

FY 2021 AGENCY QUARTERLY DIVERSITY AND EEO REPORT

AGENCY NAME: NYC DEPARTMENT OF INVESTIGATION

1st Quarter (July -September), due November 6, 2020
 2nd Quarter (October - December), due January 29, 2021
 3rd Quarter (January -March), due April 30, 2021
 4th Quarter (April -June), due July 30, 2021

Prepared by:
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Name	Title	E-mail Address	Telephone No.
Date Submitted: <u>February 5, 2021</u>			

FOR DCAS USE ONLY: *Date Received:*

INSTRUCTIONS FOR FILLING OUT QUARTERLY REPORTS FY 2021

[NOTE: These forms are cumulative. For Q2, Q3 and Q4 use previous quarter’s submission to update]

1. Please save this file as ‘**XXXX Quarter X FY 2021 DEEO Quarterly Report.Part I**’ where ‘XXXX’ is the commonly used acronym of your agency. You must submit this file in MS Word format. Please do not convert it to PDF.
2. Complete the “Diversity and EEO Training Summary” details in the attached Excel file. Under Section 10 (“Other”), include training classes co-organized or co-sponsored by your agency EEO and/or HR that are related to the development of the agency staff in the areas of equal employment, diversity, inclusion, civil rights, workplace culture and behavior, interpersonal relations, and community relations.
3. Mark progress in check boxes in the column for the current quarter. NOTE: DELAYED = behind schedule; DEFERRED = put off until later when better resources become available.
4. Please save the Excel file as ‘**XXXX Quarter X FY 2021 DEEO Training Summary**’, where ‘XXXX’ is the commonly used acronym of your agency. You must submit this file in MS Excel format. Please do not convert it to PDF.

PART I: NARRATIVE SUMMARY**I. COMMITMENT AND ACCOUNTABILITY STATEMENT BY THE AGENCY HEAD**

Distributed to all agency employees? Yes, On (Date): _____ No
 By e-mail
 Posted on agency intranet
 Other

II. RECOGNITION AND ACCOMPLISHMENTS

The agency recognized employees, supervisors, managers, and 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): _____

* Please describe D&EEO Awards and/or Appreciation Events below:

A. WORKFORCE:

Please list the Workforce Goal(s) included in <i>Section IV: Proactive Strategies to Enhance Diversity, EEO and Inclusion</i> , which you set/declared in your FY 2021 Diversity and EEO Plan (e.g., underutilization, workforce planning, succession planning and diverse applicant pool, among others):	Please describe the steps that your agency has taken to meet the Workforce Goal(s) set/declared in your plan. ○ Include steps that were taken or considered to build an inclusive and sustainable pipeline for your agency across all levels.	Q1 Update	Q2 Update	Q3 Update	Q4 Update
Expand internal and external applicant pools to address the underutilization.	We use the quarterly workforce dashboard to identify specific job groups where underutilization exists to guide recruitment efforts.	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Integrate succession planning in the agency activities to develop a pipeline, facilitate a seamless transition and continuity of service.	Staff are encouraged to apply for promotional positions through Human Resources agency emails advertising new postings. DOI is conducting a job analysis of the Associate Inspector General title, among other investigative and promotional titles.	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Implement initiatives to improve the personal and professional development of employees.	Through our Training Unit, we provide management and professional training opportunities to all DOI staff will enhance equal opportunity in career advancement.	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

	<p>There is also a new and comprehensive Orientation Program for new staff to acclimate them to the agency’s operations and practices.</p>				
<p>Describe steps that were taken or considered to address underutilization identified through quarterly workforce reports. Please list Job Groups where underutilization exists in the current quarter.</p>					
<p>We recognized a continued underutilization within the agency with respect to Black employees in the Administrators job group, senior management. DOI continues to seek a more diverse applicant pool and works through its employees to seek additional qualified candidates. With the current hiring pause/freeze, obtaining additional staff will be limited.</p> <p>The Director of Training has developed a monthly bulletin providing staff with notice of the upcoming learning opportunities. She has also established a calendar on our intranet website. The Director works closely with senior staff and the EEO Officer to continue to develop its training program to include management skills training, conflict resolution, and other relevant opportunities. To the extent that the agency has started to develop more robust tasks and standards for investigative titles, the Director of Training is working on a management development course designed to develop management skills associates with the demands of these titles.</p>					

B. WORKPLACE:

<p>Please list the Workplace Goal(s) included in <i>Section IV: Proactive Strategies to Enhance Diversity, EEO and Inclusion</i>, which you set/declared in your FY 2021 Diversity and EEO Plan (e.g., job satisfaction/engagement surveys, exit interviews/surveys, and onboarding surveys):</p>	<p>Please describe the steps that your agency has taken to meet the Workplace Goal(s) set/declared in your plan.</p> <ul style="list-style-type: none"> ○ Include steps that were taken or considered to create an inclusive work environment that values differences that each of your unique employees brings to work, and to maintain focus on retaining talent across all levels. 	<p>Q1 Update</p>	<p>Q2 Update</p>	<p>Q3 Update</p>	<p>Q4 Update</p>
<p>Conduct the Citywide Exit Survey for Non-Represented Employees and Exit interview or surveys developed by the agency</p>	<p>The Human Resources Director continues to ensure that employees are aware of and participate in these surveys. The HR</p>	<p><input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/></p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

	Director brings potential EEO issues to the attention of the EEO officer.	<input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Engage in more management skills training for supervisors and publicize professional development opportunities on a regular basis.	Providing management and professional training opportunities to all DOI staff will enhance equal opportunity in career advancement. DOI will continue to develop its training program through its new Director of Training to include management skills training, conflict resolution, and other relevant opportunities.	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please specify any other EEO-related activities during the quarter (e.g., postings, meetings, cultural programs promoting diversity, newsletters/articles, etc.) and describe briefly the activities, including the dates when the activities occurred.					
To the extent that the agency has started to develop more robust tasks and standards for investigative titles, the Director of Training is working on a management development course designed to develop management skills associates with the demands of these titles.					

COMMUNITY:

Please list the Community Goal(s) included in <i>Section IV: Proactive Strategies to Enhance Diversity, EEO and Inclusion</i> , which you set/declared in your FY 2021 Diversity and EEO Plan (e.g., community outreach and engagement, MWBE participation and customer	Please describe the steps that your agency has taken to meet the Community Goal(s) set/declared in your plan. <input type="checkbox"/> Include steps that were taken or considered to establish your agency as a leading service	Q1 Update	Q2 Update	Q3 Update	Q4 Update
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satisfaction surveys):	provider to the citizens of New York City focused on inclusion and cultural competency, while reflecting the vast communities that are served.				
Promote diversity and EEO community outreach by publicizing the agency mission as well as encourage diverse applicants for open positions.	However, the Director of Trainings now supervises the Intern Program – which continues to engage in outreach vis a vis obtaining intern candidates in a limited manner give the COVID pandemic and continued teleworking.	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Continue to promote diversity and EEO community outreach and government services, or participation with minority and women owned business enterprises (MWBEs).	The agency appointed the Deputy Commissioner of Operations as the Diversity Officer. The ACCO team attends courses through DCAS regarding the program. Our ACCO actively encourages the use of MWBE businesses.	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Please specify any other Community-directed activities during the quarter (e.g., meetings, educational and cultural programs, promotion of agency services, community fairs, etc.) and describe briefly the activities, including the dates when the activities occurred.					
We will continue to identify best practices for creating and disseminating Requests for Proposals, remaining cognizant of the requirements under the City’s MWBE programs.					

V. RECRUITMENT

A. RECRUITMENT EFFORTS

Please list Recruitment Strategies and Initiatives which you set/declared in your FY 2021 Diversity and EEO Plan (e.g., targeted outreach and outreach, diversity recruitment, social media presence, where jobs are posted, EEO and APO collaboration, evaluation of best recruitment sources, structured interview training and unconscious bias training):	Please describe the steps that your agency has taken to meet the Recruitment Goal(s) set/declared in your plan.	Q1 Update	Q2 Update	Q3 Update	Q4 Update
Review policies, procedures, and practices related to targeted outreach and recruitment.	Assessing our current process, it was determined that a new hiring process for Confidential Investigators be developed. In light of the Citywide hiring pause/freeze, this program is being deferred however there is continued discussion regarding the project.	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input checked="" type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Identify resources to bolster efforts aimed at increasing the effectiveness of diversity recruitment.	We provide current employees who applied for the vacancy and met the minimum qualification requirements with the opportunity to interview for the job, unless the employee does not have the listed qualifications. Note that our program is being limited due to COVID, however, DOI disseminates all vacancies broadly, including through NYC Careers.	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

<p>Use the NYCAPS eHire Applicant Interview Log to determine whether recruitment efforts and recruitment sources yield a diverse pool of qualified candidates.</p>	<p>DOI currently has its own Interview Logs and does not use the NYCAPS eHire Interview Logs. We are in the process of evaluating when and how the agency will make the shift to using the eHire Interview Logs in the future. In the interim, we are updating our interview guide and the log to be consistent with Citywide practices.</p>	<p><input type="checkbox"/> Planned <input checked="" type="checkbox"/> Not started <input type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>Share job vacancy notices with the Mayor’s Office for People with Disabilities and ACCES VR so they can share it with their clients.</p>		<p><input type="checkbox"/> Planned <input type="checkbox"/> Not started <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Completed</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/></p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

B. INTERNSHIPS/FELLOWSHIPS

The agency is providing the following internship opportunities in FY 2021: Fall 2020

[NOTE: Please update this table every quarter]

Type of Internship\Fellowship	Total	Race/Ethnicity* [#s] * Use self-ID data	Gender* [#s] [N-B=Non-Binary; O=Other; U=Unknown] * Use self-ID data
1. Urban Fellows	0		M ___ F ___ N-B ___ O ___ U ___
2. Public Service Corps	0		M ___ F ___ N-B ___ O ___ U ___
3. Fall College Interns	12	White-7; Asian- 1; Black- 1; Two or More Races- 3 of which 2 are Hispanic	M <u>4</u> F <u>8</u> N-B ___ O ___ U ___
4. Fall Graduate Interns	5	White-3; Asian- 2 (law students)	M <u>3</u> F <u>2</u> N-B ___ O ___ U ___

5. Other (specify):	0	M ___ F ___ N-B ___ O ___ U ___
Additional Comments:		

C. 55-A PROGRAM

The agency uses the 55-a Program to hire and retain qualified individuals with disabilities. Yes No

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

During the 1st Quarter, a total of 0 [number] new applications for the program were received.
 During the 1st Quarter 0 participants left the program due to [state reasons] _____.

During the 2nd Quarter, a total of _____ [number] new applications for the program were received.
 During the 2nd Quarter _____ participants left the program due to [state reasons] _____.

During the 3rd Quarter, a total of _____ [number] new applications for the program were received.
 During the 3rd Quarter _____ participants left the program due to [state reasons] _____.

During the 4th Quarter, a total of _____ [number] new applications for the program were received.
 During the 4th Quarter _____ participants left the program due to [state reasons] _____.

The 55-a Coordinator has achieved the following goals:

1. Disseminated 55-a information – by e-mail: Yes No
 in training sessions: Yes No
 on the agency website: Yes No
 through an agency newsletter: Yes No
2. _____
3. _____

VI. SELECTION (HIRING AND PROMOTION)

Please review Section VI of your Annual Plan and describe your activities for this quarter below:

Please list additional Selection Strategies and Initiatives which you set/declared in your FY 2021 Diversity and EEO Plan (<i>include use of structured interview, EEO or APO representatives observing interviews, review of placements, review of e-hire applicant data</i>)	Please describe the steps that your agency has taken to meet the Selection (Hiring and Promotion) Goal(s) set/declared in your plan.	Q1 Update	Q2 Update	Q3 Update	Q4 Update
Career Counseling: Advising employees of opportunities for promotion and career development; Notification of promotion/transfer opportunities	<p>DOI post all positions internally and notify employees of open positions, including whether a position represents a promotional or transfer opportunity.</p> <p>Agency staff receives citywide vacancy announcements, civil service exams notices and other career development information.</p> <p>Our Career Counselor’s door is always open for a consultation regarding career options.</p>	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Reviewing the methods by which candidates are selected for promotion or to fill vacancies (new hires), especially for mid- and high-level discretionary positions	The agency will be working on a management training plan that will include training regarding structured interviewing and what should be included with promotional recommendations.	<input checked="" type="checkbox"/> Planned <input type="checkbox"/> Not started <input type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Reviewing the methods by which candidates are selected for promotion or to fill vacancies (new hires) filled through civil service lists	Most of the agency positions are not filled through CS lists (OJ titles). However, employees are made aware of when such opportunities arise.	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Describe the role of agency EEO Officer and other EEO staff in the selection of candidates for appointment or promotion (pre- and post-appointment)	The EEO Officer currently reviews interview logs and NYCAPS static reports.	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Analyzing the impact of layoffs or terminations on racial, gender and age groups	This is reviewed as part of EEO Quarterly meetings and with any information obtained from Exit Interview. There have been no layoff or terminations, however, an analysis was performed during Q1	<input type="checkbox"/> Planned <input type="checkbox"/> Not started <input checked="" type="checkbox"/> Ongoing <input type="checkbox"/> Delayed <input type="checkbox"/> Deferred <input type="checkbox"/> Completed	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
During this Quarter the Agency activities included: The number of vacancies are in flux at this time given the budgetary constraints made on the agency.	# of Vacancies # of New Hires # of New Promotions	# ____ # __1__ # __2 (title only)__	# ____ # __0__ # __0__	# ____ # ____ # ____	# ____ # ____ # ____

VII. TRAINING

Please provide your training information in Part II of the report “DIVERSITY AND EEO TRAINING SUMMARY” (in MS Excel).

VIII. REASONABLE ACCOMMODATION

Please report all reasonable accommodation requests and their disposition in the DCAS Citywide Complaint/Reasonable Accommodation Tracking System by logging into your CICS Account at: <https://mstpva-dcslnx01.csc.nycnet/Login.aspx>

IX. COMPLIANCE AND IMPLEMENTATION OF REQUIREMENTS UNDER EXECUTIVE ORDERS AND LOCAL LAWS**A. EXECUTIVE ORDER 16: TRAINING ON TRANSGENDER DIVERSITY AND INCLUSION**

Please provide E.O. 16 Training Information in Part II of the report “DIVERSITY AND EEO TRAINING SUMMARY” (in MS Excel).

B. LOCAL LAW 92: ANNUAL SEXUAL HARASSMENT PREVENTION TRAINING

Please provide Sexual Harassment Prevention Training Information in Part II of the report “DIVERSITY AND EEO TRAINING SUMMARY” (in MS Excel).

C. LOCAL LAW 97: ANNUAL SEXUAL HARASSMENT REPORTING

The agency has entered the sexual harassment Complaint Data in the DCAS Citywide Complaint Tracking System and updates the information as they occur.

Q1 Q2 Q3 Q4

The agency has entered **all types of complaints** in the DCAS Citywide Complaint Tracking System and updates the information as they occur.

The agency ensures that complaints are closed within 90 days where practicable.

Report all complaints and their disposition in the DCAS Citywide Complaint/Reasonable Accommodation Tracking System by logging into your CICS Account at: <https://mstpwwa-dcslnx01.csc.nycnet/Login.aspx>

D. LOCAL LAW 101: CLIMATE SURVEY

Please provide a short description of your efforts to analyze the results of climate survey in your agency.

Describe any follow-up measures taken to address the results of the climate survey:

We do not have the results of the Climate Survey yet. It was circulated to the agency on October 28, 2020 and DCAS allowed extensions of time to participate through January 2021.

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 involved in an audit; please specify who is conducting the audit: NYC Equal Employment Practices Commission.
- Attach the audit recommendations by NYC EEPC or the other auditing agency.
- The agency has submitted or will submit to OCEI an amendment letter, which shall amend the agency plan for FY 2021.

APPENDIX: DOI EEO PERSONNEL DETAILS

EEO PERSONNEL FOR 1st QUARTER, FISCAL YEAR 2021

A. PERSONNEL CHANGES

Personnel Changes this Quarter: <input checked="" type="checkbox"/> No Changes		Number of Additions:	Number of Deletions:
Employee's Name & Title			
Nature of change	<input type="checkbox"/> Addition <input type="checkbox"/> Deletion	<input type="checkbox"/> Addition <input type="checkbox"/> Deletion	<input type="checkbox"/> Addition <input type="checkbox"/> Deletion
Date of Change in EEO Role	Start Date or Termination Date:	Start Date or Termination Date:	Start Date or Termination Date:
NOTE: Please attach CV/Resume of new staff to this report			
For New EEO Professionals:			
Name & Title			
EEO Function	<input type="checkbox"/> EEO Officer <input type="checkbox"/> EEO Counselor <input type="checkbox"/> EEO Trainer <input type="checkbox"/> EEO Investigator <input type="checkbox"/> 55-a Coordinator <input type="checkbox"/> Other: (specify)	<input type="checkbox"/> EEO Officer <input type="checkbox"/> EEO Counselor <input type="checkbox"/> EEO Trainer <input type="checkbox"/> EEO Investigator <input type="checkbox"/> 55-a Coordinator <input type="checkbox"/> Other: (specify)	<input type="checkbox"/> EEO Officer <input type="checkbox"/> EEO Counselor <input type="checkbox"/> EEO Trainer <input type="checkbox"/> EEO Investigator <input type="checkbox"/> 55-a Coordinator <input type="checkbox"/> Other: (specify)
Proportion of Time Spent on EEO Duties	<input type="checkbox"/> 100% <input type="checkbox"/> Other: (specify %):	<input type="checkbox"/> 100% <input type="checkbox"/> Other: (specify %):	<input type="checkbox"/> 100% <input type="checkbox"/> Other: (specify %):
Completed Trainings:			
EEO Awareness	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Diversity & Inclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
IgbTq: The Power of Inclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Sexual Harassment Prevention	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Unconscious Bias	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Training Source(s):	<input type="checkbox"/> DCAS <input type="checkbox"/> Agency <input type="checkbox"/> Other	<input type="checkbox"/> DCAS <input type="checkbox"/> Agency <input type="checkbox"/> Other	<input type="checkbox"/> DCAS <input type="checkbox"/> Agency <input type="checkbox"/> Other

B. CONTACT INFORMATION (Please list ALL current EEO professionals)

DOI - DIVERSITY AND EEO STAFFING AS OF 1st QUARTER FY 2021 *

<u>EEO\ Diversity Role</u>	<u>Name</u>	<u>Civil Service Title</u>	<u>% of Time Devoted to EEO & Diversity Functions</u>	<u>Office E-mail Address</u>	<u>Telephone #</u>
Diversity & Inclusion Officer	N/A				
EEO Officer/Director	Chantal Senatus	Examining Attorney (Office Title: Deputy General Counsel)	70%	CSenatus@doi.nyc.gov	(212) 825-5928
Deputy EEO Officer	N/A				
ADA Coordinator Disability Rights Coordinator 55-a Coordinator Career Counselor	Shayvonne Nathaniel	Administrative Manager (Office Title: HR Director)	10%	SNathaniel@doi.nyc.gov	(212) 825-5939
Disability Services Facilitator	Mark McGuigan	Inspector General (office title; Executive Director)	5%	MMcGuigan@doi.nyc.gov	(212) 825-5974
EEO Counselor	Celeste Sharpe	Deputy Counsel (SCA)	5%	CSharpe@doi.nyc.gov	(718) 901 6675
EEO Counselor Investigator/Trainer	Lynette Wade	Confidential Investigator III	5%	LWade@doi.nyc.gov	(212) 825-2177
EEO Investigator	Amy Young	Examining Attorney	5%	AYoung@doi.nyc.gov	(212) 825-2869
EEO Training Liaison	Laura Bowman	Inspector General (Office title, Director)	5%	LBowman@doi.nyc.gov	(212) 825-2469

* Please note changes (new personnel filling the specified role). You may insert additional entries as needed. Title refers to the civil service title. If there is an EEO\ Diversity role that your staff performs that is not on the list above you may indicate it on the chart.



Sasha Neha Ahuja
Chair

Angela Cabrera
Elaine S. Reiss, Esq.
Arva R. Rice
Commissioners

Charise L. Terry
Executive Director

Jennifer Shaw, Esq.
Executive Agency Counsel/
Director of Compliance

253 Broadway
Suite 602
New York, NY 10007

212. 615. 8939 tel.
212. 676. 2724 fax

BY EMAIL

December 31, 2020

Margaret Garnett
Commissioner
New York City Department of Investigation
80 Maiden Lane
New York, NY 10038

Re: Resolution #2020AP/245-032-(2020)C27
DETERMINATION: Compliance

Dear Commissioner Garnett:

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 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 (EEO) for minority group members and women, the EEPC's Board of Commissioners has approved the attached Determination.

Thank you and principal EEO Professional Chantal Senatus for the cooperation extended to the EEPC during the course of our review, evaluation, and monitoring of your agency's employment and EEO-related practices.

Sincerely,

Sasha Ahuja
Sasha Neha Ahuja
Chair

C: Chantal Senatus, principal EEO Professional, New York City
Department of Investigation



Monitoring of Sexual Harassment Prevention and Response Practices
RESOLUTION NO.
2020AP/245-032-(2020)C27
New York City Department of Investigation
Commissioner Margaret Garnett
DETERMINATION: COMPLIANCE

S Y N O P S I S

Corrective Action(s)	Total: 13		
Period Audit Covered	January 1, 2018 to December 31, 2019		
Preliminary Determination Issued	May 29, 2020	Response Received	June 12, 2020
Final Determination Issued	July 1, 2020	Response Received	July 31, 2020
Compliance-Monitoring	Required	July 1, 2020 to December 31, 2020	without extension

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 New York City Department of Investigation’s Sexual Harassment Prevention and Response Practices; and

Whereas, pursuant to the audit, review, and evaluation of the Office of the New York City Department of Investigation's Sexual Harassment Prevention and Response Practices, the EEPC issued a Preliminary Determination, dated May 29, 2020, setting forth findings and the following corrective actions required to remedy areas of non-compliance:

1. Establish and implement a training plan for new and existing employees to ensure that all individuals who work within the agency, including managers and supervisors, receive training on the prevention of sexual harassment as well as discrimination complaint and investigation procedures.
2. Include in the complaint file a completed Complaint Intake Form, or a written complaint that captures facts (including pertinent dates) that identify the respondent(s) with reasonable specificity and provide the essence of the circumstances which gave rise to the complaint.
3. Issue a conclusive report within 90 days of the date the complaint was filed. Commence an investigation immediately if allegations raised sufficiently warrant an investigation.
4. In rare circumstances where a complaint investigation cannot commence immediately, or where a conclusive report cannot be issued within 90 days, specify in the complaint file the reason for the delay and project a time frame for completion of the report. Notify the complainant and respondent of the delay.
5. Maintain complaint files in a secure area and ensure that they can be located and reviewed by the agency head, agency general counsel, and other appropriate staff identified by the agency head.
6. Establish and utilize a complaint tracking and monitoring system that permits the agency to identify the location, status, and length of time elapsed in the complaint investigation process, the issues and the bases of the complaints, the aggrieved individuals, and other information necessary to analyze complaint activity to identify trends.
7. Ensure that the General Counsel assists the agency head in identifying and determining appropriate responses to sexual harassment; works with the principal EEO Professional in the implementation of the City's policies and procedures pertaining to sexual harassment; informs the principal EEO Professional when external complaints or litigation involving sexual harassment is brought against the agency; is available to consult on internal sexual harassment complaint investigations; and is responsible for the investigation of, and response to, external sexual harassment complaints.
8. Ensure that the principal EEO Professional, HR Professional, and General Counsel, review the number of sexual harassment complaints, and the agency's employment practices, policies and programs on an annual basis to identify whether there are barriers to employment opportunities that may be related to sexual harassment and determine what, if any, actions are required to correct deficiencies.
9. 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 their responsibilities under the EEO Policy.
10. Assign the principal EEO Professional (or EEO-related designee) the responsibility to supervise the activities of EEO professionals, and ensure that: the policies against sexual harassment and complaint procedures are distributed/posted at all agency locations; employees/managers receive sexual harassment prevention training; EEO-related policies are made available in alternative formats (i.e., large print, audio recording and/or Braille) upon request; managers, supervisors and human resource professionals receive guidance on issues

pertaining to sexual harassment; and allegations of sexual harassment are promptly investigated.

11. Maintain documentation regarding directives or decisions between the agency head (or a direct report other than the General Counsel) and the principal EEO Professional that impact the administration and operation of programs, policies or procedures concerning sexual harassment.
12. Ensure that managers and supervisors are held accountable for enforcing the agency's sexual harassment prevention policies and complaint procedures. Document this expectation and its implementation.
13. Ensure 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).

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 July 1, 2020, which indicated that the following areas required corrective action: no(s). 3, 4, 6, 8, 12 and 13; and

Whereas, in accordance with Charter Chapter 36, Section 832(c), in the Final Determination, the EEPC assigned a monitoring period from July 1, 2020 to December 31, 2020, 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 July 31, 2020, the entity issued a response to the EEPC's Final Determination; and

Whereas, in accordance with Charter Chapter 36, Section 832(c), the New York City Department of Investigation was monitored until December 11, 2020; 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 Commissioner submitted a copy of a memorandum to staff dated December 10, 2020, which recognized the EEPC's audit and reiterated commitment to the New York City Department of Investigation's equal employment practices; Now Therefore,

Be It Resolved, that the Office of the New York City Department of Investigation 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 Commissioner Margaret Garnett of the New York City Department of

Investigation.

Approved unanimously on December 31, 2020.

/s/Sasha Neha Ahuja
Sasha Neha Ahuja
Chair

Absent
Angela Cabrera
Commissioner

/s/Arva R. Rice
Arva R. Rice
Commissioner

/s/Elaine S. Reiss
Elaine S. Reiss, Esq.
Commissioner

On behalf all Commissioners in attendance,



Charise L Terry
Executive Director



This

Determination of Compliance

is hereby issued to the

New York City Department of Investigation

*for successful implementation of 13 of 13 required corrective action(s),
thereby achieving compliance with the Equal Employment Practices Commission's
Sexual Harassment Prevention and Response Practices
from January 1, 2018 to this date.*

On this 31st day of December in the year 2020,

Charise L. Terry, Executive Director

*In care of Commissioner Margaret Garnett,
and Principal EEO Professional Chantal Senatus*



FY 2021 QUARTERLY REPORT Part II: DIVERSITY AND EEO TRAINING SUMMARY

 AGENCY NAME: **NYC Department of Investigation** **2nd Qtr** **FY 2021**
NOTE: FILL OUT YOUR TRAINING TARGETS IN GREEN FIELDS!
INCLUDE PRIOR QUARTERS' DATA IN THE CURRENT QUARTER REPORT.
DO NOT ATTEMPT TO MAKE ANY ENTRIES IN PINK-SHADED CELLS
SAVE THIS FILE UNDER THE NAME: [AGENCY ACRONYM] Quarter X FY 2021 DEEO TRAINING SUMMARY

 SUBMITTED BY [TITLE]: **Chantal Senatus, Deputy General Counsel & EEO Officer**

 DATE SUBMITTED: **2/25/2020** E-MAIL: **csenatus@do** TEL #: **212-825-5928**

 1st Quarter (July-September) **DUE October 30, 2020**; 2nd Quarter **DUE February 1, 2021**;
 3rd Quarter (January-March) **DUE April 30, 2021**; 4th Quarter (April-June) **DUE July 30, 2021**.

ALL EEO-RELATED TRAINING (ALL MODALITIES)	ANNUAL TARGET from FY 2021 Agency D&EEO Plan	1st Qtr (July - Sept. 2020)	2nd Qtr (Oct. - Dec. 2020)	3rd Qtr (Jan. - March 2021)	4th Qtr (April - June 2021)	YEAR TO DATE
TOTAL DIVERSITY & EEO TRAINING	0	13	6	0	0	19

CORE DIVERSITY AND EEO TRAINING (All Modalities)						
TOTAL CORE EEO TRAINING (ALL MODALITIES)	0	12	6	0	0	18
1. EEO Awareness	0	0	0	0	0	0
Administered by DCAS [Copy data from DCAS Learning & Development report]						0
Administered by Agency						0
2. D&I "Everybody Matters"	0	0	0	0	0	0
Administered by DCAS [Copy data from DCAS Learning & Development report]						0
Administered by Agency						0
3. IgbTq: The Power of Inclusion	0	4	1	0	0	5
Administered by DCAS [Copy data from DCAS Learning & Development report]		4	1			5
Administered by Agency						0
4. Sexual Harassment Prevention	0	8	1	0	0	9
Administered by DCAS [Copy data from DCAS Learning & Development report]		8	1			9
Administered by Agency						0
5. Disability Etiquette	0	0	4	0	0	4
Administered by DCAS [Copy data from DCAS Learning & Development report]			4			4
Administered by Agency						0

ALL EEO-RELATED TRAINING (ALL MODALITIES)	ANNUAL TARGET from FY 2021 Agency D&EEO Plan	1st Qtr (July - Sept. 2020)	2nd Qtr (Oct. - Dec. 2020)	3rd Qtr (Jan. - March 2021)	4th Qtr (April - June 2021)	YEAR TO DATE
OTHER DIVERSITY AND EEO TRAINING (All Modalities)						
ALL OTHER DIVERSITY & EEO TRAINING	0	1	0	0	0	1
6. New Employee Orientation (Only if it includes EEO Component)	NOTE: Do not make entries here if new employees received CORE EEO training as part of their onboarding					
TOTAL PARTICIPANTS TRAINED		1	0			1
7. Structured Interviewing	NOTE: Including combined Structured Interviewing & Unconscious Bias training					
TOTAL PARTICIPANTS TRAINED						0
8. Unconscious Bias	NOTE: Do not make entries here if Unconscious Bias was included in Structured Interviewing training reported above					
TOTAL PARTICIPANTS TRAINED						0
9. Other Diversity/EEO Related	Specify topic:					
TOTAL PARTICIPANTS TRAINED						0
10. Other Diversity/EEO Related	Specify topic:					
TOTAL PARTICIPANTS TRAINED						0
11. Other Diversity/EEO Related	Specify topic:					
TOTAL PARTICIPANTS TRAINED						0
12. Other Diversity/EEO Related	Specify topic:					
TOTAL PARTICIPANTS TRAINED						0
13. Other Diversity/EEO Related	Specify topic:					
TOTAL PARTICIPANTS TRAINED						0
14. Other Diversity/EEO Related	Specify topic:					
TOTAL PARTICIPANTS TRAINED						0
15. Other Diversity/EEO Related	Specify topic:					
TOTAL PARTICIPANTS TRAINED						0