

DEPARTMENT OF RECORDS AND INFORMATION SERVICES (DORIS)
DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY PLAN
FISCAL YEAR 2020

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

TO: All DORIS employees
FROM: Pauline Toole
SUBJECT: Equal Employment Opportunity Commitment
Date: November 8, 2019

As the Commissioner of the Department of Records and Information Services (DORIS), I am committed to ensuring fair employment practices. 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 a work environment that values 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 Diversity and EEO Officer.

All staff should know who the agency's EEO personnel are 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, Alejandra Figueroa, Michael Lorenzini and Urmi Udeshi. All are located at 31 Chambers Street and Michael Lorenzini visits the warehouses on a regular basis. Contact information is: wchau@records.nyc.gov/212-788-8619; afigueroa@records.nyc.gov/212-788-8623; 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 intranet. Please address any concerns or questions you may have with LaTonya Jones.

This statement is the same as last year.

II. Recognition and Accomplishments

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

1. The agency's Quality of Work Life committee was re-built to its full complement of agency labor and management members.
2. Expanded content on the intranet and improved accessibility features.
3. Provided opportunities for cross-training amongst staff.
4. The agency identified risk factors as required by DCAS and began taking steps to address areas where there was risk, including the following: sharing monthly updates on activities from each area of the agency (to address Risks 3, 4 and 5); and conducted outreach to agency consultants and contractors who met the requirements of an MWBE to engage them around certification.

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

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

**Please specify under "Additional Comments"*

The agency will continue to recognize employees, supervisors, managers, and agency units demonstrating superior accomplishment in diversity and equal employment opportunity in FY 2020.

Additional Comments:

III. Workforce Review and Analysis

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

In FY 2020, the agency will remind and encourage its employees to update self-ID information regarding race/ethnicity, gender, and veteran status through any of the following means:

- NYCAPS ESS (by email annually)
- Agency's intranet site
- Newsletters
- On-boarding
- Manager/supervisor observation, if employee refuses to self-ID

Additional Comments:

2. Describe the review process of the CEEDS workforce composition, utilization, new hires and promotions data presented in your quarterly agency workforce dashboard and/or internal workforce reporting. Describe how your agency's EEO Officer, Personnel Officer and

General Counsel work together to review demographic trends. These reports must be reviewed regularly with the Agency Head.

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

Reviewed with	Frequency
Human Resources	<input type="checkbox"/> Quarterly <input checked="" 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 _____
Agency Head	<input type="checkbox"/> Quarterly <input checked="" type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
Other (Agency Attorney)	<input type="checkbox"/> Quarterly <input checked="" type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____

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

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

Additional Comments:

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. In FY 2019, the agency attorney, Administrative Personnel Officer address longstanding under-utilization in the management specialists job category, including the possible development of a scholarship. In FY 2019, the agency developed and began utilizing an exit survey. The agency will implement the DCAS onboarding survey.

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

1. Proactive Strategies to Enhance Diversity, EEO and Inclusion

State below the central goals of your strategy for FY 2020 focused on enhancing diversity, equal employment opportunity, and the overall value of inclusion at your agency. Include initiatives that your agency will implement in FY 2020.

1. **Workforce:** The agency will encourage staff to utilize City-funded training programs. Develop a mentoring program. Offer a minimum of four opportunities to cross-train per fiscal year for all staff. In addition, the EEO Officer will explore whether the LinkedIn website can be utilized to address under-utilization in some areas. The EEO Officer will work with the Administrative Personnel Officer to analyze essential operational roles and develop a succession planning strategy. The agency will also further engage the career development offices at various local schools (i.e., NYU Tandon School of Engineering) to have more substantial outlets for postings.

2. **Workplace:** The agency will develop ways to objectively measure its ability to attract and retain qualified and diverse staff, including the development of a brief survey for interviewees to gather more detailed information on how candidates hear about job postings.. In addition, the EEO Officer and Administrative Personnel Officer will explore ways to more fully utilize the Mayor’s Office of Appointments’ mentoring program, including outreach to identify the requirements for agency participation and forwarding relevant information to staff. In FY 2020, the agency is continuing extensive plans to improve the workspace environment. As part of this renovation, the agency is currently planning upgrades to our two off-site locations in Brooklyn and Queens, which will involve the creation of new office structures and a move to a climate-controlled setting.

3. **Community:** The agency will build on outreach efforts to various communities in the five boroughs, including the continuation of the *WomensActivism.NYC* and *Neighborhood Stories* projects. The agency is also working to expand its collaborations with local K-12 by adding curriculum aides to its website for use by educators, partnering with local schools to participate in #20000by2020 campaign, and providing tours to elementary students of our Brooklyn Bridge materials. 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.

2. Describe the new and continuing initiatives devoted to innovative enhancement and expansion of the three strategic pillars of Diversity and EEO strategy: **WORKFORCE**, **WORKPLACE**, and **COMMUNITY**.

A. WORKFORCE:

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

The agency will address underutilization in FY 2020 by:

- Enhancing internal and external applicant pools to address the underutilization.
- Using the quarterly workforce dashboard and identifying specific job groups where underutilization exists to guide recruitment efforts.

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

- Job analysis and skills audit.
- Conduct workforce planning and forecasting.
 - Use the DCAS Retirement Predictor Tools to address the impending retirement of employees and possible loss or gap in talent.
 - Integrate succession planning in the agency activities to develop a pipeline, facilitate a seamless transition and continuity of service.
 - Ensure that there will be a diverse applicant pool for the anticipated vacancies.
 - Evaluate best sources for diverse candidates
 - Encourage agency employees to take promotional civil service examinations by:
 - Sending e-mails with schedule of exams
 - Providing link to specific DCAS exams
 - Posting schedules and exam announcements at the agency intranet
 - Other (specify): _____

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

- Institute coaching, mentoring and cross training programs.
- Identify best practices to retain mature employees.
- Implement initiatives to improve the development and training of employees.

- Promote employee involvement by supporting Employee Resource Groups
- Conduct Diversity and Inclusion Training

Additional Initiatives, Programs, or Comments:

Note: Above, the agency indicated an interest in utilizing the DCAS Retirement Predictor Tools but will need more information on accessing this function. The agency is currently planning an agency-wide training day to take place in December, 2019. The day will involve staff completing the following trainings: COIB, DOI, Right to Know, Ergonomics, and Workplace Violence. The agency deployed the Sexual Harassment Prevention training agency-wide in September 2019, paired with the annual re-taking of the City’s EEO Awareness webinar. In FY 2020, the EEO Officer will similarly deploy the lgbTq (transgender awareness) training to all staff. On September 24, 2019, the agency held a Mental Health First Aid training – through Thrive NYC – to give our frontline staff more resources.

B. WORKPLACE:

- The agency will take initiatives to create an inclusive work environment that values differences, and to maintain focus on retaining talent across all levels.
- In FY 2019, the agency conducted the following survey(s) to improve the recruitment, hiring, inclusion, retention and advancement of people in underrepresented groups:
 - Engagement /Job Satisfaction/ Employee Morale Survey(s)
 - Citywide Onboarding survey
 - Citywide Exit Survey for Non-Represented Employees
 - Exit interview or surveys developed by the agency

- The agency will adopt in FY 2020 the following initiatives based on the analysis of the results of the survey(s):
 1. Improve the agency’s outreach efforts to address under-utilization based on interviewee survey in development.
 2. Begin using the Citywide onboarding and exit surveys.

Additional Initiatives, Programs, or Comments:

In FY 2019, the agency began extensive plans to improve the workspace environment (i.e., removed carpeting, painting walls, updating furnishings, etc.). These updates and renovation are continuing into FY 2020 as indicated above.

C. COMMUNITY:

In FY 2020, the agency will:

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

Additional Initiatives, Programs or Comments:

In FY 2019, the agency developed and began implementing a plan to survey online and on-premise users of our services in order to improve the user’s experience on the agency’s website. Through the implementation of a brief online survey (web-only) and a slightly more detailed card-sorting exercise for regular visitors to the agency’s on-premise reference spaces, the agency will develop a better understanding of where users will naturally seek information to improve the sitemap of the agency’s main website. In addition, the agency is working with DoITT to meet or exceed current web accessibility standards on its website. To this end, the agency secured a digital marketing and accessibility intern through the CUNY Service Corp program.

The agency is continuing to work on exceeding the City’s MWBE goals. In FY 2018 DORIS’s MWBE utilization rate was 23%. Out of \$778,200, the agency’s total spending, DORIS spent \$175,200 on MWBEs. In FY 2019 DORIS’ MWBE utilization rate increased to 42%. Out of \$954,903, the agency’s total spending, DORIS spent \$399,479 on MWBEs.

V. Recruitment

A. Recruitment Efforts

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

The agency will implement the following recruitment strategies and initiatives in FY 2020:

- Review policies, procedures, and practices related to targeted outreach and recruitment.
- Review underutilization in job groups to inform recruitment efforts.
- Direct resources to bolster efforts aimed at increasing the effectiveness of diversity recruitment.
- Put in place an operating, up-to-date, accessible website, mobile application and social media presence related to careers. Currently in operation.
- Assess agency job postings to ensure appropriate diversity, inclusion, and equal opportunity employer messaging.
- Share job vacancy notices with the Mayor’s Office for People with Disabilities at nycatwork@mopd.nyc.gov, (212) 788-2830 and ACCES VR by sending the job vacancy notices to Maureen Anderson at Maureen.Anderson@nysed.gov, (212) 630-2329 so they can share it with their clients.
- Reach out to the DCAS Office of Citywide Recruitment (OCR) as a resource at citywiderecruitment@dcas.nyc.gov.
- If your agency is an eHire agency, post ALL vacancies on NYC Careers.
- Ensure that agency personnel involved in both the discretionary and the civil service hiring process have received:
 - structured interviewing training
 - unconscious bias training
- Use the NYCAPS eHire Applicant Interview Log to determine whether recruitment efforts and recruitment sources yield a diverse pool of qualified candidates.
- Assess recruitment efforts to determine whether such efforts adversely impact any particular group.

Additional Strategies, Initiatives and Comments:

Diverse Recruitment Source(s)	What sort of return do you expect to see from the effort? Indicate if this source yielded increased and diverse applicant pool. Were there successful hires from this source?
1. Mayor's Office for People with Disabilities	1. <input type="checkbox"/> Previous hires from this source

<p>2. Society of American Archives- Archives and Archivists of Color Roundtable</p> <p>3. Society of American Archives - Latin American and Caribbean Cultural Heritage Archives (LACCHA)</p> <p>4. Society of American Archives - Native American Archives Roundtable</p> <p>5. 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.</p>	<p>2.</p> <p><input checked="" type="checkbox"/> Previous hires from this source</p> <p>3.</p> <p><input type="checkbox"/> Previous hires from this source</p> <p>4.</p> <p><input type="checkbox"/> Previous hires from this source</p> <p>5.</p> <p><input checked="" type="checkbox"/> Previous hires from this source</p>
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B. Internships/Fellowships

Indicate the type of internship/fellowship opportunities available at your agency. Please provide the number of student interns/fellows employed in FY 2019 and their demographic profiles. Indicate your plans to provide internship/fellowship opportunities in FY 2020.

The agency provided the following internship opportunities in FY 2019:

Type of Internship\Fellowship	Total	Race/Ethnicity *[#s] * Use self-ID data	Gender * [#s] * Use self-ID data
1. Urban Fellows			M __ F__ Non-Binary __ Other __ Unknown __
2. Public Service Corps	2	Asian Black Hispanic White 2	M __ F_2_ Non-Binary __ Other __ Unknown __
3. Summer College Interns	6	Asian 1 Black 2 Hispanic 2 White 1	M_2_ F_4_ Non-Binary __ Other __ Unknown __

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4. Summer Graduate Interns	6	Asian 1 Black 1 Hispanic White 4	M __ F_6_ Non-Binary __ Other __ Unknown __
5. Other (specify):	27	Asian 15 Black 1 Hispanic 3 White 8	M _13_ F_14_ Non-Binary __ Other __ Unknown __

* 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 2020.

Additional Comments:

The agency continues to partner with the following programs annually, in addition to other internship programs throughout the year: Summer Youth Employment Program, PENCIL, Futures and Options, CUNY Service Corp, CUNY Internship Program, and Public Service Corp.

C. 55-a Program

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

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

The agency will conduct outreach about job postings to organizations such as the following: Eastern Paralyzed Veteran Association, Lighthouse Guild, and the 504

Democratic Club. The agency will also forward job postings to the Mayor’s Office of People with Disabilities.

2. Indicate the goals of your 55-a Program Coordinator for FY 2020. Also include your agency plans to do the following: participate in career and job fairs; use internship, work-study, co-op, and other programs to attract a pool of diverse 55-a program applicants; and promote and encourage 55-a program participants to take civil service examinations.

The agency uses the 55-a Program to hire and retain qualified individuals with disabilities and plans to utilize the 55-a Program to hire and retain qualified individuals with disabilities in FY 2020.

Currently, there are __0__ [number] 55-a participants.

There are __0__ [number] participants who have been in the program less than 2 years.

Last year, a total of __0__ [number] new applications for the program were received and __0__ participants left the program due to [state reasons] _____.

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.

_Information about the program is provided on the intranet. In addition, the agency participates in career fairs annually.

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

a) the severity of the candidate’s physical and/or mental disability;

b) the candidate’s previous and/or current encounter with significant barriers to finding employment due to the disability;

c) the candidate’s encounter of obstacles that can prevent him/her from taking civil service examinations due to the disability.

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

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

The goals of the 55-a Coordinator for FY 2020 are:

1. Increasing awareness of the 55A program;
2. Regularly adding 55A enrollment information to the agency's updated intranet
- 3.
- 4.

These goals are the same as last year.

Additional Goals, Initiatives, and Comments:

The 55A Coordinator will expand outreach to the organizations identified above.

VI. Selection (Hiring and Promotion)

1. For FY 2020, if your agency is fiscally able to hire new employees and/or backfill open positions, please discuss the planned duties for your career counselor specific to advising employees of opportunities for promotion as well as overall career development.

In FY 2020, the agency's Career Counselor will perform the following tasks:

- Review policies, procedures, and practices related to hiring (including vacancy announcements, use of certification lists, and the selection process for mission critical occupations).
- Promote employee awareness of opportunities for promotion and transfer within the agency.
- Inform employees on promotional and transfer opportunities.
- Arrange agency wide notification of promotional and transfer opportunities.
- Encourage the use of training and development programs to improve skills, performance and career opportunities.
- Provide information to staff on both internal and external Professional Development training sources.
- Explain the civil service process to staff and what it means to become a permanent civil servant.

<ul style="list-style-type: none"><input checked="" type="checkbox"/> Provide technical assistance in filing for upcoming civil service exams.<input checked="" type="checkbox"/> Provide agency staff with citywide vacancy announcements, civil service exams notices and other career development information.<input checked="" type="checkbox"/> Continue to facilitate the use of training to improve skills and access to career opportunities of all employees in its Leadership Program and via referrals to DCAS.<input type="checkbox"/> Assist employees and Job Training Program participants (if applicable) assess and develop career paths.<input type="checkbox"/> Provide resources and support for:<ul style="list-style-type: none"><input type="checkbox"/> Targeted job searches<input type="checkbox"/> Development job search strategies<input type="checkbox"/> Resume preparation<input type="checkbox"/> Review of effective interview techniques<input type="checkbox"/> Review of techniques to promote career growth and deal with change<input type="checkbox"/> Internship exploration
<p><i>Additional Initiatives and Comments:</i></p>

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

<p>In FY 2020, the agency will do the following:</p> <ul style="list-style-type: none"><input checked="" type="checkbox"/> Review and develop a protocol for in-title promotions and salary increases.<input checked="" type="checkbox"/> Promote employee awareness of opportunities for promotion and transfer within the agency.<input checked="" type="checkbox"/> Assess the criteria for selecting persons for mid-level to high level positions.<input checked="" type="checkbox"/> Publicly post announcements for all positions, including senior level positions.<input checked="" type="checkbox"/> Actively reach out to networks of underrepresented groups as part of its outreach.<input checked="" type="checkbox"/> Reach out to the Mayor’s Office of Appointments for help to identify diverse pools of talent and additional networks for finding qualified candidates.
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- Ensure that hiring managers are trained in structured interviewing techniques to avoid unintentional biases in the hiring process.
- Assess the manner in which candidates are selected for employment, to determine whether there is any adverse impact upon any particular racial, ethnic, disability, or gender group.
- If adverse impact is discovered, the agency head will determine whether the criteria being utilized are job-related. If the criteria are not job-related, the agency will discontinue using that method.
- Compare the demographics of current employees to the placements.
- Revise the promotion request form to include the various reasons why a promotion may be necessary.
- Review the demographics race\ethnicity and gender for those who received the promotion\salary raises.
- Submit the resumes for the second- and third-choices for the position.
- Review the demographics of the senior leadership regularly (by Agency Head).
- Review on a quarterly basis the demographics of those who received promotion and share the information with the Commissioner and Human Resources (by EEO Officer).

Additional Comments:

3. For FY 2020, indicate how your agency will review the methods by which candidates are selected for new hiring and promotion. Identify the steps that are taken to ensure that selection process is objective and job related. For instance, have you explored/implemented structured interviewing and/or training, panel interviews, etc.?

During FY 2020, the agency will do the following:

- Review policies, procedures, and practices related to hiring (including vacancy announcements, use of certification lists, and the selection process for mission critical

occupations) for possible barriers that have a negative impact on minority employees and applicants.

- Use a collaborative effort between EEO, HR and managers where necessary, develop action plans to eliminate identified barriers.
- Develop specific, job-related qualification standards for each position that reflect the duties, functions, and competencies of the position and minimize the potential for gender stereotyping and other unlawful discrimination. Make sure these standards are consistently applied when choosing among candidates.
- Establish written objective criteria for evaluating candidates for hire or promotion and applying those criteria consistently to all candidates.
- In conducting job interviews, ensure nondiscriminatory treatment by conducting a structured interview, where the same questions are asked of all applicants for a particular job or category of job and inquiring about matters directly related to the position in question.
- Use a diverse panel of interviewers to conduct the interview.
- Have the EEO Officer review the interview questions.
- Have the EEO Officer observe interviews, where possible.
- Use the NYCAPS eHire applicant tracking system for external and internal applicants.
- Make adjustments to agency outreach and recruitment efforts where necessary.
- Monitor the results of action plans for any changes in the agency workforce including increases or decreases in applications of qualified applicants and selection rates.

Additional Comments:

4. For FY 2020, what steps will your agency take to review the positions filled through a civil service list?

A. Detail planned actions specific to review of title specification, job description, interview procedures, and selection procedures.

- Reach out to DCAS' Classification at 212-386-0344 to ensure that the job description and specification is current.

<ul style="list-style-type: none"><input checked="" type="checkbox"/> Review and develop specific, job-related qualification standards for each position that reflect the duties, functions, and competencies of the position and minimize the potential for gender stereotyping and other unlawful discrimination.<input checked="" type="checkbox"/> Use structured interview, where the same questions are asked of all applicants for a particular job or category of job and inquiring about matters directly related to the position in question. <p>B. Discuss your current protocol for use of the NYCAPS Applicant Interview Log reports to identify applicants by gender and race/ethnicity.</p> <ul style="list-style-type: none"><input type="checkbox"/> The agency does not use the NYCAPS Applicant Interview Log Report.<input checked="" type="checkbox"/> The agency will schedule orientation with NYCAPS Central.<input checked="" type="checkbox"/> The agency will use the Applicant Interview Log Report to track applicant sources and identify the best sources of applicants. <p>C. Discuss all planned steps taken to identify barriers to entry for positions and actions under consideration to address such barriers.</p> <ul style="list-style-type: none"><input type="checkbox"/> Identify at least two or three people from diverse gender and racial\ethnic backgrounds to review received applications and conduct the interviews. <p>D. When identifying groups of subject matter experts to assist the DCAS test development team, please describe efforts that will be taken to select a diverse and inclusive group of individuals.</p> <ul style="list-style-type: none"><input checked="" type="checkbox"/> The agency will identify a diverse group of subject matter experts (e.g. race, gender, age, assignments location, etc.) when requested by DCAS.<input checked="" type="checkbox"/> The agency will use objective job-related criteria to identify the subject matter experts who will participate in test development.<input checked="" type="checkbox"/> The agency will make an effort to ensure different staff members are given the opportunity to participate in test development.
<p><i>Additional Comments:</i></p>

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

<p>In FY 2020, the agency EEO Officer will do the following:</p>
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PRE-SELECTION:

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

POST-SELECTION:

- Periodically review candidate evaluation forms and conduct a job applicant analysis via the NYCAPS eHire Applicant Interview Log reports to advise Human Resources of any demographic trends and/or EEO concerns.
- Review hiring package for review and approval.
- Other: _____

Additional Comments:

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

- The agency will use the DCAS Layoff Procedure as guidance, should there be any layoffs, terminations and demotions due to legitimate business/operational reasons in FY 2020.

- ☒ The agency will analyze the impact of layoffs or terminations on racial, gender and age groups.
- ☒ Where layoffs or terminations would have a disproportionate impact on any of these groups, the agency will document that the targeted titles or programs were selected based on objective criteria and justified by business necessity.
- ☒ The Agency Personnel Officer, EEO Officer and General Counsel will be involved in making layoff or termination decisions. It should be noted that layoffs must be conducted by seniority in compliance with civil service law (for competitive titles) and union contract (for non-competitive and labor class titles).

VII. Training

Training Topic	Type of Audience (e.g. Front-Line Staff, Managers, Supervisors, etc.)	Target Number of Participants	Targeted Dates
1. EEO Awareness (e-learning)	All agency staff, along with interns, consultants, and contractors.	91	October 2019; Ongoing
2. EEO Awareness (classroom)			
3. Everybody Matters (D&I) (classroom)			
4. Everybody Matters (D&I) (e-learning)			
5. Sexual Harassment Prevention (e-learning)	All agency staff, along with interns, consultants, and contractors.	91	October 2019; Ongoing
6. Sexual Harassment Prevention (classroom)			
7. Disability Etiquette			
8. Structured Interviewing and Unconscious Bias (classroom)	All hiring panel staff.		Ongoing
9. 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.
- The agency provides reasonable accommodation for disability, religion, victims of domestic violence, sex offense and stalking, pregnancy, childbirth or a related medical condition.
- The agency grants or denies request 30 days after submission or as soon as possible.
- The agency head or designee¹ must review and grant or deny the appeal fifteen (15) days after submission of appeal. If NOT the agency head, please provide the name and title of the designee: _____
- The agency follows the City's Reasonable Accommodation Procedure.
- The agency will input the Reasonable Accommodation activity on the DCAS Citywide Complaint and Reasonable Accommodation Tracking System and update the information as they occur.
- The agency analyzes the reasonable accommodation data made at the agency.

Describe procedures and speed of resolution, 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 receives a small number of reasonable accommodation requests each year, primarily around religious observance of the sabbath and furniture requests to

¹ EEO Officer and General Counsel should **NOT** be appointed as agency head designee. Note conflict of interest, i.e., that in the case of an external challenge to the denial of a reasonable accommodation, the agency's GC would be tasked with defending the agency against a decision in which that office was a decision maker on appeal. Refer to the revised Guidelines indicating that neither the EEO Officer nor GC may serve as the agency head's designee found at: <http://extranet.dcas.nycnet/eo/diversityeeo/media/19647/reasonable-accommodation-procedural-guidelines-lc-12116.pdf> (p17).

accommodate a medical issue. As such, it is a simple process for the APO and EEO Officer to assess trends in this area.

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

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

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

- The agency plans to train all new employees within 30 days of start date.
- All the front-line supervisors, managers and employees were re-trained during FY 2019.
- All managers\supervisors will be re-trained by March 7, 2021.
- All front-line employees will be re-trained by March 7, 2020.

Training Topic	Type of Audience	Target Number of Participants	Targeted Dates
lgbTq – Power of Inclusion (classroom)	Supervisors		
	Front Line Staff		
lgbTq – Power of Inclusion (e-learning)	All Agency Staff	79	January/February 2020

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

Additional Comments:

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

<input checked="" type="checkbox"/> The agency has reviewed its practices (including application and interview forms) with regards to prohibition on inquiry regarding pay history. <input checked="" type="checkbox"/> All personnel involved in job interviews will be required to go through Structured Interviewing and Unconscious Bias Training.
<i>Additional Comments:</i>

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

<input checked="" type="checkbox"/> The agency plans to train <u>all</u> new employees on Sexual Harassment Prevention within 30 days of start date. Current employees will be trained annually.
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Training Topic	Type of Audience	Target # of participants	Targeted Dates
1. Sexual Harassment Prevention (classroom)			
2. Sexual Harassment Prevention (e-learning)	Staff, consultants, interns, contractors.	79	October 2019; Ongoing

<i>Additional Comments:</i>

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

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

	Initiative(s)	Who is Responsible for implementing the initiative(s)?	Timeframe\Timeline
Risk 1 Homogenous Workplace	<ul style="list-style-type: none"> • Agency divisions can prioritize assigning employees to work across units more 	EEO Officer and HR Administrator, in conjunction with division heads.	<u>Ongoing</u> <input checked="" type="checkbox"/> <u>Completed</u> <input type="checkbox"/>

	<p>frequently to break up some of the homogeneity;</p> <ul style="list-style-type: none"> • The agency can facilitate an ongoing conversation about sexual harassment and identify strategies or tools that can be used to address situations that may arise; • The agency can train employees and engage in conversations about language that is appropriate or inappropriate for work; • Schedule ongoing conversations with employees at division meetings to ensure employees know that if they experience or witness sexual harassment, it should be reported; • The agency can send employees a monthly tip to prevent sexual harassment or display one on the employee computer login screen; • Training for employees who interact with the public would be useful. 		
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DORIS FY 2020 DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY PLAN

<p>Risk 2 Cultural and Language Differences in the workplace</p>	<p>No specific actions are necessary at this time due to low to no risk in this specific area of risk.</p>	<p>N/A.</p>	<p><u>Ongoing</u> <input type="checkbox"/></p> <p><u>Completed</u> <input type="checkbox"/></p>
<p>Risk 3 Workplaces with Significant Power Disparities</p>	<ul style="list-style-type: none"> • Increase the amount of EEO information and resources that are provided to the employees. • Issue an agency-wide communication informing the employees that Human Resource hours can be utilized to report sexual harassment. • Post the EEO Officer and Counselors contact information on the agency intranet site. • Analyze the organizational structure and assess the ways to minimize and/or eliminate significant power discrepancies. <ul style="list-style-type: none"> • Boost recruitment efforts to attract more diverse candidates. 	<p>HR Administrator and EEO Officer.</p>	<p><u>Ongoing</u> <input checked="" type="checkbox"/></p> <p><u>Completed</u> <input type="checkbox"/></p>
<p>Risk 4 Isolated Workplaces</p>	<ul style="list-style-type: none"> • Ensure that the isolated workplace employees have information on how to report sexual harassment; • Post EEO posters and information on bulletin boards and work spaces; • Increase the presence of 	<p>Directors of Records Management and Archives, in conjunction with HR Administrator.</p>	<p><u>Ongoing</u> <input checked="" type="checkbox"/></p> <p><u>Completed</u> <input type="checkbox"/></p>

	<p>supervisors at the isolated workplace;</p> <ul style="list-style-type: none"> • Develop a protocol for handling issues that occur at the isolated workplace; • Post the protocol on the agency intranet. 		
Risk 5 Decentralized Workplaces	<ul style="list-style-type: none"> • Increase the number of all-agency meetings and rotate location of division meetings through each work-site if feasible; • Ensure that the employees at decentralized workplaces have information on how to report sexual harassment; • Post EEO information on bulletin boards and work spaces at each site; • Increase the presence of supervisors at the isolated workplace; • Develop Lunch with Leaders program at each work-site; • Have senior staff work remotely from other sites; • Use video-conferencing; • Develop a protocol for handling issues that occur at off-site work locations; • Post the protocol on the agency intranet. 	All senior staff members.	<p><u>Ongoing</u> <input checked="" type="checkbox"/></p> <p><u>Completed</u> <input type="checkbox"/></p>
Other Findings	N/A	N/A	<u>Ongoing</u> <input type="checkbox"/>

			Completed <input type="checkbox"/>
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E. Local Law 97 (2018): Annual Sexual Harassment Reporting

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

F. Local Law 101 (2018): Climate Survey

Describe how additional insights gained from the analysis of the citywide Climate Survey will influence your agency workforce/workplace/community initiatives.

<p>The agency, in collaboration with DCAS, has conducted a climate survey and:</p> <p><input checked="" type="checkbox"/> analyzed results of the response data sent by DCAS.</p> <p><input checked="" type="checkbox"/> implemented the following initiatives to address concerns raised in the Climate Survey: It was recommended that we continue to increase EEO awareness at the agency, ensure employees are aware of the process of making a complaint, and compare our agency-specific results to the city-wide results to determine gaps. The agency has moved to annual EEO awareness training, which was completed by all staff, consultants, and interns in October of 2019. This – along with the annual agency head commitment to EEO – which was issued in November 2019 – inform staff about the process. This will be followed by meetings between directors and their teams to further clarify EEO at the agency. The Climate Survey results were evaluated at a senior staff meeting and it was noted that the agency fared well overall. Also, steps taken to address risk (previously identified) may address issues identified in the Climate Survey.</p> <p><input checked="" type="checkbox"/> The agency will provide a report to DCAS on the above initiatives by January 31, 2020.</p>
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[NOTE: DCAS is mandated to submit a report on Action Plan to the Mayor and the Speaker of the Council].

Additional Comments:

X. Audits and Corrective Measures:

Please choose the statement that applies to your agency.

The agency is NOT involved in an audit conducted by NYC EEPC or another governmental agency specific to our EEO practices.

The agency is currently being audited or preparing responses to 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 2020 to include and implement EEPC recommendations that will be implemented during the fiscal year.

The agency is subject to any other oversight or review by a federal, state or city civil rights agency [please specify _____].
Attach a copy of the document setting out the oversight parameters and the agency’s most recent report to the oversight agency.

The agency was involved in an audit conducted by the EEPC or [_____ **another governmental agency – please specify**] specific to our EEO practices. This agency will continue/be required to implement measures during the year that this plan is in effect (please attach a copy of the audit findings.)

NOTE: Final Agency Head’s signature and date should be set only after you receive DCAS’ approval of the plan.

Pauline Ann Toole

Print Name of Agency Head

Signature of Agency Head

Date

APPENDIX
Contact Information

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

1. Agency EEO Officer

LaTonya C. Jones LCJones@records.nyc.gov 212-341-6022
31 Chambers Street, Suite 305
New York, NY 10007

2. Agency Chief Diversity & Inclusion Officer [if designated]

N/A

3. ADA Coordinator

Naomi Pacheco napacheco@records.nyc.gov 212-788-8622
31 Chambers Street, Suite 304
New York, NY 10007

4. Disability Rights Coordinator

Naomi Pacheco napacheco@records.nyc.gov 212-788-8622
31 Chambers Street, Suite 304
New York, NY 10007

5. Disability Services Facilitator

Raul Flores rflores@records.nyc.gov 212.341.6027

31 Chambers Street, Suite 305
New York, NY 10007

6. 55-a Coordinator

Naomi Pacheco napacheco@records.nyc.gov 212-788-8622
31 Chambers Street, Suite 304
New York, NY 10007

7. Career Counselor(s)

Naomi Pacheco napacheco@records.nyc.gov 212-788-8622
31 Chambers Street, Suite 304
New York, NY 10007

8. Training Liaison(s)

Naomi Pacheco napacheco@records.nyc.gov 212-788-8622
31 Chambers Street, Suite 304
New York, NY 10007

9. EEO Counselors

Wai Yu (Julie) Chau wchau@records.nyc.gov 212-788-8619
31 Chambers Street, Suite 304
New York, NY 10007

Urmi Udeshi uudeshi@records.nyc.gov 212-788-8634
31 Chambers Street
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Michael Lorenzini mlorenzini@records.nyc.gov 212-788-8576
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