



Aldrin Rafael Bonilla  
Chair/Commissioner

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Vice-Chair/Commissioner

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BY EMAIL

March 9, 2023

Neil Matthew  
Executive Director  
Financial Information Services Agency  
5 Manhattan West, 4th Floor  
New York, NY 10001

Re: Resolution #2022AP/264-127-(2023)C21  
DETERMINATION: Compliance

Dear Executive Director Matthew:

On behalf of the members of the Equal Employment Practices Commission (EEPC), I write to inform you that pursuant to New York City Charter Chapter 36, Section 832(c), the EEPC's Board of Commissioners has approved the attached *Determination of Compliance*.

As you are aware, the EEPC is required to audit, evaluate, and monitor your agency at least once every four (4) years to ensure the Financial Information Services Agency's compliance with federal, state, and local laws and regulations, best practices, and policies and procedures that increase equal employment opportunity for minority and women employees and applicants. Financial Information Services Agency's successful completion of the EEPC's *Employment Practices Audit (Focus on Underutilization)* demonstrates its commitment to implementing employment policies and practices that encourage and maintain a workplace free from unlawful discrimination and promote equality of opportunity.

Thank you and Principal EEO Professional Margaret Withers for the cooperation extended to the EEPC during the course of our audit of your agency's employment and EEO-related practices. We look forward to working with you and the Financial Information Services Agency to ensure equal employment opportunity in the City of New York.

Sincerely,

A handwritten signature in blue ink, appearing to read "Aldrin Bonilla".

Aldrin Rafael Bonilla  
Chair/Commissioner

Enc.

c: Margaret Withers, Principal EEO Professional, FISA



Monitoring of Employment Practices with a Focus on Underutilization  
RESOLUTION NO.

2022AP/264-127-(2023)C21

Financial Information Services Agency  
Executive Director Neil Matthew  
DETERMINATION: COMPLIANCE

SYNOPSIS

|  |                                   |                                    |                   |
|--|-----------------------------------|------------------------------------|-------------------|
| <b>Corrective Action(s):</b>             | Total: 3                          |                                    |                   |
| <b>Period Audit Covered:</b>             | July 1, 2019 to December 31, 2021 |                                    |                   |
| <b>Preliminary Determination Issued:</b> | November 10, 2022                 | Response Received                  | November 23, 2022 |
| <b>Final Determination Issued:</b>       | November 30, 2022                 | Response Received                  | December 28, 2022 |
| <b>Compliance-Monitoring:</b>            | Required                          | December 1, 2022 to March 31, 2023 |                   |

**Whereas**, pursuant to Chapter 36, Sections 830(a) and 831(d)(2) and (5) of the New York City Charter (Charter), the Equal Employment Practices Commission (EEPC) is authorized to audit, review, evaluate, and monitor the employment procedures, practices and programs of city agencies and other municipal entities (hereinafter “entities”) and their efforts to ensure fair and effective equal employment opportunity (EEO) for minority group members and women who are employed or seek employment, and to recommend practices, procedures, approaches, measures, standards, and programs to be utilized by such entities in these efforts; and

**Whereas**, pursuant to Charter Chapter 36, Sections 830(a) and 831(d)(2) and (5), the EEPC has adopted uniform standards for auditing agencies and municipal entities, and minimum standards for auditing community boards, to review, evaluate, and monitor entities’ practices, procedures, approaches, measures, standards, and programs for compliance with federal, state, and local laws and regulations, and policies and procedures to increase equal opportunity for women, minorities, and other employees and job applicants identified for protection from discrimination; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), the EEPC may make a determination pursuant to Charter Section 831(d) whether any plan, program, procedure, approach, measure, or standard adopted or utilized by any municipal entity does not provide equal employment opportunity, and the EEPC’s determinations of compliance or non-compliance and prescribed corrective action are required by, or consistent with federal, state, and local laws and regulations, and policies and procedures to increase equality of opportunity for women, minorities, and other employees and job applicants identified for protection from discrimination; and

**Whereas**, the EEPC conducted an audit, review, and evaluation of the Financial Information Services Agency’s Employment Practices with a Focus on Underutilization; and

**Whereas**, pursuant to the audit, review, and evaluation of the Financial Information Services Agency’s Employment Practices with a Focus on Underutilization, the EEPC issued a Preliminary Determination, dated November 10, 2022, setting forth findings and the following corrective actions required to remedy areas of non-compliance:

1. Implement an EEO training plan for new and existing employees, which includes all legally required training, to ensure that all individuals who work within the entity, including managers and supervisors, receive all mandatory training, as set forth in the plan; specifically annual sexual harassment training, biennial LGBTQ training, and biennial age discrimination training.
2. Ensure that the principal EEO Professional, principal Human Resources professional (or designee), and Agency Head identify whether there are barriers to equal employment opportunities and determine what, if any, actions are required to correct deficiencies (e.g. underutilization or adverse impact). Document barriers identified (if any), and the entity's strategy to address each barrier.
3. Ensure EEO or human resources professional(s) to annually assess the manner in which candidates are selected for employment in civil service (competitive) titles to determine whether there is any adverse impact upon a particular racial, ethnic, disability, or gender group by: reviewing the competencies, skills and abilities required (as presented in job vacancy notices and notices of examination) for available positions to ensure they are updated, job-related, and required by business necessity, including working with DCAS if applicable; and targeting efforts to inform and encourage entity employees to apply for upcoming civil service and promotional civil service examinations. Document each step the entity has taken to assess selection criteria and address adverse impact where identified.

**Whereas**, within a two-week deadline following the EEPC's Preliminary Determination, the entity submitted a preliminary response; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), after consideration, the EEPC issued a Final Determination on November 30, 2022, which indicated that the following areas required corrective action: no(s). 1, 2, and 3; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), in the Final Determination, the EEPC assigned a monitoring period from December 1, 2022 to March 31, 2023, to determine whether the entity eliminated areas of non-compliance, if any; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c) the entity was required to respond in 30 days, and make monthly reports thereafter for a period not to exceed six months, on the progress of its efforts to correct outstanding areas of non-compliance; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), on December 28, 2022, the entity issued a response to the EEPC's Final Determination; and

**Whereas**, in accordance with Charter Chapter 36, Section 832(c), the Financial Information Services Agency was monitored until March 7, 2023; and

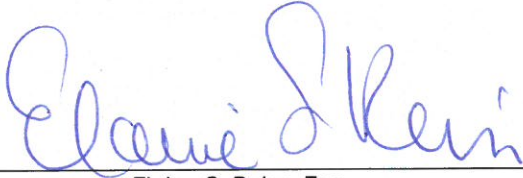
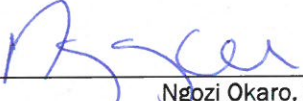

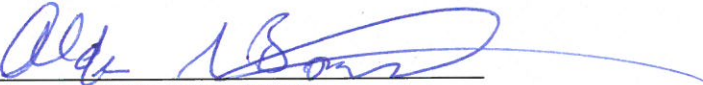
**Whereas**, pursuant to Charter Chapter 35, Sections 815(a)(15) and (19), which requires agency heads to ensure and promote equal opportunity for all persons in appointment, payment of wages, development, and advancement, and to establish measures and programs to ensure a fair and effective affirmative employment plan to provide equal employment opportunity for minority group members and women, the Executive Director recognized the EEPC's audit and reiterated commitment to the Financial Information Services Agency's equal employment practices. **Now Therefore**,

**Be It Resolved**, that the Financial Information Services Agency has satisfied the equal

employment standards set by the EEPC pursuant to its authority under New York City Charter Chapters 35 and 36; and

**Be It Resolved**, that the EEPC's Board of Commissioners approves the issuance of this Determination of Compliance to Executive Director Matthew of the Financial Information Services Agency.

Approved unanimously on March 9, 2023.

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| <hr/> <p>Minosca Alcantara, Ed.D.<br/>Commissioner/Mayoral Appointee</p>  |  <hr/> <p>Elaine S. Reiss, Esq.<br/>Vice-Chair/Commissioner/Mayoral Appointee</p> |
|  <hr/> <p>Ngozi Okaro, Esq.<br/>Commissioner/City Council Appointee</p>      |  <hr/> <p>Nicole Yearwood, MPA<br/>Commissioner/City Council Appointee</p>        |
|  <hr/> <p>Aldrin Rafael Bonilla<br/>Chair/Commissioner/Joint Appointee</p> |   |





This  
**Determination of Compliance**

is hereby issued to

**Financial Information Services Agency**

for successful implementation of 3 of 3 required corrective actions,  
thereby achieving compliance with the Equal Employment Practices Commission's  
Employment Practices with a Focus on Underutilization  
from July 1, 2019 to this date.

In care of Executive Director Neil Matthew  
and Principal EEO Professional Margaret Withers

On this ninth day of March in the year 2023,

Aldrin Rafael Bonilla, Chair/Commissioner

Jeanne M. Victor, Executive Director