

EQUAL EMPLOYMENT PRACTICES COMMISSION

SUMMARY COMPLIANCE REPORT

Agency: Comptroller's Office

Agency Head: Honorable William C. Thompson, Jr., Comptroller

EEO Officer: Annette Hernandez

Audit Period: January 1, 2005 - December 31, 2006

Date of Preliminary Determination Letter:	<i>October 25, 2007</i>
Date of Response Letter:	<i>November 30, 2007</i>
Date of Final Determination Letter:	<i>January 9, 2008</i>

Compliance Initiated:	<i>March 2008</i>
Compliance Completed:	<i>October 2008</i>
Covering Months:	<i>March 2008 - August 2008</i>

Date: December 18, 2008

Pursuant to the findings and recommendations of the Equal Employment Practices Commission's (EEPC) Audit of Compliance by the Comptroller's Office (CO) with the City's Equal Employment Opportunity Policy (EEO), the EEPC initiated Audit Compliance with the CO in March 2008. The CO's final Monthly Compliance Report was submitted on September 15, 2008. Additional documentation was submitted on October 22, 23 and December 5, 2008.

All fifteen required actions were completed or accepted. The following is a summary of the compliance reports:

1. **The CO's EEO Policy in the new hire package should be updated to include all of the "protected classes" under the New York City and New York State Human Rights Laws.**

The CO said that its new hire package now includes an updated EEO Policy. It submitted a copy of the updated EEO policy.

The required action was completed in March 2008.

2. **The agency should distribute the Section 55-A Program brochures issued by the DCAS to all employees.**

The CO said that in November 2007 it distributed the Section 55-A Program brochures to staff. It submitted to the EEPC a copy of the memorandum.

The required action was completed in November 2007.

3. **Although the EEO officer said she receives and investigates discrimination complaints according to the Cornell School of Industrial and Labor Relation's EEO guidelines, she follows a complaint procedure similar to the citywide procedure. Therefore, the CO should follow its own discrimination complaint procedure which is similar to the citywide procedures.**

The CO said that it has followed, and will continue to follow the complaint procedure based on the Citywide EEOP.

The response to the required action was accepted in March 2008.

4. **All discrimination complaint files should include a Discrimination Complaint Form completed by the complainant or the EEO investigator.**

The CO said that it accepts the Commission's recommendation. No EEO complaint was filed during the compliance period.

The response to the required action was accepted in October 2008.

5. **All respondents should be served with a notice of complaint along with a copy of the complaint. Respondent(s) or someone authorized to sign for the respondent(s) should acknowledge receipt of the notice. The receipts should be maintained in the complaint file.**

The CO said that it accepts the Commission's recommendation and will obtain receipts whenever possible. No EEO complaint was filed during the compliance period.

The response to the required action was accepted in October 2008.

6. **It is the Commission's position that complaint files should contain clear and thorough word-processed notes of interviews conducted with the complainant, respondent or witnesses.**

The CO said that it accepts the Commission's recommendation. No EEO complaint was filed during the compliance period.

The response to the required action was accepted in October 2008.

7. **In keeping with section 94 of the New York City Charter, all confidential written reports should be addressed to, and signed by, either the agency head or Deputy Comptroller.**

The CO said that it accepts the Commission's recommendation. No EEO complaint was filed during the compliance period.

The response to the required action was accepted in October 2008.

8. **All confidential written reports should be divided in three sections in accordance with section 12b of the DCPIG.**

The CO said that it accepts the Commission's recommendation. No EEO complaint was filed during the compliance period.

The response to the required action was accepted in October 2008.

9. **All internal investigative reports should be labeled "confidential" in large bold print.**

The CO said that it accepts the Commission's recommendation. No EEO complaint was filed during the compliance period.

The response to the required action was accepted in October 2008.

10. **The EEO officer should maintain and update a monthly EEO complaint log to indicate the monthly status of internal and external complaints.**

The EEO officer agrees to maintain a complaint log.

The response to the required action was accepted in October 2008.

11. **It is the Commission's position that appropriate documentation of meetings and other communications between the EEO Officer and the agency head or direct report to the agency head regarding EEO decisions should be maintained.**

The CO said it accepts the Commission's recommendation. It submitted to the EEPC a copy of a memorandum to file of a meeting held on June 10, 2008.

The required action was completed in June 2008.

12. The CO should follow-up on its pledge to review CEEDS data for underutilization.

The CO said that it is committed to reviewing its CEEDS data; it reviews it on a quarterly basis. It submitted to the EEPC the CEEDS data for the most recent quarter.

The response to the required action was accepted in November 2008.

13. If the CO's workforce analysis shows underutilization in certain protected groups, it may expand its recruitment efforts to address underutilization by acquiring "Making the Most of New York City's Recruitment Resources," 2004, http://extranet.dcas.nycnet/eo/pdf/apomasterclass_recruitment.pdf, a list of recruitment sources compiled by DCAS. This publication provides agencies with additional recruitment resources to address the underutilization of protected groups.

The CO said that it has obtained the recruitment list "Making the Most of New York City's Recruitment Resources," and will use it to address any future underutilization of protected groups.

The response to the required action was accepted in November 2008.

14. The CO should follow-up on its pledge to develop a plan to provide structured interview training to personnel involved in the recruitment and hiring process. This is also a requirement of the Citywide EEOP.

The CO said that it has provided structured interview training to personnel involved in recruitment and hiring on October 20 and December 3, 2008. It submitted to the EEPC copies of the sign-in sheets.

The required action was completed in December 2008.

15. The Comptroller should disseminate an agency-wide memorandum to discuss audit findings.

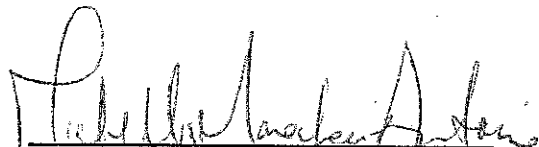
The attached memorandum from Comptroller William C. Thompson, Jr. was distributed on August 21, 2008.

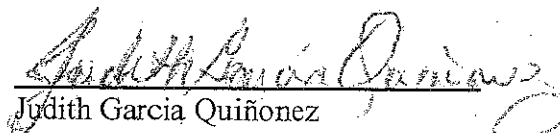
The required action was completed in August 21 2008.

Recommendation

Based on the above information, we recommend that the Equal Employment Practices Commission issue a Letter of Completion of Compliance to the Honorable William C. Thompson, Comptroller, informing him that the CO has implemented the recommended corrective actions to the Commission's satisfaction.

Respectfully Submitted,


Michéllé Marecheau-Antoine
Senior Auditor/ Compliance Officer


Judith Garcia Quiñonez
Counsel


Abraham May, Jr.
Executive Director

Attachment