

# **Diversity, Equity, Inclusion and Equal Employment Opportunity (DEI-EEO) Plan**

**Fiscal Year 2023**

**NYC Department of Records and Information  
Services**



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## I. Commitment and Accountability Statement by the Agency Head

As the Commissioner of the Department of Records and Information Services (DORIS), I remain fully committed to ensuring fair employment practices at the agency. 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 work environments based on 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 Equity and Inclusion Officer and the agency's EEO Officer.

All staff should be aware of the identities of the agency's EEO personnel 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](mailto:lcjones@records.nyc.gov).
- The agency's EEO Counselors are as follows: Julie Chau, Michael Lorenzini, Ridhdi Patel, Gerald Rosero and Urmi Udeshi. All are located at 31 Chambers Street. Michael Lorenzini visits both warehouses on a regular basis. Julie Chau is currently on leave. Contact information is: [wchau@records.nyc.gov](mailto:wchau@records.nyc.gov) /212-788-8619; [mlorenzini@records.nyc.gov](mailto:mlorenzini@records.nyc.gov) /212-788-8576; [rpatel@records.nyc.gov](mailto:rpatel@records.nyc.gov) /212-788-8599; [grosero@records.nyc.gov](mailto:grosero@records.nyc.gov) /212-788-8610 and [uudeshi@records.nyc.gov](mailto: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 and 55A 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](mailto: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 agency's intranet. Please contact LaTonya Jones with any concerns or questions you may have.

This statement is the same as last year.

This statement will be disseminated to all employees in the agency.

## II. Recognition and Accomplishments

[Describe below key initiatives and accomplishments that your agency undertook last fiscal year (2022) to advance DEI and EEO goals, for example, recognizing employee contributions to DEI goals through awards and employee appraisal, introducing new equity programs, training all staff on mandatory training, or launching employee resource groups. Add additional lines as needed.]

In the past year, our agency accomplished the following as part of our commitment to DEI and EEO:

1. The agency set and achieved goal of having all staff complete the following trainings: Disability Awareness and Etiquette; Everybody Matters: EEO and Diversity & Inclusion (all modules); Sexual Harassment Prevention Training; Intro to Equity and Inclusion training; and IgbTq: The Power of Inclusion.
2. The agency held an agency-wide training day on December 17, 2021, which included the following components, among others: all-staff meeting; Conflict of Interest Board Training; Health/Safety/ COSH training; Cybersecurity Training; and Intro to Equity and Inclusion Training. Lunch was also distributed at all work sites.
3. The agency EEO Officer and Agency Personnel Officer attended several trainings and conferences to expand our understanding of industry-specific concerns. The conferences included the following, among others: Department for the Aging series on age-inclusive best practices; MOPD & NYC DCAS Disability is Diversity Symposium: Workforce Inclusion and Beyond; and "Microaggressions to Microaffirmations" training.
4. The agency attorney attended a continuing legal education course titled "Tools for advancing Equity: Engaging in the Elimination of Bias" on October 27, 2021, and another titled "Eliminating Legal Issues in Interviewing and Hiring" on February 4, 2022.
5. The agency head and EEO Officer attended the EEPC Symposium for agency leadership.

### III. Workforce Review and Analysis

Please provide the total agency headcount as of 6/30/2022

Total Headcount: 61 [This figure is available on the total line for your agency in the FY2022 Q4 EBEPR210 CEEDS report]

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 2023, 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 Employee Self Service (by email; strongly recommended every year)
  - Agency's intranet site
  - On-boarding of new employees
  - Employees unable to complete the self-identification form using ESS will be provided an opportunity to submit paper form to the EEO Office.
  - In FY 2023, the agency will inform and remind employees of the option to add preferred name in ESS.
2. [Describe the review process of the quarterly CEEDS reports on workforce composition, utilization, and 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 Agency Head work together to review demographic trends. These reports must be reviewed regularly with the Agency Head.]

**[Note:** If necessary, the agency can reach out to DCAS CEI for guidance on interpreting their underutilization reports. However, it is the agency's responsibility to use that data to inform its recruitment plans and efforts to reduce/eliminate underutilization.]

- The agency conducts regular reviews of the CEEDS workforce reports and the summary dashboard sent to the EEO Officer by DCAS' Citywide Equity and Inclusion (CEI) 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.

[Select the options that apply to your agency.]

#### Agency Head

- Quarterly  Semi-Annually  Annually  Other \_\_\_\_\_

### Human Resources

Quarterly  Semi-Annually  Annually  Other \_\_\_\_\_

### General Counsel

Quarterly  Semi-Annually  Annually  Other \_\_\_\_\_

### Other (Agency Attorney )

Quarterly  Semi-Annually  Annually  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).

## IV. EEO, Diversity, Inclusion, and Equity Initiatives for FY 2023

[State below the central goals of your strategy for FY 2023 focused on promoting equity, increasing diversity, assuring equal employment opportunity, and enhancing the value of inclusion at your agency. Categorize your goals according to the strategic area targeted.]

### 1. Goals and strategies to enhance DEI and EEO in areas of Workforce, Workplace, Community, and Race Relations.

#### ❖ Workforce:

- Through the agency's LinkedIn site, the agency will engage potential employees and partner organizations as part of an outreach effort to expand more equitable recruitment.
- Create college aide job postings in areas where the agency experiences underutilization (specifically management specialists and clerical job titles) and engage college aides with the work of those areas and requirements for job titles.
- Continue to expand distribution lists for job postings in underutilized job categories, including recruiting from all of the established archives and library training programs in the country

#### ❖ Workplace:

- All senior staff members will be required to complete *Microaggressions to Microaffirmations* training and all employees will be encouraged to complete it as well.
- The EEO Officer – who serves as a Workwell wellness ambassador – will work with the QWL Committee to offer expanded wellness programs at the agency.

- All employees will participate in training sessions that explain how principles of inclusion can be used to review and update descriptions of archival and library materials.

❖ **Community:**

- In accordance with guidance provided by the NY State Historical Records Advisory Board, the Municipal Archives and Library will work to better document underrepresented people in the State's documentary heritage. This initiative will involve the following actions, among others: conducting a systematic review of collections to confirm use of inclusive and up-to-date descriptive terms to ensure finding aids, catalog records, and other metadata represent communities in a respectful manner; engage partners from marginalized communities in identifying BIPOC voices and stories in our holdings; and host facilitated conversations amongst staff, volunteers, and the communities you serve that address bias and systemic racism.
- 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 – which have transitioned to virtual formats. The agency is also working to expand its collaborations with local K-12 schools by adding curriculum aids to its website for use by educators, partnering with local schools to gather 20,000 stories of inspiring women in the digital archive, and providing virtual tours of our Brooklyn Bridge materials to elementary students. 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. The agency has also engaged a Volunteer Outreach Coordinator and Educational Outreach Coordinator to work on the above projects, through the NYC Service program.
- The agency is collaborating with other institutions to hold a convening on Conditions in Harlem at the Schomburg Center for Research on Black Culture.

❖ **Equity, Inclusion and Race Relations Initiatives:**

- [Describe special initiatives to enhance equity, inclusion, and race relations in your agency programs and activities. (Age inclusivity, non-traditional minorities inclusion initiatives, engagement of traditional and older employees in inclusion efforts and discussion forums)]
- The agency will continue to offer expanded training opportunities aimed at improving staff skills, particularly in ways related to the agency's diversity and inclusion goals. This will include requiring expanded diversity, equity, and inclusion training opportunities for all senior staff members and encouraging all agency staff to take courses as well. Trainings will include topics such as: Department for the Aging's age inclusive strategies for the workplace and community series, Department of Citywide Administrative Services' Managing the Multi-Generational Workforce: Leveraging the Talents of 5 Generations training, etc.

- The agency has also used the ReServe program for the past three years– which connects retirees 50 years or older to part-time positions that allow them to remain active and serve their community. The ReServist works in the Community and External Affairs unit as a marketing consultant and will be working with the agency's Volunteer Outreach Coordinator and Educational Outreach Coordinator to recruit retired educators in ReServe and similar programs to the agency's volunteer program.

## **2. Planned Programs, Initiatives, Actions**

[Describe the ongoing and new programs, actions, and initiatives planned for FY 2023, which are aimed toward enhancement and expansion of the three foundations of Diversity and EEO strategy: Workforce, Workplace, and Community.]

The agency will continue to seek out and share relevant workshops and training opportunities offered by other agencies, including the Department of Citywide Administrative Services, Workwell, and the Commission on Human Rights, among others, with all agency staff.

As described in our community goals above, the Municipal Archives and Library will be working with partners from marginalized communities to improve its collections and identify BIPOC voices and stories in its holdings. The agency will also continue to develop exhibits, public programs, and social media using the collections of the Municipal Archives and Library that offer new perspectives on the history of New York City.

### **A. Workforce**

[In addition to the strategic goals above, please indicate here specific actions and initiatives planned with respect to Workforce.]

**[Note:** Please address the specific recruitment, selection and promotion strategies, sources, and procedures in Sections V and VI, below.]

[The actions listed below require internal agency collaboration and are not limited to the EEO Office.]

[Describe how your agency will address underutilization in FY 2023. Please mention here major job groups experiencing underutilization of women and minorities in your agency, and how your agency plans to address the underutilization. This should also include details of how the quarterly reports and dashboards will be used, partnership with the human resources office, initiatives around targeted recruitment, professional development for existing employees, and focus on civil service exams.]



The agency has consistently experienced an underutilization in the management specialists and clerical job categories for more than a decade - due in large part to several industry-specific factors. In clerical job titles, we have an underutilization of women. Most of the agency's postings in this job category are stock worker positions and the agency has had difficulty recruiting women for these roles. In the management specialists job category, the agency has experienced an underutilization of gender and race, specifically Black women and men of any race. To address this longstanding underutilization and due to an industry-wide lack of diversity in archives and libraries educational programs, the agency continually works to broaden its outreach and recruitment efforts, including distributing all job postings in underutilized area to an expanded list of sources for further amplification. In FY2023, the agency will also be creating a few college aide roles in units with underutilization to diversify the staff and introduce the college students to the profession and the requirements for the relevant job titles.

Additionally, the agency head, agency attorney, Agency Personnel Officer (APO), and EEO Officer review agency workforce statistics quarterly and discuss initiatives to address underutilization at least once a month.

To aid current employees in advancement, the APO disseminates information on the civil service process, as well as other trainings provided by DCAS. The APO and EEO Officer also regularly disseminate training opportunities to all agency staff and review professional development requests from all agency staff to ensure equitable distribution of opportunities and agency resources.

## **B. Workplace**

[Describe specific actions designed to create inclusive workplace culture, enhance equity, and initiatives undertaken to address race relations in the agency. (e.g., modeling inclusive language such as preferred pronouns and age-inclusive language on job postings, celebrating heritage months, ensuring worksite and meetings are accessible, creating agency specific surveys or implementing initiatives based on previous agency specific surveys, etc.)]

The agency has a Quality of Work Life Committee, which includes 3 members of both line staff and senior staff. This group works to engage all agency staff in activities that improve the work environment, including organizing virtual agency events (i.e., Steptember, book club meetings, etc.).

The agency will also be developing an engagement survey to assess current workplace conditions to guide senior staff in planning future initiatives.

[Select the options that apply to your agency.]

- Promote employee involvement by supporting Employee Resource Groups (ERGs).

List below the names of existing ERGs:

- 1.
- 2.
- 3.
- 4.
- 5.

- Agency will create a Diversity Council to leverage equity and inclusion programs
- Agency Diversity Council is in existence and active
- Agency will sponsor focus groups, Town Halls and learning events on race, equity, and inclusion
- Agency will inform employees of their rights and protections under the New York City EEO Policy
- Agency will ensure that its workplaces post anti-hate or anti-discrimination posters

### **C. Community**

[In addition to the strategic goals above, please describe in details specific initiatives, programs and policies planned with respect to your agency's services to the community. This should include initiatives to enhance equity, improve community relations and increase awareness about services offered by your agency.]

In addition to the initiatives stated above, the agency will continue to grow its volunteer program which recruits community members from across the city in helping us develop a variety of resources for community members, including curriculum aides for K-12 educators and students. The agency also works with community partners and other institution to organize and host free public programs exploring both past and present New York City using unique finds from the collections of the Municipal Archives and Library.

In FY 2023, 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

- Expand language services for the public

## **V. Recruitment**

### **A. Recruitment Efforts**

[Summary of Recruitment Efforts – Include proactive strategies and practices your agency will use to build and retain a diverse and inclusive workforce. Strategies should include steps that will be taken to promote discretionary positions and civil service exams internally and externally, use of underutilization reports to inform recruitment efforts, review of current policies procedures and practices related to recruitment, training hiring managers and recruiters on D&I courses.]

The agency uses a structured interviewing process, which includes EEO involvement at each stage of the hiring process and includes the following: all hiring managers must be trained in structured interviewing and unconscious bias; interview questions are reviewed by both the Agency Personnel Officer and EEO Officer; all hiring panels include an assigned EEO observer; the Administration Unit and the EEO Officer work together to ensure all postings – particularly those in underutilized job categories – are broadly distributed.

Additionally, 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. The EEO Officer circulates workforce statistics to the agency head, agency attorney, and HR administrator for review on a quarterly basis. The EEO Officer also meets weekly with the agency head. The agency head, agency attorney, Agency Personnel Officer, and EEO Officer develop strategies to address underutilization collaboratively at the regular meetings.

## B. Recruitment Sources

[List diverse recruitment sources, the target population your agency hopes to reach through these resources and whether the use of these sources resulted in previous hires. Recruitment sources should reflect your agency's effort to reduce underutilization in specific job groups and to otherwise diversify your workforce.]

1. The agency provides all job postings for broader distribution to Mayor's Office for People with Disabilities, as part of its 55A outreach efforts.
2. The agency provides all job postings in the Management Specialist titles to the Society of American Archivists - Archives and Archivists of Color as part of an effort to address underutilization based on race.
3. The agency provides all job postings in the Management Specialist titles to the Society of American Archivists - Latin American and Caribbean Cultural Heritage Archives (LACCHA) as part of an effort to address underutilization based on race.
4. The agency provides all job postings in the Management Specialist titles to the Society of American Archivists – Native American Archives Roundtable as part of an effort to address underutilization based on race.
5. The agency distributes postings to online listings and list services targeting various communities, including ARMA International website, Simmons College, Long Island University, CUNY placement offices, all archival and library programs nationally, and historically black colleges and universities. This is part of the agency's efforts to address underutilization in the management specialists and clerical job titles by race and gender.

## C. Internships/Fellowships

[Indicate the type of internship/fellowship opportunities available at your agency. Please provide the number of student interns/fellows employed in FY 2022 and their demographic profiles, based on self-ID data. Indicate your plans to provide internship/fellowship opportunities in FY 2023. What are the sources you plan to draw upon in recruiting and hiring interns? Are you providing opportunities for interns to advance to entry-level positions in your agency? Did the agency hire interns in the past? Explain the reason if your agency does not offer internship /fellowship opportunities.]

The agency provided the following internship opportunities in FY 2022:

Type of Internship/Fellowship	Total	Race/Ethnicity *[#s]	Gender * [#s] * Use self-ID data

		* Use self-ID data	
1. Urban Fellows			M __ F__ Non-Binary __ Other __ Unknown __
2. Public Service Corps	1	1 Asian	M __ F_1_ Non-Binary __ Other __ Unknown __
3. Summer College Interns			M __ F__ Non-Binary __ Other __ Unknown __
4. Summer Graduate Interns			M __ F__ Non-Binary __ Other __ Unknown __
5. Other (specify): AmeriCorps Futures and Options	8	2 Black 1 White 5 Unknown	M _1_ F_5_ Non-Binary _1_ Other __ Unknown __

### D. 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 and pass 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.

- Presently, the agency employs \_\_0\_\_ [number] 55-a participants.
- There are \_\_0\_\_ [number] participants who have been in the program less than 2 years.
- In the last fiscal year, a total of \_\_0\_\_ [number] new applications for the program were received and \_\_ participants left the program due to [state reasons] \_\_\_\_\_.

[Describe your agency's plans to utilize the 55-a Program to hire and retain qualified individuals with disabilities. This should include the goals for the Program, strategies your agency will use to educate hiring managers and those involved in the recruitment process, any challenges your agency has or foresee in recruiting and hiring 55-a candidates. If your agency hires for competitive titles and does not use the program, please explain why.]

The 55A Coordinator is the Agency Personnel Officer and involved in coordinating all aspects of the agency's recruitment process. The agency will continue to assess potential recruitment opportunities for 55A with future job vacancies and staff promotions. The agency currently has no employees participating in the 55A program. The agency will disseminate 55A information to all agency staff via email. The EEO Officer has also added information about 55A to the agency's intranet, including the FAQs document provided by DCAS. In addition, all job postings are shared with the Mayor's Office for People with Disabilities and Access VR for broader distribution. In addition, the Agency Personnel Officer and EEO Officer attended the Disability is Diversity Symposium: Workforce Inclusion and Beyond on July 29, 2022, to learn more about the 55A program.

- Agency uses mostly non-competitive titles which are not eligible for the 55-a Program.
- Agency does not use the 55-a Program and has no participating employees.

## **VI. Selection (Hiring and Promotion)**

[Note: This section must be prepared in consultation with the Agency Personnel Officer.]

### **A. Career Counselors**

[Describe the plans of the agency Career Counselor(s) to promote advancement and transfers within the agency, advise employees of opportunities for promotion, availability of civil service exams, and provide resources to help employees grow and develop future careers.]

The agency's Career Counselor promotes awareness of opportunities for promotion and transfer within the agency through regular emails of vacancy announcements, upcoming DCAS exam schedule, professional development training opportunities, upcoming DCAS civil service training dates, etc. The Career Counselor also offers weekly office hours and by-appointment meetings, where staff can get guidance on HR matters.

### **B. New Hires and Promotions**

[Describe planned actions to review and assess the current new hire and promotional procedures for selection, especially for mid- and high-level discretionary positions. Actions may include monitoring the representativeness and fairness of the selection and appointment process, vacancy posting protocols, training of hiring managers, procedures for interviewing applicants, the role of the EEO Officer in the selection and promotion actions, the use of the NYCAPS Applicant Interview Log Report, and efforts to identify and eliminate structural barriers to employment.]

The EEO Officer works closely with the Agency Personnel Officer to ensure that staff involved on hiring panels has received required training in Equal Employment Opportunity practices, structured interviewing and unconscious bias. The EEO Officer or one of the agency's EEO counselors serve as an observer on all agency hiring panels, including mid- and high-level discretionary positions. Additionally, all interview questions are reviewed and approved by both the Agency Personnel Officer and the EEO Officer. The agency works to ensure that hiring panels are composed of staff from diverse backgrounds. The agency will train hiring managers in the use of the NYCAPS Applicant Interview Log reports; the Agency Personnel Officer and EEO Officer will use the reports to track applicant sources and identify the best sources of applicants.

### **C. EEO Role in Hiring and Selection Process**

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

The agency uses a structured interviewing process, which includes EEO involvement at each stage of the hiring process and includes the following: all hiring managers must be trained in structured interviewing and unconscious bias; interview questions are reviewed by both the Agency Personnel Officer and EEO Officer; all hiring panels include an assigned EEO observer; the Administration Unit and the EEO Officer work together to ensure all postings – particularly those in underutilized job categories – are broadly distributed.

In FY 2023, the agency EEO Officer will do the following:

- Ensure that all vacancy announcements include the revised NYC EEO I Anti-Discrimination Statement.
- Review vacancy postings to ensure elimination of language that has the potential for gender and age stereotyping and other unlawful discrimination. (It is recommended to use gender-neutral terms and pronouns and language that is age-inclusive).
- Actively monitor agency job postings and ensure recruitment strategy aligns with the diversity goals of the agency.
- Provide consultation regarding creation/review of objective criteria for evaluating candidates for hire or promotion and applying those criteria consistently to all candidates.
- 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.
- Assist the hiring manager if a reasonable accommodation is requested during the interview.
- Observe interviews, when necessary, especially for underutilized job titles and/or mid- and high-level discretionary positions.
- Advise Human Resources to use candidate evaluation form for uniform assessment and equity.
- 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 based on available self-ID data.
- Review hiring package to evaluate that the selection process was conducted in accordance with EEO best practices.
- Other: \_\_\_\_\_

#### **D. Layoffs**

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 General 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 2023.
- The agency will analyze the impact of layoffs or terminations on racial, gender, age groups, and people with disabilities.
- 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

[Please refer to **Section IX** to ensure the agency complies with training requirements under local laws and Executive Orders.]

Training Topic	Type of Audience (e.g., All Staff, Front-line Employees, Managers, Supervisors, etc.)	Goal Number of Participants	Projected Dates
1. Everybody Matters: EEO and Diversity & Inclusion Training for NYC Employees (e-learning)	All employees – Biennially (Cycle 1 must be completed by March 31, 2023.)	70	Training is required of all employees, interns, and consultants and will be completed on a rolling basis as they join the agency.
2. Everybody Matters: EEO and Diversity & Inclusion Training for NYC Employees (classroom/live webinar)	All employees – Biennially (Cycle 1 must be completed by March 31, 2023.)		
3. Sexual Harassment Prevention (e-learning)	All employees – Annually (Cycle 5 runs between September 1, 2022 – August 31, 2023)	70	Training is required of all employees, interns, and consultants and will be completed on a rolling basis as they join the agency.
4. Sexual Harassment Prevention (classroom/live webinar)	All employees – Annually (Cycle 5 runs between September 1, 2022 – August 31, 2023)		
5. IgbTq – Power of Inclusion (e-learning)	Managers, Supervisors, and Front-line employees  All other employees	61	Training is required of all employees and will be completed on a rolling basis as

			they join the agency.
6. IgbTq – Power of Inclusion (classroom/live webinar)	Managers, Supervisors, and Front-line employees  All other employees		
7. Disability Awareness and Etiquette		61	Training is required of all employees and will be completed on a rolling basis as they join the agency.
8. Structured Interviewing and Unconscious Bias (classroom/live webinar)		5	March 2023
9. Other (specify)			
10. 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.]

Describe your agency's practices for analyzing statistics with regard to volume, trends, and speed of disposition of EEO complaints and reasonable accommodation requests and appeals:

The agency strives to ensure that reasonable accommodation requests and EEO complaints are addressed in a fair and swift manner, with communication provided to relevant parties throughout. While EEO complaints are quite rare, the agency receives numerous reasonable accommodations each quarter. The EEO Officer prioritizes the communication with staff, the supervisor, and the Agency Personnel Officer, so that a decision can be reached within a short timeframe (depending on receipt of any necessary documentation from staff or budgetary allotments). The EEO Officer is working to ensure that all the contacts and data required for the Citywide database is added contemporaneously.

The agency's EEO Officer, Agency Personnel Officer, and the agency attorney meet monthly to discuss the agency's EEO, HR, and legal concerns, including the agency's efforts to address underutilization and trends.

- 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.
- Absent of any undue hardship, 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 follows the City's Reasonable Accommodation Procedure.
- The agency grants or denies request 30 days after submission or as soon as possible.
- The Agency Head or designee must review and grant or deny an appeal fifteen (15) days after submission of appeal.
- If the review and decision on appeal is not done by the Agency Head.  
Provide the name and title of the designee<sup>1</sup> : \_\_\_\_\_
- The designee reports directly to the Agency Head.
- The agency will input the Reasonable Accommodation activity on the DCAS Citywide Complaint and Reasonable Accommodation (CAD) Database and update the information as needed.

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

### **A. Local Law 92 (2018): Annual Sexual Harassment Prevention training**

- The agency plans to train all new employees on Sexual Harassment Prevention within 30 days of start date.

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<sup>1</sup> EEO Officer and General Counsel should **NOT** be appointed as agency head designee for review of appeals to reasonable accommodation decisions. Refer to the revised guidelines below. Note the conflict of interest; in the event of an external challenge to the denial of a reasonable accommodation, the agency's General Counsel would be tasked with defending the agency against a decision in which that office was a decision maker on appeal.

- The agency will train all current employees on Sexual Harassment Prevention (Cycle 5 – September 1, 2022 – August 31, 2023) as indicated in the Section VII Training above.

**B. Local Law 97 (2018): Annual Sexual Harassment and Complaint Reporting**

- The agency will ensure that sexual harassment complaints, and all other EEO complaints, are investigated and closed within 90 days.
- The agency will input sexual harassment complaint data, as well as all other types of complaints, on the DCAS Citywide Complaint and Reasonable Accommodation (CAD) Database, contemporaneously update the information, and affirm the data in a timely manner when requested by DCAS.

**C. Local Law 121 (2020): Age Discrimination Training**

- The agency plans to train all new employees on Everybody Matters: EEO and Diversity & Inclusion Training for NYC Employees within 30 days of start date.
- The agency will train all current employees on Everybody Matters: EEO and Diversity & Inclusion Training for NYC Employees (Cycle 1: April 1, 2021 – March 31, 2023) as indicated in the Section VII Training above.

**D. 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, this 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 managers, supervisors, and front-line employees will be re-trained every two years, no later than the third quarter of the Fiscal Year, as indicated in Section VII Training above.
- In addition, all other employees will be trained or re-trained every two years, as indicated in Section VII Training above.
- 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.

**E. Local Law 101 (2018): Climate Survey**

[Using the template provided in Appendix B, submit a detailed action plan that address concerns and issues raised in the 2020 Workplace Climate Survey.]

[**Note:** DCAS is mandated to submit a report on Action Plans to the Mayor and the Speaker of the Council by December 31, 2022].

The agency, in collaboration with DCAS, has conducted a climate survey in 2020 and:

- Analyzed the 2020 Climate Survey data provided by DCAS.
- Will review or has reviewed the results of the survey with agency head and senior leadership.
- Developed an action plan in consultation with agency head and senior leadership [template included in the appendix] outlining the initiatives and actions that will be adopted by the agency in response to the 2020 Workplace Climate Survey data.

## X. Audits and Corrective Measures

[Please check the statement(s) that apply 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 2023 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] \_\_\_\_\_. [Please attach a copy of the document setting out the oversight parameters and the agency's most recent report to the oversight agency.]
- Within the last two years the agency was involved in an audit conducted by the EEPC or \_\_\_\_\_ [another governmental agency – please specify] specific to our EEO practices.
- The agency will continue/be required to implement corrective actions during the year that this plan is in effect [please attach a copy of the audit findings.]
- The agency received a Certificate of Compliance from the auditing agency. [Please attach a copy of the Certificate of Compliance from the auditing agency.]

## XI. Agency Head Signature

[Note: Agency Head's signature and date should be provided for final submission only after the agency receives approval of the plan by DCAS.]

Pauline Ann Toole

Print Name of Agency Head

Signature of Agency Head

January 19, 2023

Date

## Appendix A: Contact Information for Agency EEO Personnel

[Please provide contact information (name, title, e-mail, telephone number and full office address) for the following EEO roles at your agency. If several roles are performed by the same individual enter only the name in further entries. Insert additional rows as needed.]

	<b>Title/Function</b>	<b>Name</b>	<b>Email</b>	<b>Telephone</b>
1.	<b>Agency EEO Officer</b> [indicate if 'Acting' or 'Interim']	LaTonya Jones	LCJones@records.nyc.gov	212.341.6022
2.	<b>Chief Diversity Officer/Chief MWBE Officer per E.O. 59</b>	Lisa Velasquez	lvelasquez@records.nyc.gov	212-341-6036
3.	<b>ADA Coordinator</b>	Naomi Pacheco	napacheco@records.nyc.gov	212-788-8622
4.	<b>Disability Rights Coordinator</b>	Naomi Pacheco	napacheco@records.nyc.gov	212-788-8622
5.	<b>Disability Services Facilitator</b>	Gerald Rosero	grosero@records.nyc.gov	212-788-8610
6.	<b>55-a Coordinator</b>	Naomi Pacheco	napacheco@records.nyc.gov	212-788-8622
7.	<b>Career Counselor(s)</b>	Naomi Pacheco	napacheco@records.nyc.gov	212-788-8622
8.	<b>EEO Training Liaison(s)</b>	Naomi Pacheco	napacheco@records.nyc.gov	212-788-8622
9.	<b>EEO Counselor(s)</b>	Wai Yu (Julie) Chau	wchau@records.nyc.gov	212.788.8619
10.	<b>EEO Counselor(s)</b>	Michael Lorenzini	mlorenzini@records.nyc.gov	212.788.8576
11.	<b>EEO Counselor(s)</b>	Urmi Udeshi	uudeshi@records.nyc.gov	212.788.8634



## Appendix B: 2020 Climate Survey Action Plan

[Please provide a detailed description your agencies plan to address the target areas and objectives identified by DCAS. For each target area and objectives, include the planned actions, initiatives, programs or policies, the intended reach, and the office responsible for implementation. More than one initiative is encouraged to address a target area and objective.]

### 1. Target area and objective: Increase employees' familiarity with the EEO Policy.

- **Planned actions, initiatives, programs, or policies:** [Please provide detailed description of each effort. More than one initiative is encouraged to address a target goal]
  - The EEO Officer will circulate quarterly agency wide email including EEO resources, including the revised EEO Policy.
  - The EEO Officer and Director of Administrative Operations will host a question-and-answer session to provide general information on the reasonable accommodation and EEO complaint processes, as well as answer staff questions. Staff will be encouraged to schedule one-on-one meetings for any personal or specific inquiries. The event will be recorded and posted to the intranet.
  
- **Intended reach** [Please include specific strategies for staff who may not have access to computers.]
  - All staff, including, senior executives, managers, interns, consultants, etc.
  
- **Who will be responsible for implementing the action?** [Indicate all offices/units responsible.]
  - The EEO Officer and Director of Administrative Operations will coordinate this process.

### 2. Target area and objective: Improve the EEO Office's visibility to the workforce.

- **Planned actions, initiatives, programs, or policies:** [Please provide detailed description of each effort. More than one initiative is encouraged to address a target goal]
- Supervisors/directors will follow up with staff after an agencywide email is shared regarding EEO-related information by sending an email to their unit or direct-reports and discussing it at unit meetings;

- The EEO Officer or EEO counselor will attend unit meetings in each department on quarterly basis;
- The agency will hold a contest where employees can win a \$5 gift card if they send an email with the answer to the following question within a specific timeframe (i.e., 2 days): Who is the EEO Officer and who are the EEO counselors at DORIS?

- **Intended reach** [Please include specific strategies for staff who may not have access to computers.]

All staff, including, senior executives, managers, interns, consultants, etc.

- **Who will be responsible for implementing the action?** [Indicate all offices/units responsible.]

All senior staff members, including the EEO Officer.

**3. Target area and objective: Improve employees' knowledge of the EEO complaint process, including where and how to file a formal complaint, and what happens after a complaint is filed.**

- **Planned actions, initiatives, programs, or policies:** [Please provide detailed description of each effort. More than one initiative is encouraged to address a target goal]
- The EEO Officer will circulate quarterly agency wide email including EEO resources, including the revised EEO Policy.
- The EEO Officer and Director of Administrative Operations will host a question-and-answer session to provide general information on the reasonable accommodation and EEO complaint processes, as well as answer staff questions. Staff will be encouraged to schedule one-on-one meetings for any personal or specific inquiries. The event will be recorded and posted to the intranet.

- **Intended reach** [Please include specific strategies for staff who may not have access to computers.]
  - o All staff, including, senior executives, managers, interns, consultants, etc.

- **Who will be responsible for implementing the action?** [Indicate all offices/units responsible.]

The EEO Officer and Director of Administrative Operations will coordinate this process.

**4. Target area and objective: Increase employees' understanding of protected rights and prohibition of discrimination, including sexual harassment, in the workplace.**

- **Planned actions, initiatives, programs, or policies:** [Please provide detailed description of each effort. More than one initiative is encouraged to address a target goal]

The EEO Officer works closely with the Administrative Unit to ensure that all staff members are trained annually in sexual harassment prevention. In addition, the EEO Officer has uploaded resources to the intranet on this subject. The EEO Officer will work with the Administrative Unit to make sure that new staff, interns, or consultants are trained within 30 days of starting. The EEO Officer will also periodically include information on sexual harassment prevention in the quarterly emails to all staff.

- **Intended reach** [Please include specific strategies for staff who may not have access to computers.]
  - All staff, including, senior executives, managers, interns, consultants, etc.
- **Who will be responsible for implementing the action?** [Indicate all offices/units responsible.]
- The EEO Officer and the Administration Unit will coordinate this process.

**5. Target area and objective: Improve managers' and supervisors' awareness of measures that an employee may take to report any violations under the EEO Policy, including discrimination and sexual harassment.**

- **Planned actions, initiatives, programs, or policies:** [Please provide detailed description of each effort. More than one initiative is encouraged to address a target goal]

100% of managers and supervisors reported that they knew who the agency's EEO Officer was and whom to report EEO complaints to in the survey. The EEO Officer will continue to work very closely with all senior staff and supervisors across the agency to ensure that they have information about EEO-related policies and resources.

- **Intended reach** [Please include specific strategies for staff who may not have access to computers.]

- All senior staff and supervisors.

- **Who will be responsible for implementing the action?** [Indicate all offices/units responsible.]

All senior staff members, including the EEO Officer.

**6. Target area and objective: Improve managers' and supervisors' knowledge of whom and where to direct employees who may want to discuss a complaint (s) under the EEO Policy.**

- **Planned actions, initiatives, programs, or policies:** [Please provide detailed description of each effort. More than one initiative is encouraged to address a target goal]

100% of managers and supervisors reported that they knew who the agency's EEO Officer was and whom to report EEO complaints to in the survey. The EEO Officer will continue to work very closely with all senior staff and supervisors across the agency to ensure that they have information about EEO-related policies and resources.

- **Intended reach** [Please include specific strategies for staff who may not have access to computers.]

Managers and supervisors.

- **Who will be responsible for implementing the action?** [Indicate all offices/units responsible.]

All senior staff members, including the EEO Officer.