

<u>Corrective Action#2</u>: If women, minorities, or other protected groups are underrepresented in titles where there is discretion in hiring, advertise in minority- or female-oriented publications; contact organizations serving women, minorities, and other protected groups; participate in career fairs/open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.

- 5. If women, minorities, or other protected groups are underrepresented in civil service (list) titles, review the competencies, skills and abilities required (as presented in job vacancy notices and notices of examination) for available positions to ensure that these standards are updated, job-related and required by business necessity. (This includes working with DCAS or the Civil Service Commission if applicable). Then advertise in minority- or female-oriented publications, contact organizations serving women, minorities, and other protected groups; participate in career fairs or open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.
- ✓ For the majority of approved hires by the Office of Management & Budget, individuals are considered and appointed form Civil Service Lists during the audit period, the largest number of hires came from the Sanitation Worker, Sanitation Enforcement Agent, and Skilled Crafts titles (e.g. auto mechanics).
- On occasion, as needed particularly in the area of civil service list recruitment, the agency has direct interaction with DCAS and the issuance and disposal of certifications for hiring. The agency makes recommendations to Bureaus to select appropriate media to attract the best candidates for their positions (i.e. Engineering journals for Engineering positions). Although the agency made recommendations to Bureaus to select appropriate media to attract the best candidates for their positions, the agency did not advertise in minority- or female-oriented publications, contact organizations serving women, minorities and other protected groups. Corrective action is required.

Corrective Action#3: If women, minorities, or other protected groups are underrepresented in *civil* service (list) titles, review the competencies, skills and abilities required (as presented in job vacancy notices and notices of examination) for available positions to ensure that these standards are updated, job-related and required by business necessity. (This includes working with DCAS or the Civil Service Commission if applicable). Then advertise in minority- or female-oriented publications, contact organizations serving women, minorities, and other protected groups; participate in



career fairs or open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.

- 6. Ensure that human resources professionals, managers, supervisors, and other personnel involved in the recruitment and hiring process are trained in EEO and interviewing, selection, and hiring skills to enable such individuals to correctly identify the most capable candidates (i.e. structured interview training or guide).
- Structured interview training was not administered during the audit period due to lack of personnel to present training. <u>Corrective action is required</u>.
 - <u>Corrective Action#4</u>: Ensure that human resources professionals, managers, supervisors, and other personnel involved in the recruitment and hiring process are trained in EEO and interviewing, selection, and hiring skills to enable such individuals to correctly identify the most capable candidates (i.e. structured interview training or guide).
- 7. Promote employees' awareness of opportunities for promotion and transfer within the agency, and ensure that employees are considered for such opportunities.
- ✓ The agency's Career Counselor advised and encouraged employees to take promotional exams. Employees were encouraged to take examinations within their titles or other titles for which they qualify. The Career Counselor forwarded vacancies throughout the department to various bureaus for posting.
- 8. At minimum, indicate the agency is an equal opportunity employer in recruitment literature.
- ✓ When advertising, the agency indicated it is an equal opportunity employer. The five latest internal job vacancy notices during the period in review (Public Education and Outreach, Project Coordinator, Project Coordinator, Computer Aide, and Computer Information Officer) submitted by the agency included the tag line, The City of New York is an Equal Opportunity Employer. The agency also advertised (Director of Medical Division, Senior Analytics Developer, Senior Java Developer, Database Administrator, and Computer Systems Manager) via internet on Monster and Dice included the tagline The Department and the City of New York is and Equal Opportunity Employer.
- 9. Use and maintain an applicant/candidate log or tracking system which, at minimum, includes the position, applicants'/candidates' names, identification number, ethnicity, gender, disability or veteran status, interview date, interviewers' names, result, reason selected/not selected (or disposition) of each applicant, and recruitment source. Ensure that the process avoids the appearance of bias, by delegating the responsibility for recording and maintaining this information to an individual other than the hiring manager.



✓ The agency distributed policy and procedures for Discretionary Recruitment & Hiring of Civilian Employees. Policy and Administrative Procedure #2009-01 establishes the procedure for the recruitment and selection of discretionary hires for civilian titles within DSNY. It is designed to be in compliance with DSNY hiring requirements as well as Federal, State and City Equal Employment Opportunity Laws and the Citywide EEO Policy. The agency uses the DS764 form Recruitment & Hiring Report which each individual interviewed for the vacancy is required to complete. The DS337 Form Vacancy & Referral Form Interview Summary tallies those interviewed and shows candidates selected. These forms were developed to provide the EEO Office with critical hiring information and are required when Bureaus submit hiring packages to the EEO Office for approval.

V. CAREER COUNSELING:

The agency is in compliance with the requirements for this subject area.

- Designate a professional (may be referred to as the Career Counselor) with appropriate training, knowledge and familiarity with career opportunities in City government to provide career counseling to employees upon request. Remind employees of the identity/type of guidance available from the Career Counselor at least once each year.
- ✓ The agency appointed a Career Counselor whose contact information was listed with other EEO personnel in the EEO Policy Statement on the agency's website. The Career Counselor was available for questions concerning career development in the department
- 2. The Human Resources Professional distributes the identity of the agency Career Counselor and ensures that all employees have access to information regarding job responsibilities, performance evaluation standards, examinations, training opportunities and job postings; ensures that all new employees are advised of the EEO policies, their rights and responsibilities under such policies and the discrimination complaint procedures; informs the principal EEO Professional of the number of 55-a program participants and efforts the agency has made to employ, promote or accommodate qualified individuals with disabilities; involves the principal EEO Professional in EEO-related matters; and promptly consults with the principal EEO Professional if informed of, or suspects that a violation of the EEO Policy has occurred.
- ✓ The Human Resources Professional distributed the identity of the agency Career Counselor and ensured that all employees were advised of promotional opportunities on their performance evaluations. In addition all Bureaus are notified of upcoming civil service examinations open for filling both open competitive and promotional employees who wish to change titles or be promoted. The Human Resources Professional also ensured that employees were encouraged to take examinations within their titles or titles for which they qualify.



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

The agency is in compliance with the requirements of this subject area.

- 1. Designate a professional (may be referred to as the Disability Rights Coordinator) to ensure compliance with all federal, state, and local laws, as well as City and agency policies, pertaining to persons with disabilities; receive, or be notified of, reasonable accommodations requests; and recommend appropriate action to the agency head.
- ✓ The agency designated a Disability Rights Coordinator to ensure compliance with all federal, state, and local laws, as well as city agency policies, pertaining to persons with disabilities; receive, or be notified of, reasonable accommodation requests, and recommend appropriate action to the agency head. Employees were in informed of the Disability Rights Coordinator through the agency's website and via a memorandum from the Commissioner.
- 2. Utilize the Section 55-a Program, which allows City agencies to employ qualified persons who have been certified as disabled in competitive positions on a non-competitive basis.
- ✓ The agency utilized the 55-a Program which allows City agencies to employ qualified persons who have been certified as disabled in competitive positions on a noncompetitive basis; 12 employees participated in the Program.
- 3. Designate a Section 55-a Program Coordinator to disseminate information about the program and assist individuals who wish to apply.
- ✓ The agency's principal EEO Professional is also the 55-a Program Coordinator. The 55-a Coordinator ensured that qualified individuals with certified disabilities had the opportunity to apply for the Program, and monitored the Program. Employees were informed of the 55-a Program Coordinator via internet and a memorandum from the Commissioner.
- 4. Ensure that information regarding employee rights and obligations, and the complaint, investigation and reasonable accommodation procedures is made available in appropriate alternative formats (i.e., large print, audio tape and/or Braille) upon request to employees and applicants for employment with disabilities.
- ✓ The agency ensured that information regarding employee rights and obligations, and the complaint investigation and reasonable accommodation procedures was made available in appropriate alternative formats. The following EEO Policies are available in alternative formats: New York City's Department of Sanitation: EEO Policy on audio cassette and in large print, Equal Employment Opportunity is the Law Poster on audio cassette, New York City Sanitation Department "The EEO Laws" for Employees on VHS tape, New York



City Sanitation Department "The EEO Laws" for Supervisors on VHS tape, and New York City Sanitation Department "The EEO Laws" Refresher for all employees on VHS tape and DVD.

- 5. Document reasonable accommodation requests and their outcomes.
- ✓ The agency submitted a sample of (7) accommodations that were requested/granted during the audit period. Their outcomes were included.
- 6. Develop and implement a plan to demonstrate facilities are accessible to and usable by employees/applicants for employment with physical disabilities: identify the number of locations that are accessible/non-accessible; the distribution of the agency's accessible facilities throughout the City; the distribution of job titles among accessible/non-accessible facilities; barriers in non-accessible facilities and the efforts the agency has taken to determine whether removal of barriers is readily achievable, and if so, to remove them; the agency responsible for rendering non-accessible facilities accessible. State whether the agency has applied to Department of Buildings for a waiver of the requirements for the alteration of existing facilities or if facilities are exempt.
- ✓ The agency developed and implemented a plan to demonstrate facilities are accessible and usable by employees/applicants for employment with physical disabilities. The agency identified the number of locations that are accessible/non-accessible; the distribution of the agency's accessible facilities throughout the City; the distribution of job titles among accessible/non-accessible facilities; barriers in non-accessible facilities and the efforts the agency has taken to determine whether removal of barriers is readily achievable or actions to remove them. Specifically, the plan included changes in facility locations such as moving offices from 51 Chambers Street to 44 Beaver Street and plans to move the Human Resources Department from 346 Broadway 10th floor to 59 Maiden Lane (January 2014), which would improve workstations and eliminate the steps in the current lobby.
- ✓ While doing renovations for the Marine Transfer Stations, DSNY obtained from the Department of Buildings waivers regarding the ADA requirements. Based on the hazardous nature of the work areas which includes very difficult access and egress routes to the facilities requiring activities within and over water.
- ✓ Due to the highly physical nature of the job performed by the uniformed workforce of DSNY, the department facilities which house large trucks and heavy machinery for the most part is not accessible to individuals with physical disabilities. However, the agency employs individuals with physical and/or mental disabilities primarily in the civilian titles. For example, DSNY has auto mechanics who have qualified for the 55-a program. The agency also has several civilian employees with disabilities in the clerical field who work in the DSNY administrative offices.



VII. <u>RESPONSIBILITY FOR EEO PLAN IMPLEMENTATION - EEO PROFESSIONALS:</u> The agency is in compliance with the requirements for this subject area.

- Appoint a principal EEO Professional to implement EEO policies and standards within the agency. The principal EEO Professional is trained and knowledgeable regarding city, federal and state EEO laws; the requirements of the agency's EEO policies, standards and procedures; and the prevention, investigation, and resolution of discrimination complaints.
- ✓ The agency appointed a trained principal EEO Professional to implement EEO policies and standards within the agency. The principal EEO Professional had EEO training at the EEOC Training Institute, Technical Assistance Seminar in June 2012, Citywide Diversity & Inclusion Training: "Everybody Matters", 3 day Lead Facilitator Program February and March 2013, EEOC ADA & Reasonable Accommodation Seminar May 2013.
- 2. Appoint at least one EEO professional of each gender to receive discrimination complaints and conduct investigations.
- ✓ The agency appointed one EEO professional of each gender to receive discrimination complaints and conduct investigations (i.e. a female principal EEO Professional, a male EEO Investigator and a female EEO Investigator).
- 3. Ensure that EEO professionals are trained in EEO laws and procedures and know how to carry out their responsibilities under the EEO Policy.
- ✓ The agency ensured that EEO professionals are trained in EEO laws and procedures and know how to carry out their responsibilities under the EEO Policy. The EEO Professionals received Citywide Diversity and Equal Employment Opportunity Computer Based Training. The agency's EEO counselor/investigator received DCAS-Basic Training for EEO Representatives, DCAS trainings/seminars on the EEO investigative process, and EEOC trainings. The agency Counsel has had formal EEO training in-house and has taken approximately 8 other EEO-related seminars given by the Practicing Law Institute.
- Ensure that the responsibilities of the principal EEO Professional are competently discharged by providing adequate support staff and/or resources to meet EEO obligations.
- ✓ The principal EEO Professional was assisted by 2 EEO Investigators, 1 Research
 Assistant, and 1 temporary Clerical employee; they spend 100% of their time on EEOrelated matters.
- 5. Where the agency's organizational structure necessitates multiple EEO professionals, select such individuals from different office locations and, where possible, from a variety



of levels within the organizational structure. Appoint EEO professionals who are trained in EEO laws and procedures and know how to carry out their responsibilities under the EEOP.

- ✓ The EEO professionals were individuals from different office locations and, from a variety levels within the organization structure. The EEO professionals were trained in EEO laws and procedures and know how to carry their responsibilities under the EEOP.
- 6. The principal EEO Professional works cooperatively and closely with the General Counsel in the implementation of the EEO policies and related procedures.
- ✓ The principal EEO Professional and General Counsel worked closely with the Commissioner and Deputy Commissioners, as appropriate, on the development of Department EEO policies.
- 7. The principal EEO Professional ensures that employees receive EEO training; supervises the EEO-related activities of other EEO professionals; ensures that EEO policies and complaint procedures are posted at each site where the agency conducts business; ensures that EEO policies and procedures are available in alternative formats (i.e., large print, audio tape and/or Braille); and provides guidance and assistance to agency managers, supervisors and human resource professionals in addressing issues relating to equal employment opportunity.
- ✓ The principal EEO Professional coordinated and monitored complaints and acted as Chief Review Officer for all such complaints, conferred with the Commissioner and Deputy Commissioners, as appropriate, on the development of department policies with regard to EEO law, directed the development of the department's EEO Annual Plan, directed and supervised the department's ongoing recruitment program, and assisted, directed and rated the Commissioner's executive staff on meeting EEO mandates.
- 8. The principal EEO Professional reports directly to the agency head (or an approved direct report other than the General Counsel) in order to exercise the necessary authority and independent judgment to fulfill EEO responsibilities.
- ✓ The agency's principal EEO Professional reported to the Commissioner in order to exercise the necessary authority and independent judgment to fulfill EEO responsibilities. The reporting relationship to the Commissioner was listed on the organizational chart.
- 9. To ensure the integrity and continuity of the EEO Program, maintain appropriate documentation of meetings and other communications between the agency head (or a direct report other than the Agency Counsel) and the principal EEO Professional regarding decisions that impact the administration and operation of the EEO program.



✓ To ensure the integrity and continuity of the EEO Program, the agency maintained appropriate documentation of meetings and other communications between the agency head regarding decisions the impact the administration and operation of the EEO Program. As part of the Commissioner's executive staff, the principal EEO Professional met with the Commissioner on Wednesday mornings between 8:30am-9:30am. The principal EEO Professional communicated with the Commissioner regularly by telephone, email and in person to share critical information regarding EEO issues.

VIII. <u>RESPONSIBILITY FOR EEO PLAN IMPLEMENTATION – SUPERVISORS/MANAGERS:</u> The agency is in compliance with the requirements for this subject area.

- The agency head directs managers and supervisors to emphasize the agency's commitment to its EEO policies and affirm the right of each employee to file a discrimination complaint with the EEO office. This directive, and its implementation, is documented.
- ✓ The agency head directed managers and supervisors to emphasize the agency's commitment to its EEO policies and affirm the right of each employee to file a discrimination complaint with the EEO office. The agency sent a monthly EEO message to all supervisory personnel asking them to read the statement and sign the daily blotter attesting that they have read and understand it to staff.
- 2. Establish and administer an annual managerial/non-managerial performance evaluation program to be used for probationary periods, promotions, assignments, incentives and training.
- ✓ The agency implemented an evaluation procedure for sub-managerial uniform, civilian probationary and provisional employees. According to the procedures employees were evaluated between 1-2 years. The agency administered an annual managerial evaluation program. Managerial performance evaluations were administered once per year.
- 3. The managerial performance evaluation form contains a rating for EEO (which covers responsibilities and processes for assuring their ability to make employment decisions based on merit and equal consideration, or treat others in an equitable and impartial manner).
- ✓ The managerial performance evaluation form contained a rating for EEO (which covers responsibilities and processes for assuring their ability to make employment decisions based on merit and equal consideration, or treat others in an equitable and impartial manner).

IX. REPORTING STANDARD FOR AGENCY HEAD:

The agency is in partial compliance with the requirements for this subject area.



- 1. Submit to the EEPC an Annual Plan of measures and programs to provide equal employment opportunity, and quarterly reports (up to 30 days following each quarter) on efforts to implement the plan.
- ✓ The agency submitted quarterly reports for FY 2012, FY 2013, The NYC Department of Sanitation (DSNY) Equal Employment Opportunity Plan for FY 2012, and The Diversity and Equal Employment Opportunity Plan for FY 2013.

After implementation of the EEPC's corrective actions:

1. Distribute a memorandum signed by the agency head informing employees of the changes implemented in the EEO program pursuant to the EEPC's audit/analysis and reemphasizing the agency head's commitment to the EEO program.

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

Conclusion

Pursuant to Chapter 36 of the New York City Charter, your agency has the option to respond to this preliminary determination. Your agency also has the option to request an Audit Exit/Compliance Initiation Meeting. Please email your intention to respond, or meeting request, to mramsukh@eepc.nyc.gov within 7 days from the date of this letter.

(*Optional Response*) If submitted, your optional response should indicate (with attached documentation) what steps your agency has taken or will take to implement the corrective actions and should be received in our office within 21 days from the date of this letter. We will then issue a Final Determination where we will agree, disagree or require further clarification of the actions your agency has taken or proposed.

(Optional Meeting) During the Audit Exit/Compliance Initiation Meeting we will address questions regarding the implementation of corrective action(s), establish a formal six-month compliance monitoring period and discuss the steps your agency should take during the mandatory compliance monitoring period. After consulting with your agency, this Commission will issue its Final Determination.

If your agency does not respond to the preliminary determination within 21 days, this preliminary determination will be considered our Final Determination. The EEPC will then send correspondence assigning a 6-month compliance monitoring period. Pursuant to Chapter 36 of the New York City Charter your agency is required to respond to our Final Determination within 30 days. Your response to the Final Determination will initiate the compliance monitoring period.



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

Respectfully Submitted by,

EEO Program Analyst

Approved by,

Charise L. Hendricks, PHR

Executive Director

cc: Teresa H. Neal, Principal EEO Professional

<u>Appendix - 1</u> Workforce Composition

Department of Sanitation

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<u>Appendix - 2</u> Supervisor/ Manager Survey

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Department of Sanitation: Supervisor/Manager Survey



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4. How long have you worked for this agency	ency	٧	1	1	,	1	1	1	1	1	ĺ	į	ľ	ĺ	ĺ	ĺ	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	١	1	1	١	١	١	١	١	١	١	١	١	١	١	,		;	,	;	;	,	;	;	,	,	1	١	١	١	١	١	1	,	,	;	;	;	;	١		•	ĺ	ı	ĺ	1	•	İ	ı	ı	į	٠		ċ	f	į	ı	0	(į	Ì	Ċ	í	í		ì	ż	٤	ľ	į	ì	٦	r	Į	ľ	ŧ	1	,	٢		,	כ	C	(Ň	İ	1	ŀ	į	C	1	Ì	3	Ē	Ì	ζ	۱	ŀ	1	r	ı	ì)		C	/
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	Response Percent	Response Count
Over 3 years	93.4%	85
3 years or less	6.6%	6
answe	red question	91
	ed question	1

5. Each agency head may distribute a statement in support of Equal Employment Opportunity to all employees. Have you received a copy of your agency's EEO Policy Statement?

	Response Percent	Response Count
Yes	85.7%	78
No 📳	2.2%	2
Do not remember	12.1%	11
	wered question	91
sk	ipped question	1

6. In your agency, where can the EEO Policy be found? (Check all that apply.)

	Response Percent	Response Count
The EEO Office	67.0%	61
The HR/Personnel Office	61.5%	56
The Intranet	52.7%	48
Your Office	79.1%	72
Do not know	6.6%	6
	answered question	91
	skipped question	1

7. Of the choices above, which is most easily accessible to you?

	Response Percent	Response Count
The EEO Office	7.7%	7
The HR/Personnel Office	5.5%	5
The Intranet	27.5%	25
Your Office	59.3%	54
en en en en en en en en en en en en en e	red question	91
	ed question	1

8. Is the Discrimination Complaint Procedure included with the EEO Policy?

		Response Percent	Response Count
Yes		78.0%	71
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Do not know		22.0%	20
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		skipped question	
Do you know the name of	f your agency's EEO Officer?	Response Percent	Response Count
Yes		81.3%	74
radio nendiferralization de marca en de consequencia en en en encontra en en entre en entre en No		18.7%	-
kumping da demokrakatat da da da isi mbad kumbuwan da mugumba da bineda banda ba da da da ta ta da da da da da Ta da	addisidentis y sporting de production of color of the col	answered question	91
	Andrews 11. 11. 11. 11. 11. 11. 11. 11. 11. 11		
		skipped question	1
	et with you, either individually or in a gr oyee?	Response	Response
our EEO rights as an empl		Response Percent	Response Count
our EEO rights as an empl	oyee?	Response Percent	Response Count 49
our EEO rights as an empl		Response Percent	Response Count 49

11. Did the EEO Officer meet with you, either individually or in a group setting, to discuss your EEO responsibilities as a supervisor or manager?

	Response Percent	Response Count
Yes	58.2%	53
No	41.8%	38
	red question	91
	ed question	1

12. Did you complete the Department of Citywide Administrative Services' Citywide EEO Computer-Based Training for Managers and Supervisors?

	Response Percent	Response Count
Yes	78.9%	71
No	16.7%	15
Not applicable	4.4%	4
	ered question	90
skip	ped question	2

13. How often have you reaffirmed the agency's commitment to the principle of Equal Employment Opportunity during staff meetings within the past year?

Company 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1		angulari kanan dan sama dan sama dan sama dan sama dan sama dan sama dan sama dan sama dan sama dan sama dan s	desidence of the second of the second	handaga - em Sa e sajar ar sangkar yak magi
		*	Response	Response
Auto.	ي غير مذا ب	and the advantage of the second principles of	Percent	Count
Two or more times			39.6%	36
One time			24.2%	22
At no time			36.3%	33
		answe	red question	91
			ped question	1

14. How often have you discussed with employees their right to file a discrimination complaint with the agency's EEO Officer during staff meetings within the past year?

	Respons Percent	
Two or more times	37.4	% 3
One time	23.1	% 2
At no time	39.6	/ ₆ 3
kirkkirkin musika 1989 ilikula 1984 ili sa mara kirili kurun 1985 ili ili sa mara mangan didilikula ili sa mar	answered question	n 9
	skipped questio	n
. Did you receive sexual l	harassment prevention training from your agency?	e Respons
	Percent	
Yes	75.8	6
No	24.26	6 2
	answered questio	n 9
	answered questio	
		n tion e Respons
	skipped questio s that you supervise receive sexual harassment prever Respons	tion Respons Count
aining?	skipped questions that you supervise receive sexual harassment prever	tion Respons Count
aining? Yes	skipped questions that you supervise receive sexual harassment prever Respons Percent	Respons Count 6 4 6 4
Yes No	skipped questions that you supervise receive sexual harassment preveroments Respons Percent	Respons Count 6 4 4 6 4 6 4 6 4

17. When you were hired, did you receive an orientation session that included a review of the EEO policy?

		Response Percent	Response Count
Yes		54.9%	50
No		9.9%	(
Do not remember		35.2%	32
		answered question	91
		skipped question	1
Yes		31.9%	entaktininu satutikinin rekitantik si muurumususu ons
		Response Percent	Response Count
Yes		31.9%	29
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		skipped question	•
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Yes No	tation sessions include information o	n the EEO policy? Response Percent 79.3%	23 1 29
Yes	tation sessions include information o	Response Percent 79.3% 3.4%	23 23 23 24 25 26 26 26 26 26 26 26 26 26

20.	Do	vou in	terview	candidates	for	positions	in	vour	agency	v?
		,						,		

		Response Count
Yes	40.7%	37
No Constitution of the American State of the	59.3%	54
	ed question	91
	ed question	1

21. A structured interview is a method that standardizes the type and order of interview questions asked to ensure that a fair comparison can be made between interviewees. Did your agency provide you with training and/or a guide that outlines illegal or discriminatory questions and includes instructions for conducting a structured interview?

		Response Percent	Response Count
Training		18.9%	7
Guide		18.9%	7
Both training and guide		21.6%	8
Neither		40.5%	15
	answered		37
	skipped	question	55

22. Were you informed that fulfillment of your EEO responsibilities will be part of you	ur
overall performance evaluation and will be considered in determining your eligibility	/ for
promotions and merit increases?	

		Response Percent	Response Count
Yes		73.6%	67
No		26.4%	24
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		skipped question	1
23. When was your last per	formance evaluation?		
		Response Percent	Response Count
Within the past year		89.0%	81
Over a year ago		7.7%	20 marian (1900 marian) (1900
I have not received a performance evaluation		3.3%	3
		answered question	91
		skipped question	1
your ability to make employ others in an equitable and	evaluation include an EEO component yment decisions based on merit and eq impartial manner.)	ual consideration	, or treat
		Response Percent	Response Count
Yes		83.0%	73
No		17.0%	15
		answered question	88
And the second s	— — — — — — — — — — — — — — — — — — —	skipped question	4

25. Do you conduct formal performance evaluations of the employees under your supervision annually?

	Response	Response Count
	Percent	Count
Yes	82.4%	75
No	17.6%	16
	ed question	91
skipp	ed question	1

26. Do you believe the agency has provided sufficient training to supervisors/managers on their responsibilities in assisting employees who may complain about discrimination or harassment?

	Response Percent	Response Count
Yes	81.3%	74
No	18.7%	17
	ered question	91
	oped question	1

27. Race/Ethnicity

	Respo Perce		Response Count
Asian or Pacific Islander	7	'.5%	6
American Indian or Alaska Native		2.5%	And the second s
Black (not of Hispanic origin)		6.3%	To consider the second
Hispanic		5.0%	allianis selembo disentini tanbia describira
White (not of Hispanic origin)	75	5.0%	60
Other		3.8%	rasalinzarisakomatriko a brinkaro kenna
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	skipped ques	tion	12
8. Gender			·
	Respo Perce		Response Count
Male	88	.8%	71
Female	11	.3%	
and and the terminal flow density of the density of the second of the se	answered ques	tion	80

Appendix - 3 Hires, Promotions, and Separations By Ethnicity and Gender

Department of Sanitation

Department of Sanitation

The following table indicates personnel activity during the audit period, January 1, 2012 to June 30, 2013

Hires by Gender and Ethnicity

Total Hires: 1134

				African			Native		
Male	Female	Total	Caucasian	American	Hispanic	Asian	American	Unknown	Total
1019	115	1134	374	252	193	42	1	272	1134

Promotions by Gender and Ethnicity

Total Promotions: 262

				African			Native		
Male	Female	Total	Caucasian	American	Hispanic	Asian	American	Unknown	Total
227	35	262	162	52	39	8	1	0	262

Separations by Gender and Ethnicity

Total Separations: 1093

Male	Female	Total	Caucasian	African American	Hispanic	Asian	Native American	Unknown	Total
948	145	1093	313	312	173	21	1	273	1093

Source: Audit data supplied by the DSNY

Appendix - 4

New York City Department of Personnel Citywide Equal Employment Opportunity Database System (CEEDS)

Department of Sanitation

RUN DATE: 10/11/13

NEW YORK CITY DEPARTMENT OF PERSONNEL

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NEW YORK CITY DEPARTMENT OF PERSONNEL

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RIM DATE: 10/11/13	RUN TIME: 14:29:28	FY2014 Q1

IMBAL O N-05%RUL U-80%RUL U-80%RUL N-05%RUL N-05%RUL N-05%RUL U-80%RUL PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS PROBABILITY CUT-OFF FOR IMBALANCE: 0.05 PAGE: 529 PROGRAM: EBPPP961 EXTRACT DATE: 09/30/13 PROBABILITY 0.0011 0.0112 0.167 0.458 0.310 0.093 0.028 0.456 Z-SCORE 2.0-1 1.0-1 1.0-1 1.0-1 1.0-1 1.0-1 1.0-1 -1.32 -1.92 -0.12 DIFFERENCE NEW YORK CITY DEPARTMENT OF PERSONNEL C.E.E.D.S.Y.S.T.E.M.FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS AT THE AGENCY/JOBGROUP LEVEL -2.28 -3.33 -0.01 EXPECTED # 7.0.7 1.22 1.22 0.00 1.00 4.00 USING BINOMIAL TEST AVAIL % 5889 1020 0721 0011 .4396 .4738 .0010 222222 TOTAL OTHER THAN FOCAL GROUP DEPARTMENT OF SANITATION LAWYERS FOCAL GROUP 110000 mm0 827 008 WHITE BLACK HISPANIC ASIAN / PAC ISL NATIVE AMERICAN ETH UNKNOWN MALE FEMALE GENDER UNKNOWN AGENCY: JOB GROUP: EEO VAL EEO VAR

961 /13 N CNTS		IMBAL	N - 05%RUL U - 80%RUL N - 05%RUL N - 05%RUL	U O N-05%RUL
PAGE: 530 PROGRAM: BBPPP96 CACT DATE: 09/30/1 DATA INCLUDED IN		PROBABILITY	00000 048144 00000 0000000	0.023 <.01 0.294
EXTRA EEO I		Z-SCORE	400100 40411100	-1.99 -2.68 -0.54
POOLS WITH MISSIN		DIFFERENCE	0.00 0.00 0.050 0.011 0.00 0.02 0.02	-3.54 -0.29
교도상	T.	EXPECTED #	C24100	740 445. 420
DEPARTMENT OF E S S Y S T E S MITH INTERNAL TOBGROUP LEVEL	BINOMIAL TEST	AVAIL %	5650 11549 1170 0012 0322	.5803 .3401 .0220
ORK CITY C E E D COMPARED 3 AGENCY/	USING BING	TOTAL		HHH
NEW YC WORK FORCE AT THI OF SANITATION	÷	OTHER THAN FOCAL GROUP	848888 44444	ወ4፡ይ
DEPARTMENT PUBLIC REL	-	FOCAL GROUP	10001 0000	400
DATE: 10/11/13 TIME: 14:29:28 014 Q1 827 GROUP: 827		EEO VAL	WHITE BLACK HISPANIC ASIAN / PAC ISL NATIVE AMERICAN ETH UNKNOWN	~MALIB FEMALE GENDER UNKNOWN
RUN DATE: RUN TIME: FY2014 Q1 AGENCY: JOB GROUP:		EEÖ VAR 	ETTH ETTH ETTH ETTH ETTH	CEN GEN GEN

RUN DATE: 10/11/13 RUN TIME: 14:29:28 FY2014 Q1

τ <u>ς</u> 3	CNTS		IMBAL	U-80%RUL	N-05%RUL N-05%RUL	N-05%RUL
PAGE: 531 GRAM: EBPPP961 DATE: 09/30/13	DATA INCLUDED IN MBALANCE: 0.05		PROBABILITY	0.182 0.4255 380 380	0.401 0.257	0.171 0.132 0.317
PAGE: PROGRAM: EXTRACT DATE:	EEO DATA FOR IMBAL		Z-SCORE	000 000 000 000 000 000	-0.25 -0.65	10.95 1.12 -0.48
L POOLS	WITH MISSING EEO DATA INCLUDED IN LITY CUT-OFF FOR IMBALANCE: 0.05		DIFFERENCE	0.00 0.00 0.00 0.00 0.00 0.00	- 0.06 - 0.42	-2.52 -0.558 -0.23
F PERSONNEL E M AL & EXTERNAL POOLS	PERSONS W PROBABILI	Đ	EXPECTED #	86746 14578	0.00	14.22 0.23
DEPARTMENT OF ES S Y S T ES WITH INTERNAL	Val. 20040	OMIAL TEST	AVAIL %	3351 1329 4293 4685	0027	.6181 .3662 .0098
YORK CITY C E E D E COMPARED	THE AGENCY	USING BINOMIAL	TOTAL	MMM	2004 2004	nnn nnn
NEW WORK FORC	SANITATION		OTHER THAN FOCAL GROUP	HHH-	700 700	HUW
	7 DEPARTMENT OF 0 TECHNICIANS		FOCAL GROUP.	φωιης	#00	117 017
ATE: 10/11/13 IME: 14:29:28 4 Q1	ENCY: 827 ROUP: 010		EEO VAL	WHITE BLACK HISPANIC	ASTAN / FAC ISH NATIVE AMERICAN ETH UNKNOWN	MALE FEMALE GENDER UNKNOWN
RUN DATE: RUN TIME: FY2014 Q1	AGENCY JOB GROUP		EEO VAR	ETH ETH ETH ETH	BTH	GEN GEN GEN

1 3 CNTS	IMBAL	N-05%RUL N-05%RUL	U-80%RUL N-05%RUL			
532 EBPPP96 09/30/1 UDED IN 0.05	PROBABILITY	0.0045 0.0933 0.477 0.326 0.124	0.083 0.056 0.195			
EXTR EEO OR I	Z-SCORE	11	11.38 10.89			
LS MISSING CUT-OFF	DIFFERENCE	7 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	-4.09 4.82 -0.73			
F PERSONNEL E M EXTERNAL POOLS EL PERSONS WITH M PROBABILITY CU	TEXPECTED #	2986 77.148 27.144 1.30	41.09 0.73			
Z P	BINOMIAL IEST AVAIL % I		.2093 .7769 .0138			
K CITY DEP. E E D S. OMPARED WI. AGENCY/JOB	TOTA	ຑຑຓຓຓຓ	មា មា មា			
NEW YORK CITY I C E E D S WORK FORCE COMPARED AT THE AGENCY/.	OTHER THAN FOCAL GROUP	Დ <i>Ს 4</i> 4 4 11 11 ᲐᲓ Ი ୧ 4 4 11 11	4 6 7 5 8 3 4 6			
DEPARTMENT OF CLERICAL SUPS	FOCAL GROUP	10 FRF400	. 46 0			
MATE: 10/11/13 IME: 14:29:28 4 Q1 SNCY: 827 ROUP:	EEO VAL	WHITE BLACK HISPANIC ASIAN / PAC ISL NATIVE AMERICAN ETH UNKNOWN	MALE FEMALE GENDER UNKNOWN	,		
RUN DATE: RUN TIME: FY2014 Q1 AGENCY: JOB GROUP:	EEO VAR	E E E E E E E E E E E E E E E E E E E	GEN GEN GEN			

RUN DATE: 10/11/13 RUN TIME: 14:29:28 FY2014 Q1

NEW YORK CITY DEPARTMENT OF PERSONNEL

PAGE: 533

Ĥω	CNTS		IMBAL	N-05%RUL	N-05%RUL N-05%RUL	N-05%RUL
GRAM: EBPPP961 DATE: 09/30/13	INCLUDED IN ANCE: 0.05		PROBABILITY	00.1748	00.00 0.136 0.036	0.116 0.358 <.01
PROGRAM: EXTRACT DATE:	EEO DATA FOR IMBAL		Z-SCORE	00000	11.15. 33.03.	1.20 0.36 -3.38
POOLS	PERSONS WITH MISSING REO DATA INCLUDED PROBABILITY CUT-OFF FOR IMBALANCE: 0.05		DIFFERENCE	H 60.000 80.000 80.000	-1.20 -14.7	9.43 2.98 -11.0
'E M AL & EXTERNAL POOLS		Ţ	EXPECTED #	164.132 164.135 246.33	11.20 14.67	86.57 208.02 11.02
S Y S T E TH INTERNAL	GROOF LE	OMIAL TEST	AVAIL %	.1867 .1347 .1509	000. 000. 04780 087	.2820 .6776 .0359
C E E D S S Y COMPARED WITH INT ACTURES / TORGEOTH		USING BINOMIAL	TOTAL	0000 0000	307	307 307
WORK FORCE COI	ati t	1	OTHER THAN FOCAL GROUP	236 255 275	307 707 707	211 307
	827 DEPARTMENT OF SANITATION 013 CLERICAL		FOCAL GROUP	1 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7	1	2 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0
KUN IIME: 14:29:28 FY2014 Q1			EEO VAL	WHITE BLACK HISPANIC ASTAN / PAC TST.	NATIVE AMERICAN ETH UNKNOWN	MALE FEMALE GENDER UNKNOWN
FY201	AGENCY JOB GROUP		EEO VAR			GEN GEN GEN

	CNTS		IMBAL	8 8 8 8 8 V V V V V V V V V V V V V V V	NN
PAGE: 534 PROGRAM: EBPPP961 ACT DATE: 09/30/13	DATA INCLUDED IN CL IMBALANCE: 0.05		PROBABILITY	00000 01244. 02244. 020244. 020244. 02024. 02024.	. 0.133 0.150 0.463
PRO EXTRACT	EEO OR		Z-SCORE	200000 00000 100000 100001	1.11 -1.04 -0.09
SONNEL EXTERNAL POOLS	WITH MISSIN		DIFFERENCE	000248000000000000000000000000000000000	0.55 -0.52 -0.01
ᅜᇎᅑ	LEVEL PERSONS PROBABII	Đ	EXPECTED #	000000 0440000 080000	0.0 0.52 0.01
DEPARTMENT OF IS S Y S T E S Y S T E		BINOMIAL TEST	AVAIL %	1.000 48846 0042332 000110 1910	.4476 .5186 .0087
TY DEP D S RED WI	-	BIN	AI.	м ин ннн	ннн
~ 点りり ⁻	TE AGENCE	USING	TOTAL		
NEW YORK CI' C E E WORK FORCE COMPA	A I I I I	USING	OTHER THAN FOCAL GROUP TOT	O러러러리	
NEW YC	DEPARTMENT OF SANITATION GUARDS	USING	GROUP	100000	0 0 0 1 1
NEW YC	A I I I I	DNISO	OTHER THAN FOCAL GROUP	WHITE 1 0 0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	MALE FEMALE GENDER UNKNOWN 0 1

⊣m	CNTS		IMBAL	NNNNN	N - N N - N N - N N - N N - N N - N N - N N - N N - N N - N N - N N - N N - N N - N
535 EBPPP96 09/30/1	INCLUDED IN NCE: 0.05		PROBABILITY	000000 6000444 000000 1000000 1000000	0.224 0.245 0.458
PAGE: PROGRAM: EXTRACT DATE:	EEO 70R I		Z-SCORE	0	0.76 -0.69 -0.11
POOLS	VITH MISSIN ITY CUT-OFF		DIFFERENCE	0.00 0.00 0.00 0.00 0.00 0.00	0.37 -0.32 -0.01
OF PERSONNEL T E M T E M THAL & EXTERNAL POOLS	EL PERSONS V PROBABILI	H	EXPECTED #	000000 000000 000000 104000	0.63 0.01 0.01
MENT Y INTER	Į.	BINOMIAL TEST	AVAIL %	.32141 .3373 .0650 .0237	.6348 .3223 .0110
RK CITY DEPART C E E D S COMPARED WITH	_	USING BIN	TOTAL	ਜਕਰਕਰਜ	ਜਜਜ
NEW YORK C WORK FORCE CO	A1 1AE		OTHER THAN FOCAL GROUP	न०नतन	0대리
	827 DEPARTMENT OF SANITATION 022 BUILD SERV		FOCAL GROUP	оноооо	H00
DATE: 10/11/13 TIME: 14:29:28 114 Q1	** **		EEO VAL	WHITE BLACK HISPANIC ASIAN / PAC ISL NATIVE AMERICAN ETH UNKNOWN	male Female Gender unknown
RUN D	AGENCY JOB GROUP		EEO VAR	871 871 871 871 871 871 871	GEN GEN GEN

	CNTS		IMBAL	U-80%RUL N-05%RUL N-05%RUL	O U N-05%RUL
PAGE: 536 PROGRAM: EBPPP961 ACT DATE: 09/30/13	DATA INCLUDED IN IMBALANCE: 0.05		PROBABILITY	0.000 000 0.000 0.000 0.000 0.000 0.000 0.000 0.000 0.000 0.000 0.000 0.	<pre></pre>
PROGENIE	EEO OR J		Z-SCORE	1001101 2001101 240200 240400	-2.90 -02.28
POOLS	WITH MISSIN ITY CUT-OFF		DIFFERENCE	200200 200200 20024 2008 2008	7.92 -6.14 -0.12
OF PERSONNEL T E M LIMAL & EXTERNAL POOLS	PERSONS PROBABI	H	EXPECTED #	87.8200 27.700 17.42.08	16.08 12.14 0.12
TMENT S Y S INTER	GROOT TOOKS	BINOMIAL TEST	AVAIL %	00018 00018 00018 0005 0005	.5359 .4047 .0040
CITY E D PARED	_	USING BIN	TOTAL	000000 mmmmmm	000 mmm
NEW YORK C E WORK FORCE COM	A LA LAB		OTHER THAN FOCAL GROUP	000000 000000	22 6 34 6
	27 DEPARTMENT OF SANITATIO		FOCAL GROUP	11 008000	24 6 0
TE: 10/11/13 VE: 14:29:28 Q1	NCY: 82		EEO VAL	WHITE BLACK HISPANIC ASIAN / PAC ISL NATIVE AMERICAN ETH UNKNOWN	MALE FEMALE GENDER UNKNOWN
RUN DATE: RUN TIME: FY2014 Q1	AGENCY JOB GROUP		EEO E	ETH ETH ETH ETH ETH ETH ETH	GEN GEN GEN

H8.	CNTS		IMBAL	O U N-05\$RUL N-05\$RUL U	onn
PAGE: 537 GRAM: EBPPP9 DATE: 09/30/	DATA INCLUDED IN MBALANCE: 0.05		PROBABILITY	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	01 01 01
PRO EXTRACT	EEO FOR I		Z-SCORE	811018 812018 7.1 201200	8.13 8.13 8.23 8.32
L POOLS	WITH MISSIN		DIFFERENCE	244.1.2.2.4.4.5.7.2.2.2.2.5.6.2.0.0.0.0.0.0.0.0.0.0.0.0.0.0.0.0.0.0	135.2 -66.9 -63.4
OF PERSONNEL TEM JAL & EXTERNAL	SON	I.S	EXPECTED #	22 7402 7003 700112 700112 700112 700112 700112 700112 700112 700112	606.84 73.85 63.37
IY DEPARTMENT OF PERSON D S S Y S T E M	GKOUP LEV	BINOMIAL TEST	AVAIL %		.8102 .0986 .0846
RK CITY DEP C E E D S COMPARED WI	AGENCY/JOB	USING BIN	TOTAL	~~~~~ 444444 9999999	44 44 64 64 64
NEW YORK CITY C E E D WORK FORCE COMPARE	Ат тив	p	OTHER THAN FOCAL GROUP	222 6649 6777 7494 748	7.44.7.20.00
	827 DEPARTMENT OF SANITATION 025 CRAFT.		FOCAL GROUP	521 1000 72 55 1	742 7 0
RUN DATE: 10/11/13 RUN TIME: 14:29:28 FY2014 Q1	AGENCY: 8. JOB GROUP: 0.		EEO VAL	WHITE BLACK HISPANIC ASIAN / PAC ISL NATIVE AMERICAN ETH 'UNKNOWN	MALE FEMALE GENDER UNKNOWN
RUN RUN FY20	AOD (VAR		GEN GEN GEN

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NEW YORK	ר כ
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m	
10/11/13	
RUN DATE:	
RUN	TIT

HΜ	CNTS		IMBAL	0	U-80%RUL U-80%RUL N-05%RUL U-80%RUL	O U-80%RUL N-05%RUL	
PROGRAM: EBPPP961 CT DATE: 09/30/13	DATA INCLUDED IN MBALANCE: 0.05		PROBABILITY	, vo.	0.173 0.173 0.173 0.178	0.01 0.069 0.241	
PROG EXTRACT	EEO OR I		Z-SCORE	2.46	0000 0000 00000 00000	2.60 -1.49 -0.70	
r Pools	MISSING JUT-OFF		DIFFERENCE	4.80	1111 1000 120 124 124 124	4.76 -1.94 -0.48	
DEPARTMENT OF PERSONNEL S Y S T E M S Y INTERNAL & EXTERNAL POOLS	PERSONS WITH PROBABILITY (H	EXPECTED #	00.70	14000 2400 24401	11.24 1.94 0.48	
DEPARTMENT OF S S Y S T E V WITH INTERNAL	4500x5	OMIAL TEST	OMIAL TES	AVAIL %	3876	0524 00324 05032	.7025 .1213 .0299
		USING BINOMIAL	TOTAL	94-	00000 HHHHH	999 HHH	
NEW YORK CITY C E E D WORK FORCE COMPARE		ו	OTHER THAN FOCAL GROUP	го с. го с.	85099 11111	0 16 16	
	DEPARTMENT OPERATORS		FOCAL GROUP	1.1 4	1 1 000	900	
TE: 10/11/13 ME: 14:29:28 Q1	NCY: 827 OUP: 026		EEO VAL	WHITE RIACK	HISPANIC ASIAN / PAC ISL NATIVE AMERICAN ETH UNKNOWN	MALE FEMALE GENDER UNKNOWN	
RUN DATE: 1 RUN TIME: 1 FY2014 Q1	AGENCY JOB GROUP		EEO			COEN	

1 3 CNT'S		IMBAL	00000000000000000000000000000000000000	1 - N<= 8 1 - N<= 8 - N<= 8
GE: 539 AM: EBPPP96 TE: 09/30/1 NCLUDED IN CE: 0.05		PROBABILITY	000000 0000000000000000000000000000000	0.261 0.497 N
PRO EXTRACT EEO DATA OR IMBAL		Z-SCORE	00011 00011 00011 000110 000110	0.0- 40.00- 10.00-
ISSING LSSING		DIFFERENCE	11.67 -0.80 -0.27 -0.03	.0.73 -0.01 -0.72
PERSONNEL M E EXTERNA PERSONS PROBABI	H	EXPECTED #	ЦШНООО Ж44000 Ж1000	0.15 0.72 72
SPARTMENT OF S Y S T E NITH INTERNAL BEGROUP LEVEL	USING BINOMIAL TEST	AVAIL %	1441001 8841001 7018800 7101880 83101	.1529 .1439 .1023
E & C \	NG BIN	TOTAL		L-L-C
NEW YORK CITY C E E D WORK FORCE COMPAREI AT THE AGENCY.	USI	OTHER THAN FOCAL GROUP TO	4፡ಬռ৮৮৮	701
MOR 7 DEPARTMENT OF SANITATIO 7 TRANSPORTATION		FOCAL GROUP	manooo	७ ००
DATE: 10/11/13 TIME: 14:29:28 14 Q1 GENCY: 827 GROUP: 027		EEO VAL	WHITE BLACK HISPANIC ASIAN / PAC ISL NATIVE AMERICAN ETH UNKNOWN	MALE FEMALE GENDER UNKNOWN
RUN DATE: RUN TIME: FY2014 Q1 AGENCY JOB GROUP		EEO VAR	ETH ETH ETH ETH ETH	GEN

51 13 CNTS	IMBAL	 0.0 0.0	O N-05%RUL	
20 / OE B	PROBABILITY	0 0 2 4 6 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.065 <.01 0.186	
PAGE: PROGRAM: EXTRACT DATE: EEO DATA INCL	Z-SCORE	040-1-1- 040-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-	-1.51 3.77 -0.89	
SONNEL PAGE: 54 EXTERNAL POOLS EXTRACT DATE: 09/ PERSONS WITH MISSING EEO DATA INCLUDED PROBABILITY CUT-OFF FOR IMBALANCE: 0.0	DIFFERENCE	1133 1133 1231 1231 1331 1331	17.54 16.85 1.69	
면임되 당 장 장	EXPECTED #	0000 000 000 000 000 000 000 000 000 0	73.54 3.69	
ARTMENT S Y S THE INTERNATION LEV	BINOMIAL TEST L AVAIL *	00000 00000 000000 00000 00000 00000	. 662 2356 3356 332	
CITY DEPA E E D S MPARED WIT GENCY/JOBG	USING BING TOTAL		######################################	
NEW YORK CO WORK FORCE CO SANITATION	OTHER THAN FOCAL GROUP	1111 8888010 884018	4 00 4 00 2 00 2 00	
7 DEPARTMENT OF 3 LABORERS	FOCAL GROUP	000 000000	რ4 როე	
ATE: 10/11/13 IME: 14:29:28 4 Q1 ENCY: 82 ROUP: 022	EEO VAL	WHITE BLACK HISDANIC ASIAN / PAC ISL NATIVE AMERICAN ETH UNKNOWN	MALE FEMALE GENDER UNKNOWN	
RUN TIME: FY2014 Q1 AGENCY: JOB GROUP:	EEO VAR	27.2 27.3 27.3 27.3 27.3 27.3 27.3 27.3	GEN GEN GEN	

10/11/13	000
DATE:	TIME.
RUN	MITC

ťω	CNTS		IMBAL	N-05%RUL	N-05%RUL	N-05%RUL	N-05%RUL	N-05%RUL
PAGE: 541 GRAM: EBPPP961 DATE: 09/30/13	DATA INCLUDED IN MBALANCE: 0.05		PROBABILITY 	0.025	. vo c	0.25 0.01	. 01 0.62	
PAGE: PROGRAM: EXTRACT DATE:	EEO DATA FOR IMBAL		Z-SCORE	1.96	SPUNC SPUNC	\sim	4.76	4.5.7-
SONNEL EXTERNAL POOLS	PERSONS WITH MISSING EEO I PROBABILITY CUT-OFF FOR IN		DIFFERENCE	-79.2	12.46	-67.2	74.25	14 14 14
ŽE Z Z Z		Į.	EXPECTED #	3868.2	1111 1811 180 180 180 180 180 180 180 18	70.16	6428.8 200 46	54.12
ARTMENT C S Y S T TH INTERN	LEVEL YOURGROUP	OMIAL TEST	AVAIL %	5789	.1676	.0105	.9621	.0081
IK CITY BED COMPARED	AGENCE	USING BINOMIAL	TOTAL	96	2222 2222 2222 2222 2222 2222 2222 2222 2222	6682	6682 6682	90
NEW YO. WORK FORCE			OTHER THAN FOCAL GROUP	വസ മപ യമ ഡമ	0020 0030 0030 0030 0030 0030	6679	179	6682
	7 DEPARTMENT OF SANITATION SANIT WORK	•	FOCAL GROUP		12901 10001 1002		6503	.0
NATE: 10/11/13 IIME: 14:29:28 4 Q1	JENCY: 827 JROUP: 029		EEO VAL	WHITE BLACK	HISPANIC ASIAN / PAC ISL NATINE AMEDICAN	ETH UNKNOWN	MALE	GENDER UNKNOWN
RUN DATE: RUN TIME: FY2014 Q1	AGENCY JOB GROUP		EEO VAR	ETH	ETH ETH ETH ETH	ETH	GEN	GEN

61 13 CNTS		IMBAL	Þo	N-05%RUL N-05%RUL	N-05%RUL
PAGE: 542 PROGRAM: EBPPP961 RACT DATE: 09/30/13 DATA INCLUDED IN C		PROBABILITY	. 00.001 00.001 0000	000.0	0.112 0.364 0.361
EXT OREO OR		Z-SCORE	22- 22-24-5 24-69-69-69-69-69-69-69-69-69-69-69-69-69-	- 1.78 - 1.78	1.21 -0.35 -0.36
CONNEL COULS ERSONS WITH MISSING PROBABILITY CUT-OFF F		DIFFERENCE	112.3 13.26 6.84	3.00	6.32 -1.84 -0.13
2 2 2 2 3 4 4 4 4	Ĥ	EXPECTED #	37.29 30.74 28.16	10m	43.68 66.84 0.13
ARTMENT OF E S Y S T E IN INTERNAL GROUP LEVEL	BINOMIAL TEST	AVAIL %	6.00 6.00 6.00 6.00 6.00 6.00	.00055	.3798 .5812 .0011
K CITY DEPARTW E E D S S OMPARED WITH I AGENCY/JOBGROU	USING BING	TOTAL	4444 4444 4504	111 111 122	822 5 5 6 6 7 7 7 7 7 8 8 8 8 8 8 8 8 8 8 8 8 8
NEW YOR C FORCE C AT THE	ם	OTHER THAN FOCAL GROUP	90 71 80 40	115 115	65 50 115
WORK 827 DEPARTMENT OF SANITATION 031 PARA PROFESSION		FOCAL GROUP	014-ພ⊢ በ4-ພ⊢	100	ം സം സം
10/11/13 14:29:28			WHITE BLACK HISPANIC ASTAN / PAC TST.	NATIVE AMERICAN ETH UNKNOWN	MALE FEMALE GENDER UNKNOWN
RUN DATE: RUN TIME: FYZ014 Q1 AGENCY: JOB GROUP:		O EEO R VAL			
RU FRU JOD		EEO VAR	ETH ETH ETH ETH	田田	GEN GEN GEN

<u>Appendix - 5</u> Internal Discrimination Complaints

Department of Sanitation

INTERNAL COMPLAINTS THAT WERE ACTIVE OR RESOLVED FROM JULY 1, 2011 - JUNE 30, 2012

Complaint #	Date Filed	Date Resolved	Type of Resolution
11-010	6/21/2011	7/7/2011	Unsubstantiated
10-036	12/6/2010	7/7/2011	Unsubstantiated
11-001	1/10/2011	7/7/2011	Unsubstantiated
11-015	7/12/2011	9/19/2011	Unsubstantiated
11-013	7/12/2011	8/16/2011	Unsubstantiated
11-012	7/12/2011	7/22/2011	Withdrawal
11-014	7/13/2011	8/2/2011	Substantiated
11-008	6/3/2011	8/5/2011	Unsubstantiated
11-018	10/21/2011	11/1/2011	Substantiated
11-019	11/17/2011	1/9/2012	Substantiated
11-020	11/17/2011	12/9 /2011	Substantiated
11-022	12/16/2011	1/27/2012	Unsubstantiated
11-023	12/28/2011	1/19/2012	Unsubstantiated
12-002	2/8/2012	3/7/2012	Unsubstantiated
12-005	3/29/2012	4/18/2012	Unsubstantiated .
12-006	4/3/2012		Under Investigation
12-007	5/11/2012	6/5/2012	Substantiated

IIIC. Type of re	spondent(s) for	r internal complaints i	filed during this quarter.
Agency 2	Manager 3	Supervisor6_	Co-Worker <u>7</u> _
Others" (Specify)			

INTERNAL COMPLAINTS THAT WERE ACTIVE OR RESOLVED FROM JULY 1, 2012 - JUNE 30, 2013

Complaint #	Date Filed	Date Resolved	Type of Resolution
12-006	4/3/2012	7/2/2012	Unsubstantiated
12-011	8/16/2012	9/24/2012	Unsubstantiated
12-013	10/4/2012	11/20/2012	Substantiated
12-014	10/11/2012	2/12/2013	Class Action Filed
12-015	10/15/2012	10/22/2012	Substantiated
12-016	11/15/2012	11/27/2012	Unsubstantiated
12-018	11/16/2012	1/18/2013	Unsubstantiated
12-017	12/10/2012	12/21/2012	Unsubstantiated
13-001	1/2/2013	1/18/2013	Substantiated
13-003	1/16/2013	3/26/2013	Substantiated
13-007	1/14/2013	4/5/2013	Unsubstantiated
13-004	3/7/2013	4/18/2013	Substantiated
13-005	3/4/2013	3/22/2013	Unsubstantiated
13-006	3/21/2013	5/1/2013	Substantiated
13-009	3/25/2013	5/9/2013	Substantiated
13-010	3/22/2013	4/8/2013	Unsubstantiated
13-011	3/1/2013	4/8/2013	Unsubstantiated
13-013	3/26/2013	5/10/2013	Unsubstantiated
13-012	4/3/2013	4/16/2013	Unsubstantiated
13-016	5/3/2013	6/18/2013	Unsubstantiated

IIIC. Type of	respondent(s) for into	ernal complaints filed	d during this quarter.
			Co-Worker 4
Others" (Specify	 Subordinate (2) 		

Appendix - 6 Department of Sanitation <u>External Complaints</u>*

Total number of external complaints filed: 7

Name of Outside Agency	Year	Nature of complaint	Status of complaint (incl. finding by outside agency)
NYSDHR	2012	DISABILITY	NO PROBABLE CAUSE
NYSDHR	2012	DISABILITY	NO PROBABLE CAUSE
NYSDHR	2012	MARITAL STATUS, VICTIM OF DOMESTIC VIOLENCE, RACE, DISABILITY, AGE, RETALIATION	NO PROBABLE CAUSE
NYSDHR	2012	RACE, DISABILITY, RETALIATION	COMPLAINANT HAS RIGHT TO SUE
NYSDHR	2012	GENDER, SEX'L ORIENTATION, DOMESTIC VIOLENCE, DISABILITY, RACE, RELIGION	NO PROBABLE CAUSE
NYCCHR	2012	RELIGION, CREED	PENDING
EEOC	2013	RETALIATION	PENDING