

NYC
**Equal Employment
Practices Commission**

Cesar A. Perez
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Angela Cabrera
Malini Cadambi Daniel
Elaine S. Reiss, Esq.
Arva R. Rice
Commissioners

Charise L. Hendricks, PHR
Executive Director

Judith Garcia Quiñonez, Esq.
Deputy Director/Agency Counsel

253 Broadway
Suite 602
New York, NY 10007

212. 615. 8939 tel
212. 615. 8931 fax

November 18, 2013

Robert W. Townsend
Executive Director
Financial Information Services Agency
450 West 33rd Street, 4th Floor
New York, NY 10001

Re: Preliminary Determination: Audit and Analysis of the Financial Information Services Agency's Equal Employment Opportunity Program from January 1, 2011 to June 30, 2013.

Dear Executive Director Townsend:

On behalf of the members of the Equal Employment Practices Commission (Commission or EEPC), thank you and your agency for the cooperation extended to our staff during the course of this audit. This letter contains the Commission's findings and preliminary determinations pursuant to our audit and analysis of your agency's Equal Employment Opportunity (EEO) Program for the period covering January 1, 2011 to June 30, 2013.

The New York City Charter, Chapter 36, Section 831(d)(5), empowers this Commission to audit and evaluate city agencies' employment practices, programs, policies and procedures, and their efforts to ensure fair and effective equal employment opportunity for employees and applicants seeking employment with city agencies. Section 831(d)(2) provides that this Commission may, pursuant to an audit, make a preliminary determination that any plan, program or procedure utilized by any city agency does not provide equal employment opportunity and recommend all necessary and appropriate procedures, approaches, measures, standards and programs to be utilized by agencies in these efforts.

The Financial Information Services Agency, which may herein be referred to as "the agency," falls within the Commission's purview under Chapter 36, Section 831(a) of the New York City Charter, which delineates city agency as any "city, county, borough or other office, administration, board, department, division, commission,



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bureau, corporation, authority, or other agency of government where the majority of the board members of such agency are appointed by the mayor or serve by virtue of being city officers or the expenses of which are paid in whole or in part from the city treasury..."

The purpose of this audit and analysis is to evaluate the agency's EEO Program, not to issue findings of discrimination pursuant to the New York City Human Rights Law. This Commission has adopted *Uniform Standards for EEPC Audits*¹ and *Minimum Equal Employment Opportunity Standards for Community Boards* to assess agencies' EEO programs and policies for compliance with federal, state and local laws, regulations, policies and procedures which are designed to increase equality of opportunity for municipal government employees and job applicants. These standards are founded upon and consistent with federal, state and local laws, regulations, procedures and policies including, but not limited to, the Citywide Equal Employment Opportunity Policy - Standards and Procedures to be Utilized by City Agencies; New York City Human Rights Law (NYC Administrative Code, §§8-107.1(a) and 8-107.13(d)); New York State Civil Service Law §55-a; Equal Employment Opportunity Commission's Instructions to Federal Agencies for EEO, Management Directive 715; Uniform Guidelines on Employee Selection Procedures (29 CFR §§1607.3 - 1607.7) and the equal employment opportunity requirements of the New York City Charter. Recommendations for corrective actions are consistent with the aforementioned parameters.

Since this Commission is empowered to review and recommend actions which each agency should consider including in its annual plan of measures and programs to provide equal employment opportunity (Annual EEO Plan), the audited agency should incorporate required corrective actions in its current EEO Program and prospective Annual EEO Plans.

Scope and Methodology

This Commission's audit methodology includes collection and analysis of the documents, records and data the agency provides in response to the *EEPC Document and Information Request Form*; responses to the *EEPC Interview Questionnaires* for EEO professionals and others involved in EEO program administration; responses to the *EEPC Employee Survey* and the *EEPC Supervisor/Manager Survey*; and, if applicable, a review of the agency's *Annual EEO Plans* and *Quarterly EEO Reports* and analysis of workforce and utilization data from the *Citywide Equal Employment Database System (CEEDS)*.

EEO professionals (including, but not limited to, past or current EEO Officers, Deputy or Co-EEO Officers, EEO Counselors, EEO Trainers, EEO Investigators, Disability Rights Coordinators, Career Counselors, 55-a Program Coordinators) and others involved in EEO program administration such as the General Counsel and Human Resources Professional are given a two-week deadline to complete and return their individual questionnaires. The

¹ Corresponding audit/analysis standards are numbered throughout the document.



Commission's EEO Program Analysts also conduct follow-up discussions/interviews with EEO professionals, when appropriate.

To encourage response, the EEPC requests that the head or deputy of each agency send emails to employees and to supervisors/managers that provide links to our surveys. A minimum response rate of 20% is desired. Survey results are used to support audit findings and are attached to each audit as appendices. The *EEPC Employee Survey* received a response rate of 40% (157 of 387 employees). The *EEPC Supervisor/Manager Survey* received a response rate 70% (51 of 72 supervisors/managers). (See Appendices 4 and 5.)

In addition, this Commission reviews data from the *Citywide Equal Employment Database System* (CEEDS) to understand the concentrations of race and gender groups within an agency's workforce. EEO Program Analysts examine imbalances between the number of employees in a particular job category and the number that would reasonably be expected when compared to their availability in the relevant labor market. Personnel transactions are reviewed in order to ascertain the agency's employment practices. Where underutilization is revealed within an agency's workforce, EEO Program Analysts assess whether the agency has undertaken reasonable measures to address it.

Description of the Agency

The New York City Financial Information Services Agency (FISA) is responsible for all Information Technology disciplines which support City personnel responsible for the City's central financial, payroll, pension payroll and human resource processing activities. The data for processing these areas reside at FISA in various citywide systems. FISA is a non-Mayoral City agency headed by a three-member board appointed by the Mayor: one member recommended by the Mayor, one member recommended by the Comptroller and one member recommended by the other two members.

PRELIMINARY DETERMINATIONS AFTER AUDIT AND ANALYSIS

Following are the corresponding audit standards for each subject area along with the EEPC's findings and required corrective actions, where appropriate:

I. ISSUANCE, DISTRIBUTION AND POSTING OF EEO POLICIES:

Determination: The agency is in compliance with the standards for this subject area.

1. Distribute the Citywide or an agency EEOP – in paper or electronic copy – to legal, human resources and EEO professionals, as well as managers and supervisors. At minimum, include, or attach as addenda: a policy against Sexual Harassment; uniform and responsive procedures for investigating discrimination complaints and providing

reasonable accommodations that conform to city, state and federal laws; contact information for the EEO professionals; an up-to-date list of protected classes under NYC and NYS Human Rights Laws; and current contact information for federal, state and local agencies that enforce laws against discrimination.

- ✓ The agency follows the *City of New York's EEO Policy: Standards and Procedures to be Utilized by City Agencies (2005, Citywide EEOP)*, which includes a policy against Sexual Harassment; uniform and responsive procedures for investigating discrimination complaints and providing reasonable accommodations that conform to city, state and federal laws; contact information for the EEO professionals; an up-to-date list of protected classes under NYC and NYS Human Rights Laws; and current contact information for federal, state and local agencies that enforce laws against discrimination. The EEO Policy was distributed in December, 2012 via email to all employees and is included in the new hire packet. In addition, 72% of respondents to the *EEPC Employee Survey* indicated when hired they were advised of the EEO policies and of their rights and responsibilities under such policies. Also, 100% of respondents to the *EEPC Supervisor/Manager Survey* who participated in new employee orientation sessions indicated these sessions included information on the EEO Policy.
- 2. Distribute an agency EEO Policy, and a copy of the EEO Policy Handbook, *About EEO: What You May Not Know*, to current/new employees and/or ensure that a copy is available via intranet or website.
- ✓ The agency distributed *City of New York's EEO Policy: Standards and Procedures to be Utilized by City Agencies (2005, Citywide EEOP)*, and a copy of the EEO Policy Handbook, *About EEO: What You May Not Know*, as part of its new hire package. In addition, 95% of respondents to the *EEPC Employee Survey* indicated they were given a copy of the EEO Policy Handbook – *About EEO: What You May Not Know*.
- 3. Issue a general EEO Policy statement or memo reiterating commitment to EEO, declaring the agency's position against discrimination on any protected basis, advising employees of the names and contact information of EEO professionals, and providing employees pertinent electronic links to the EEO Policy/Handbook/Addenda.
- ✓ The agency issued an EEO Policy statement via email to all employees in December 2012. The policy statement affirmed the agency's commitment to the principles of diversity, inclusion, and EEO, and the agency's commitment to maintaining fair employment practices for all of its employees and qualified applicants. The policy statement also included the link to the Citywide EEOP as well as the names of all EEO and EEO related personnel.
- 4. Post – on electronic bulletin boards, intranet sites, and at each facility – the EEO policies and complaint procedures. Post the agency head's general EEO Policy Statement wherever the EEO policy and addenda or the EEO handbook is posted.

- ✓ The agency has posted the *City of New York's EEO Policy* and Reasonable Accommodation Procedures along with information on the Section 55-a Program in bins located next to the EEO Bulletin Boards on the 10th and 4th floors of 330 W. 33rd Street where the agency conducts business. In addition, 95% of respondents to the *EEPC Employee Survey* indicated the EEO Policy is posted on the agency's bulletin boards or kept in an area otherwise accessible to employees. Also, 80% of respondents to the *EEPC Supervisor/Manager Survey* indicated the EEO Policy can be found in the EEO Office, 71% indicated it could be found in the HR/ Personnel Office, 57% indicated it could be found in their office and 55% indicated it could be found on the intranet.

II. EEO TRAINING FOR AGENCY:

Determination: The agency is in compliance with the standard for this subject area.

1. Establish and implement an EEO training plan for new and existing employees to ensure that all individuals who work within the agency, including managers and supervisors, receive training on EEO laws and their related rights and responsibilities.
- ✓ The agency has established an EEO training plan for new and existing employees. Trainings are held every two years for all employees. New employees and consultants receive EEO information as part of the new hire package which also includes the annual memo to staff reaffirming the agency head's commitment to EEO. All employees completed the *Citywide Diversity and EEO Computer Based Training (CBT)* in 2011. In addition, 87% of respondents to the *EEPC Employee Survey* indicated they received EEO training during the past 3 years; 98% of these respondents found the training to either be very or somewhat informative. Also, 98% of respondents to the *EEPC Supervisor/Manager Survey* indicated they completed *Department of Citywide Administrative Services' Citywide EEO Computer-Based Training for Managers and Supervisors*.

III. DISCRIMINATION /SEXUAL HARRASSMENT COMPLAINT & INVESTIGATION PROCEDURES:

Summary of Complaint Activity: There were three internal discrimination complaints filed during the audit period: two were completed, one was pending. One external discrimination complaint was filed during the audit period, and one was pending.

Determination: The agency is in compliance with the standards for this subject area.

1. Include in the complaint file a *Discrimination Complaint Form* or a *complaint* that captures: the facts (including pertinent dates) that identify the respondent(s) with

reasonable specificity and provide the essence of the circumstances which gave rise to the alleged discrimination.

- ✓ There were two internal discrimination complaints filed and completed during the audit period (127-2012-02 and 127-2012-03). Both complaint files include a *Discrimination Complaint Form* completed by the complainant, and captured the facts of the cases; dates, identity of respondents, and the basis upon which the complaint had been filed.
- 2. Serve the respondent with a notice of the complaint that includes the respondent's right to respond to the allegations and right to be accompanied by a representative of his/her choice. Maintain in the complaint file documentation regarding the service of notice on the respondent.
- ✓ Respondents in the aforementioned cases were notified in writing that a complaint had been filed against them. The notification included the respondent's right to respond to the allegations and right to be accompanied by a representative of his/her choice.
- 3. Take thorough notes, of words spoken and facts provided, during each interview. Include these notes in each complaint file. Word processed notes are preferred.
- ✓ Discrimination complaint files contained word processed notes of the facts gathered during interviews with complainant, respondent and witnesses as presented by the EEO Officer whom conducted the investigation.
- 4. Issue a *Confidential Written Report* within 90 days of the date the discrimination complaint was filed, although the investigation shall be commenced immediately.
- ✓ Each case file contained a confidential memorandum addressed to the Executive Director, within 90 days of the date the discrimination complaint was filed.
- 5. Generate a report labeled "Confidential" consisting of *Facts, Analysis, Conclusion, Recommendation, and Agency Head's Review* at the conclusion of each complaint investigation.
- ✓ Each case file contained a memorandum marked "confidential", which consisted of Analysis, Conclusion, Recommendation, and Agency Head's signature.
- 6. Maintain EEO-related files in a secure area to ensure that they can be located and reviewed by the agency head, general counsel, and other appropriate staff identified by the agency head.
- ✓ EEO-related files are kept in locked cabinets onsite and managed by the EEO Officer.

7. The agency head reviews the EEO professional's report; promptly issues a written/electronic determination adopting, rejecting, or modifying the recommended action; and signs each final determination (via writing or electronically) to indicate it has been reviewed and adopted.
 - ✓ Each EEO Confidential Report includes an agency head confirmation statement and signature line. The agency head's signature confirms that the agency head has reviewed the matter through discussions with the EEO Officer and approves and adopts the recommendation.
8. In order for the agency to demonstrate it has a meaningful and responsive procedure for investigating discrimination complaints, as required by City Human Rights Law, the complaint procedure, require written communication informing the complainant and respondent of the conclusion and outcome of a complaint investigation.
 - ✓ The compliant files include a notification informing the complainant and respondent of the conclusion and outcome of a complaint investigation.
9. Internal discrimination complaint files contain written indication of their outcomes and corrective action(s) taken as a result of the determination.
 - ✓ Internal discrimination complaint files contained written indication of their outcomes and corrective action(s) taken as a result of the determination.
10. Notify the complainant and respondent in writing when the investigation by the EEO professional has been transferred because of the filing of an external complaint.
 - ✓ Although no compliant was transferred during the audit period, the agency's EEO Policy states that the EEO Officer will notify the complainant and the parties who are the subject of the complaint, in writing, that the investigation by the EEO Officer has been transferred because of the filing of the external complaint.
11. Establish a complaint tracking and monitoring system that permits the agency to identify the location, status, and length of time elapsed in the EEO complaint process, the issues and the bases of the complaints, the aggrieved individuals, and other information necessary to analyze complaint activity to identify trends.
 - ✓ The agency maintains a *Monthly Complaint Log* that captures the date a complaint was filed, the complaint number, the reason for the complaint and its current status.
12. The General Counsel assists the agency head in identifying and determining appropriate responses to EEO issues; works with the principal EEO Professional in the implementation of the City's EEO policies and related procedures; informs the principal EEO Professional when external complaints or litigation involving EEO matters are

brought against the agency; is available to consult on internal EEO investigations; and is responsible for the investigation of, and response to, external EEO complaints.

- ✓ The General Counsel assisted the agency head in identifying and determining appropriate responses to EEO issues; worked with the principal EEO Professional in the implementation of the City's EEO policies and related procedures; informed the principal EEO Professional when external complaints or litigation involving EEO matters are brought against the agency; was available to consult on internal EEO investigations; and was responsible for the investigation of, and response to, external EEO complaints.

IV. SELECTION AND RECRUITMENT SYSTEM:

A current breakdown of the agency's workforce is attached as Appendix 1.

Determination: The agency is in partial compliance with the standards for this subject area.

1. Assess recruitment efforts to determine whether such efforts adversely impact any particular group. To the extent that adverse impact is discovered, at a minimum, identify relevant professional and community organizations serving women, minorities, and other protected groups throughout the City, review and update listings of recruitment outreach sources, and contact these organizations when provisional positions become available or where agencies may otherwise use discretion in hiring.
- ✓ The agency assessed recruitment efforts to determine whether such efforts adversely impact any particular group. To expand its pool of candidates, the agency incorporated additional recruitment sources and modified contracts with vendors who supply consulting candidates with language that encouraged them to provide a more diverse pool of candidates: i.e. *"Vendors are strongly encouraged to provide a diverse pool of qualified applicants when submitting resumes in response to a solicitation."*
2. The principal EEO Professional, HR Professional, and General Counsel, review the agency's statistical information (i.e. workforce, hires, promotions, and separations by race/ethnicity and gender), the annual number of EEO complaints, and the agency's employment practices, policies and programs on an annual basis to identify whether there are barriers to equal opportunity within the agency and determine what, if any, corrective actions are required to correct deficiencies.
- ✓ The Executive Director and EEO staff held quarterly meetings to review CEEDS reports (i.e. workforce, hires, promotions, and separations by race/ethnicity and gender), quarterly reports, and disparate impact analyses. In the event of layoffs or terminations, the agency will consult with the EEO Officer and General Counsel's office.



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3. Assess the manner in which candidates are selected for employment, to determine whether there is any adverse impact upon any particular racial, ethnic, disability, or gender group. To the extent that adverse impact is discovered, determine whether the selection criteria being utilized are job-related. Discontinue using criteria that are not job-related, and adopt methods which diminish adverse impact.

✓ The agency's EEO Officer conducted adverse impact assessments on hires in the *DBA Director FMS, DBA Director, Human Resources/ Payroll Tech Support Manager, Human Resources / Payroll Job Administration Technician, and Remedy Administrator* titles and found no adverse impact on females, minorities or people with disabilities as defined by the 4/5ths rule.

4. If women, minorities, or other protected groups are underrepresented in titles where there is discretion in hiring, advertise in minority- or female-oriented publications; contact organizations serving women, minorities, and other protected groups; participate in career fairs/open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.

✓ In order to enhance recruitment strategies for individuals with disabilities and veterans the agency solicited the assistance of the Mayor's Office for People with Disabilities, City University of New York and Adult Career and Continuing Education Services-Vocational Rehabilitation (ACCES-VR).

➤ However, a review of data provided by the New York City Department of Personnel CEEDS System (work force compared with internal and external pools) revealed underutilization of additional protected groups in discretionary titles (see Appendix 3). **Corrective action is required.**

Corrective Action #1: If women, minorities, or other protected groups are underrepresented in titles where there is discretion in hiring, advertise in minority- or female-oriented publications; contact organizations serving women, minorities, and other protected groups; participate in career fairs/open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.

5. If women, minorities, or other protected groups are underrepresented in *civil service* (list) titles, review the competencies, skills and abilities required (as presented in job vacancy notices and notices of examination) for available positions to ensure that these standards are updated, job-related and required by business necessity. (This includes working with DCAS or the Civil Service Commission if applicable). Then advertise in minority- or female-oriented publications, contact organizations serving women, minorities, and other protected groups; participate in career fairs or open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.

- A review of data provided by the New York City Department of Personnel CEEDS System (work force compared with internal and external pools) revealed underutilization of protected groups in civil service titles (see Appendix 3). Corrective action is required.

Corrective Action #2: If women, minorities, or other protected groups are underrepresented in *civil service* (list) titles, review the competencies, skills and abilities required (as presented in job vacancy notices and notices of examination) for available positions to ensure that these standards are updated, job-related and required by business necessity. (This includes working with DCAS or the Civil Service Commission if applicable). Then advertise in minority- or female-oriented publications, contact organizations serving women, minorities, and other protected groups; participate in career fairs or open houses; or use internships to attract interested persons and to develop and hire interested and qualified candidates.

6. Ensure that human resources professionals, managers, supervisors, and other personnel involved in the recruitment and hiring process are trained in EEO and interviewing, selection, and hiring skills to enable such individuals to correctly identify the most capable candidates (i.e. structured interview training or guide).
 - The agency did not provide structured interview training to human resource professionals, managers, supervisors, and other personnel involved in the recruitment and hiring process during the audit period.
 - ✓ NOTE: Although the agency did not provide structured interview training during the period in review, on September 25, 2013 thirty-one employees involved in the recruitment and hiring process attended *Structured Interviewing* training.
7. Promote employees' awareness of opportunities for promotion and transfer within the agency, and ensure that employees are considered for such opportunities.
 - ✓ The Career Counselor's responsibilities included providing employees with information, advice and counseling on promotional, transfer and citywide career development opportunities, as well as civil service exams and provisional employment. In addition, 84% of respondents to the *EEPC Employee Survey* indicated vacant positions were advertised on bulletin boards or other areas accessible to employees in a timely manner.
8. At minimum, indicate the agency is an equal opportunity employer in recruitment literature.
 - ✓ The agency advertised several vacant positions during the audit period including; College Aide, Procurement Analyst, Financial Systems Release Manager and Job Administrative Analyst. All advertisements including those posted in the New York Times Newspaper included the EEO tagline "*FISA / New York City is an Equal Opportunity Employer*".

9. Use and maintain an applicant/candidate log or tracking system which, at minimum, includes the position, applicants'/candidates' names, identification number, ethnicity, gender, disability or veteran status, interview date, interviewers' names, result, reason selected/not selected (or disposition) of each applicant, and recruitment source. Ensure that the process avoids the appearance of bias by delegating the responsibility for recording and maintaining this information to an individual other than the hiring manager.
- ✓ The agency utilizes the citywide Recruitment Management System- *eHire*. *eHire* allows applicants the option to self-identify ethnicity, gender, disability and/or veteran status. *eHire* also captures recruitment and referral source and produces an *Applicant/Interview Log* report. The agency also maintains a supplemental applicant interview log which is completed by the hiring manager.
- Although the agency utilizes the citywide Recruitment Management System- *eHire*, which captures the interviewee's name, address, race/ ethnicity, gender, disability status, interview date, result, reason selected/ not selected for each applicant and recruitment source, it also maintained a separate applicant/ interview log which was completed by the hiring manager. Corrective action is required.

Corrective Action #3: Ensure that the selection process avoids the appearance of bias, by delegating the responsibility for recording this information to an individual other than the hiring manager.

V. CAREER COUNSELING:

Determination: The agency is in partial compliance with the standards for this subject area.

1. Designate a professional (may be referred to as the Career Counselor) with appropriate training, knowledge and familiarity with career opportunities in City government to provide career counseling to employees upon request. Remind employees of the identity/type of guidance available from the Career Counselor at least once each year.
- ✓ The agency has appointed a Career Counselor whose name is listed in the EEO Policy Statement with other EEO Personnel. The Career Counselor is also responsible for providing information, advice and counseling to employees on promotional, transfer, and citywide career development training opportunities.
- Although the agency appointed a Career Counselor whose name is listed in the EEO Policy Statement, 52% of respondents to the EEPD Employee Survey indicated they did not know the identity of the agency's Career Counselor (described as a trained

professional familiar with civil service and provisional jobs who provides career counseling to employees who request such guidance).

Corrective Action #4: Re-distribute the identity of the Career Counselor to remind employees of the identity and type of career guidance available.

2. The Human Resources Professional distributes the identity of the agency Career Counselor and ensures that all employees have access to information regarding job responsibilities, performance evaluation standards, examinations, training opportunities and job postings; ensures that all new employees are advised of the EEO policies, their rights and responsibilities under such policies and the discrimination complaint procedures; informs the principal EEO Professional of the number of 55-a program participants and efforts the agency has made to employ, promote or accommodate qualified individuals with disabilities; involves the principal EEO Professional in EEO-related matters; and promptly consults with the principal EEO Professional if informed of, or suspects that a violation of the EEO Policy has occurred.
- ✓ The agency's Director of Human Resources conducted semi-annual EEO review sessions with staff, and new hire orientations to ensure that all employees are advised of the EEO policies, their rights and responsibilities under such policies and the discrimination complaint procedures all other responsibilities are handled by the EEO Officer.

**VI. EEO AND REASONABLE ACCOMMODATIONS FOR EMPLOYEES/
APPLICANTS FOR EMPLOYMENT WITH DISABILITIES:**

Determination: The agency is in partial compliance with the standards for this subject area.

1. Designate a professional (may be referred to as the Disability Rights Coordinator) to ensure compliance with all federal, state, and local laws, as well as City and agency policies, pertaining to persons with disabilities; receive, or be notified of, reasonable accommodations requests; and recommend appropriate action to the agency head.
- ✓ The Assistant Executive Director, HR/ Payroll Business Support was appointed Disability Rights Coordinator (DRC) in September, 2011. The DRC provided assistance and guidance to staff regarding the City's Reasonable Accommodation Policy and regulations pertaining to persons with disabilities.
- Although the DRC's name and contact information are included in the agency's EEO Policy statement, 67% of respondents to the *EEPC Employee Survey* indicated they did not know the person responsible for reasonable accommodation requests and ensuring compliance with all federal, state, and local laws, as well as City and agency policies pertaining to persons with disabilities (Disability Rights Coordinator). Corrective Action is Required.

- Corrective Action #5: Re-distribute the identity and responsibilities of the Disability Rights Coordinator to ensure that employees are aware of this information.
2. Utilize the Section 55-a Program, which allows City agencies to employ qualified persons who have been certified as disabled in competitive positions on a non-competitive basis.
 - ✓ The agency utilizes the Section 55-a Program. Information about the program is included in the agency's new hire package. Each employee is required to sign a confirmation upon receipt of this information.
 3. Designate a Section 55-a Program Coordinator to disseminate information about the program and assist individuals who wish to apply.
 - ✓ The Assistant Executive Director, HR/ Payroll Business Support was designated as the Section 55-a Program Coordinator in September, 2011. The Section 55-a Coordinator was responsible for disseminating directives and programs issued by DCAS, and advising staff and applicants accordingly.
 4. Ensure that information regarding employee rights and obligations, and the complaint, investigation and reasonable accommodation procedures is made available in appropriate alternative formats (i.e., large print, audio tape and/or Braille) upon request to employees and applicants for employment with disabilities.
 - ✓ The agency ensured that information regarding employee rights and obligations, and the complaint, investigation and reasonable accommodation procedures is made available in alternative formats such as audio tape and large print. Audio and large print versions of the EEO Policy were reproduced by the agency and are available upon request.
 5. Document reasonable accommodation requests and their outcomes.
 - ✓ The agency documented reasonable accommodation requests via its reasonable accommodation request log, which captures the file number, description and date of request and determination. Twenty reasonable accommodations requests were made and granted during the audit period. In addition, 86% of respondents to the *EEPC Employee Survey* who asked for a reasonable accommodation within the past 3 years indicated their accommodation was granted.
 6. Develop and implement a plan to demonstrate facilities are accessible to and usable by employees/applicants for employment with physical disabilities: identify the number of locations that are accessible/non-accessible; the distribution of the agency's accessible facilities throughout the City; the distribution of job titles among accessible/non-accessible facilities; barriers in non-accessible facilities and the efforts the agency has taken to determine whether removal of barriers is readily achievable, and if so, to

remove them; the agency responsible for rendering non-accessible facilities accessible. State whether the agency has applied to Department of Buildings for a waiver of the requirements for the alteration of existing facilities or if facilities are exempt.

- ✓ The agency is located on the 4th and 10th floors of 450 West 33rd Street, New York, NY 10001. Its facility is accessible to and useable by employees/applicants for employment with disabilities via the following: street accessible entrance, ramp access, wheelchair accessible elevators, Braille in elevators, wide restroom stalls, grab bars in restrooms and low sink or bathroom fixtures. All 665 workstations are made with modular furniture that can be adjusted to accommodate employees/applicants for employment with physical disabilities. Although the authority to render the elevators at 450 West 33rd street fully accessible lies with a private landlord, the agency anticipates an upgrade which adds audible floor indicators to elevators to be complete by 2014.

VII. RESPONSIBILITY FOR EEO PLAN IMPLEMENTATION - EEO PROFESSIONALS:

Determination: The agency is in compliance with the standards for this subject area.

1. Appoint a principal EEO Professional to implement EEO policies and standards within the agency. The principal EEO Professional is trained and knowledgeable regarding city, federal and state EEO laws; the requirements of the agency's EEO policies, standards and procedures; and the prevention, investigation, and resolution of discrimination complaints.
- ✓ The Assistant Executive Director, HR/ Payroll Business Support was appointed EEO Officer in September, 2011. The EEO Officer attended the *Citywide Diversity and Equal Employment Opportunity Basic Training* in June, 2011 and shadowed his predecessor for approximately five months prior to being appointed EEO Officer. Since appointment, the EEO Officer has attended several trainings sponsored by Department of Citywide Administrative Services: *Family Medical Leave Act*, *Effective Complaint Investigations and How to Handle Difficult Situations*, and *Transgender Awareness*, as well as *Disability is Diversity: Tapping into Talents of New Yorkers with Disabilities*, by Cornell University, and *Mediation Training*, by the Office of Administrative Trials and Hearings. The EEO Officer is responsible for receiving and investigating discrimination complaints. Conducts inquiries where appropriate and provides assistance and guidance to staff regarding the City's EEO Policy and regulations. In addition, 100% respondents to the *EEPC Supervisor/ Manager Survey* and 92% of respondents to the *EEPC Employee Survey* indicated they know the identity of the agency's EEO Officer.
2. Appoint at least one EEO professional of each gender to receive discrimination complaints and conduct investigations.

- ✓ The agency appointed an EEO Professional of each gender (a male principal EEO Officer, a male EEO Counselor and a female EEO Counselor) to receive discrimination complaints and conduct investigations. The names and contact information are included in the agency's EEO Policy statement which was distributed on December 19, 2012.
- 3. Ensure that EEO professionals are trained in EEO laws and procedures and know how to carry out their responsibilities under the EEO Policy.
- ✓ EEO professionals all completed *DCAS Diversity and Equal Employment Opportunity Basic Training*.
- 4. Ensure that the responsibilities of the principal EEO Professional are competently discharged by providing adequate support staff and/or resources to meet EEO obligations.
- ✓ The EEO Officer's support staff and resources include four EEO Counselors and the Agency Counsel.
- 5. The principal EEO Professional works cooperatively and closely with the General Counsel in the implementation of the EEO policies and related procedures.
- ✓ The EEO Officer works cooperatively and closely with the General Counsel in the implementation of the EEO Policies and related procedures.
- 6. The principal EEO Professional ensures that employees receive EEO training; supervises the EEO-related activities of other EEO professionals; ensures that EEO policies and complaint procedures are posted at each site where the agency conducts business; ensures that EEO policies and procedures are available in alternative formats (i.e., large print, audio tape and/or Braille); and provides guidance and assistance to agency managers, supervisors and human resource professionals in addressing issues relating to equal employment opportunity.
- ✓ The EEO Officer ensured that training plans were properly implemented and assisted in the implementation of the City's EEO Policy. The EEO Officer posts bulletins and information on the City's EEO Policy and procedures and EEO related personnel appointments on staff bulletin boards in three locations within the agency. The EEO Officer also provides guidance and assistance to agency managers, supervisors and human resource professionals in addressing issues relating to equal employment opportunity. In addition, the agency holds formal quarterly meetings to review current and anticipated EEO related matters.

7. The principal EEO Professional reports directly to the agency head (or an approved direct report other than the General Counsel) in order to exercise the necessary authority and independent judgment to fulfill EEO responsibilities.
- Although the EEO Officer reports to the First Deputy Executive Director who is a direct report to the agency head, the organizational chart did not specify the EEO Officer title and reporting relationship.

NOTE: On November 12, 2013, the agency updated its organization chart to reflect the reporting relationship between the EEO Officer and the agency head.

8. To ensure the integrity and continuity of the EEO Program, maintain appropriate documentation of meetings and other communications between the agency head (or a direct report other than the General Counsel) and the principal EEO Professional regarding decisions that impact the administration and operation of the EEO program.
- ✓ The EEO Officer meets with the Executive Director, General Counsel, and EEO counselors to review complaints, accommodations, CEEDS, quarterly reports, EEO training for FISA staff, and other EEO related activities. The agency provided documentation of dates and attendees for each meeting.

VIII. RESPONSIBILITY FOR EEO PLAN IMPLEMENTATION – SUPERVISORS/MANAGERS:

Determination: The agency is in partial compliance with the standards for this subject area.

1. The agency head directs managers and supervisors to emphasize the agency's commitment to its EEO policies and affirm the right of each employee to file a discrimination complaint with the EEO office. This directive, and its implementation, is documented.
- ✓ The EEO Officer directs managers and supervisors to emphasize the agency's commitment to the EEO policies and affirm the right of each employee to file a discrimination complaint with the EEO office. The implementation of this directive is tracked by a log, maintained by the EEO Officer, of staff meetings held by supervisors and managers with their staff. In addition, 93% of respondents to the *EEPC Supervisor/Manager Survey* indicated they reaffirmed the agency's commitment to the principle of Equal Employment Opportunity during staff meetings within the past year one or more times. Also, 92% of respondents to the *EEPC Employee Survey* indicated their manager or supervisor reaffirmed the agency's commitment to the principle of Equal Employment Opportunity during staff meetings one or more times within the past year.

NOTE: Although, the EEO Officer directs managers and supervisors to emphasize the agency's commitment to the EEO policies and affirm the right of each employee to file a discrimination complaint with the EEO office. It is required that this directive come from the agency head.

2. Establish and administer an annual managerial/non-managerial performance evaluation program to be used for probationary periods, promotions, assignments, incentives and training.
 - ✓ The agency conducted performance evaluations for all non-managerial employees annually, based on employees' title start date. The agency has also established a system for tracking the completion of evaluations by department. The tracking system captures the anniversary month and the date forms were completed/ received. The agency holds managers responsible for conducting evaluations in a timely manner and schedules meetings with the Executive Director and managers who do not meet the deadline.
 - Although the agency utilized a managerial review process in which the performance of managerial employees was reviewed in meetings twice in the initial six month probationary period, the agency did not conduct annual performance evaluations for managers thereafter. In addition, 54% of respondents to the *EEPC Supervisor/Manager Survey* indicated they did not receive an annual performance evaluation. **Corrective action is required.**

Corrective Action #6: Establish and implement an annual managerial performance evaluation program (with timetable) to be used for probationary periods, promotions, assignments, incentives and training.

3. 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).
 - The agency does not have an annual managerial performance evaluation program and therefore did not rate managers on implementing EEO-related policies and/or performing EEO-related responsibilities. **Corrective action is required.**

Corrective Action #7: Ensure that 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).

IX. REPORTING STANDARD FOR AGENCY HEAD:

Determination: The agency is in compliance with the standard for this subject area.

1. Submit to the EEPC an Annual Plan of measures and programs to provide equal employment opportunity, and quarterly reports (up to 30 days following each quarter) on efforts to implement the plan.
- ✓ The agency submitted annual EEO Plans and quarterly EEO reports for fiscal years 2009 through 2013.

After implementation of the EEPC's corrective actions:

1. Distribute a memorandum signed by the agency head informing employees of the changes implemented in the EEO program pursuant to the EEPC's audit/analysis and re-emphasizing the agency head's commitment to the EEO program.

Final Action: Distribute a memorandum signed by the agency head informing employees of the changes implemented in the EEO program pursuant to the EEPC's audit/analysis and re-emphasizing the agency head's commitment to the EEO program.

Conclusion

Pursuant to Chapter 36 of the New York City Charter, your agency has the option to respond to this preliminary determination. Your agency also has the option to request an Audit Exit/Compliance Initiation Meeting. Please email your intention to respond, or meeting request, to mrmsukh@eeepc.nyc.gov within 7 days from the date of this letter.

(Optional Response) If submitted, your optional response should indicate (with attached documentation) what steps your agency has taken or will take to implement the corrective actions and should be received in our office within 21 days from the date of this letter. We will then issue a Final Determination where we will agree, disagree or require further clarification of the actions your agency has taken or proposed.

(Optional Meeting) During the Audit Exit/Compliance Initiation Meeting we will address questions regarding the implementation of corrective action(s), establish a formal six-month compliance monitoring period and discuss the steps your agency should take during the mandatory compliance monitoring period. After consulting with your agency, this Commission will issue its Final Determination.

If your agency does not respond to the preliminary determination within 21 days, this preliminary determination will be considered our Final Determination. The EEPC will then send correspondence assigning a 6-month compliance monitoring period. Pursuant to Chapter 36 of the New York City Charter your agency is required to respond to our Final



**Equal Employment
Practices Commission**

Determination within 30 days. Your response to the Final Determination will initiate the compliance monitoring period.

In closing, we want to thank you and your staff for the cooperation extended to the Equal Employment Practices Commission's EEO Program Analysts during the course of our audit and analysis.

Respectfully submitted,

A handwritten signature in cursive script, reading "Ilacia N. Zuell", written over a horizontal line.

Ilacia N. Zuell
EEO Program Analyst

Approved by,

A handwritten signature in cursive script, reading "Charise L. Hendricks", written over a horizontal line.

Charise L. Hendricks, PHR
Executive Director

c: Steve Spindel, Principal EEO Professional

Appendix – 1

Workforce Composition Summary

Financial Information Services Agency

RUN DATE: 07/01/13
RUN TIME: 13:44:47.6

NEW YORK CITY DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES
CITYWIDE EQUAL EMPLOYMENT DATABASE SYSTEM (CEEDS)
WORK FORCE COMPOSITION SUMMARY

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QUARTER 4 YEAR 2013 AGENCY 127 FINANCIAL INFORMATION SERVICES AGENCY

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 001 ADMINISTRATORS

		MALE						FEMALE						OTHER	TOTAL EMP
TITLE CODE	TITLE DESCRIPTION	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN		
94468	EXECUTIVE DIRECTOR (FISA)	1	0	0	0	0	0	0	0	0	0	0	0	0	1
EEO JOB GROUP TOTAL.....:		1	0	0	0	0	0	0	0	0	0	0	0	0	1
		100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 002 MANAGERS

		MALE						FEMALE						OTHER	TOTAL EMP
TITLE CODE	TITLE DESCRIPTION	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN		
06774	AGENCY SECURITY DIRECTOR	0	0	1	0	0	0	0	0	0	0	0	0	0	1
10025	ADMINISTRATIVE MANAGER	1	0	0	0	0	0	0	0	0	0	0	0	0	1
10026	ADMINISTRATIVE STAFF ANALY	2	0	0	0	0	0	3	1	0	0	0	0	0	6
10050	COMPUTER SYSTEMS MANAGER	57	7	3	53	0	2	23	3	0	27	0	0	1	176
10074	COMPUTER OPERATIONS MANAGE	1	0	0	1	0	0	0	0	0	0	0	0	0	2
10095	ADMINISTRATIVE CONTRACT SP	1	0	0	0	0	0	2	0	0	0	0	0	0	3
95005	EXECUTIVE AGENCY COUNSEL	1	0	0	0	0	0	2	1	0	0	0	0	0	4
EEO JOB GROUP TOTAL.....:		63	7	4	54	0	2	30	5	0	27	0	0	1	193
		32.64	3.63	2.07	27.98	0.00	1.04	15.54	2.59	0.00	13.99	0.00	0.00	0.52	100.00

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 003 MANAGEMENT SPECIALISTS

		MALE						FEMALE						OTHER	TOTAL EMP
TITLE CODE	TITLE DESCRIPTION	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN		
1002A	ADMINISTRATIVE STAFF ANALY	0	0	0	0	0	0	1	1	0	1	0	0	0	3
1002C	ADMINISTRATIVE MANAGER NON	1	0	0	0	0	0	0	2	2	1	0	0	0	6
1002D	ADMINISTRATIVE STAFF ANALY	1	0	0	0	0	0	0	1	0	0	0	0	0	2
12158	PROCUREMENT ANALYST	1	0	0	1	0	0	0	0	0	0	0	0	0	2
12626	STAFF ANALYST	1	1	0	0	0	0	1	2	1	0	0	0	0	6
12627	ASSOCIATE STAFF ANALYST	4	0	0	0	0	0	1	2	0	1	0	0	0	8
EEO JOB GROUP TOTAL.....:		8	1	0	1	0	0	3	8	3	3	0	0	0	27
		29.64	3.70	0.00	3.70	0.00	0.00	11.11	29.63	11.11	11.11	0.00	0.00	0.00	100.00

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 004 SCIENCE PROFESSIONALS

		MALE						FEMALE						OTHER	TOTAL EMP
TITLE CODE	TITLE DESCRIPTION	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN		

RUN DATE: 07/01/13
RUN TIME: 13:44:47.6

NEW YORK CITY DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES
CITYWIDE EQUAL EMPLOYMENT DATABASE SYSTEM (CEEDS)
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QUARTER 4 YEAR 2013 AGENCY 127 FINANCIAL INFORMATION SERVICES AGENCY

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13611	COMPUTER ASSOCIATE (TECHNI	3	3	1	2	0	0	2	4	0	0	0	0	0	15
13621	COMPUTER ASSOCIATE (OPERAT	11	3	2	2	0	0	1	3	0	0	0	0	0	22
13622	COMPUTER SPECIALIST (OPERA	4	0	2	1	0	0	0	0	1	0	0	0	0	8
13631	COMPUTER ASSOCIATE (SOFTWA	0	1	1	2	0	0	2	2	0	3	0	0	0	11
13632	COMPUTER SPECIALIST (SOFTW	21	5	0	19	0	1	6	3	0	6	0	0	0	61
13642	CERTIFIED IT ADMINISTRATOR	0	0	0	1	0	0	0	0	0	0	0	0	0	1
13651	COMPUTER PROGRAMMER ANALYS	0	1	0	0	0	0	0	0	0	1	0	0	0	2
13692	*CERTIFIED WIDE AREA NETWO	1	0	0	0	0	0	0	0	0	0	0	0	0	1
20246	TELECOMMUNICATIONS ASSOCIA	1	1	0	0	0	0	0	1	0	0	0	0	0	3
EEO JOB GROUP TOTAL.....:		41	14	6	27	0	1	11	13	1	10	0	0	0	124
		33.07	11.29	4.84	21.77	0.00	0.81	8.87	10.48	0.81	8.06	0.00	0.00	0.00	100.00

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 008 LAWYERS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN		
30087	AGENCY ATTORNEY	0	0	0	0	0	0	1	0	0	0	0	0	0	1
EEO JOB GROUP TOTAL.....:		0	0	0	0	0	0	1	0	0	0	0	0	0	1
		0.00	0.00	0.00	0.00	0.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 010 TECHNICIANS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN		
13616	SUPERVISING COMPUTER SERVI	0	0	1	1	0	0	0	0	0	0	0	0	0	2
13620	COMPUTER AIDE	0	0	0	2	0	0	1	0	0	0	0	0	0	3
EEO JOB GROUP TOTAL.....:		0	0	1	3	0	0	1	0	0	0	0	0	0	5
		0.00	0.00	20.00	60.00	0.00	0.00	20.00	0.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 012 CLERICAL SUPERVISORS

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN		
10124	PRINCIPAL ADMINISTRATIVE A	0	0	2	0	0	0	2	2	1	1	0	0	0	8
EEO JOB GROUP TOTAL.....:		0	0	2	0	0	0	2	2	1	1	0	0	0	8
		0.00	0.00	25.00	0.00	0.00	0.00	25.00	25.00	12.50	12.50	0.00	0.00	0.00	100.00

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 013 CLERICAL

TITLE CODE	TITLE DESCRIPTION	MALE						FEMALE						OTHER	TOTAL EMP
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN		

RUN DATE: 07/01/13
RUN TIME: 13:44:47.6

NEW YORK CITY DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES
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QUARTER 4 YEAR 2013 AGENCY 127 FINANCIAL INFORMATION SERVICES AGENCY

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10251 CLERICAL ASSOCIATE	0	2	1	0	0	0	1	2	0	0	0	0	0	6
10252 SECRETARY	0	0	0	0	0	0	0	2	0	0	0	0	2	
12202 SUPERVISOR OF STOCK WORKER	0	1	2	0	0	0	0	0	0	0	0	0	3	
EEO JOB GROUP TOTAL.....:	0	3	3	0	0	0	1	4	0	0	0	0	11	
	0.01	27.27	27.27	0.00	0.00	0.00	9.09	36.36	0.00	0.00	0.00	0.00	100.00	

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 022 BUILDING SERVICES

TITLE CODE	TITLE DESCRIPTION	MALE					FEMALE					OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS			AM IND ALASK
90644	CITY CUSTODIAL ASSISTANT	0	0	2	1	0	0	0	0	0	0	0	0	3
EEO JOB GROUP TOTAL.....:		0	0	2	1	0	0	0	0	0	0	0	0	3
		0.00	0.00	66.67	33.33	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 023 PERSONAL SERVICES

TITLE CODE	TITLE DESCRIPTION	MALE					FEMALE					OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS			AM IND ALASK
90647	CITY ATTENDANT	0	0	1	0	0	0	0	0	0	0	0	0	1
EEO JOB GROUP TOTAL.....:		0	0	1	0	0	0	0	0	0	0	0	0	1
		0.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 027 TRANSPORTATION

TITLE CODE	TITLE DESCRIPTION	MALE					FEMALE					OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS			AM IND ALASK
91212	MOTOR VEHICLE OPERATOR	0	0	0	1	0	0	0	0	0	0	0	0	1
91232	MOTOR VEHICLE SUPERVISOR	1	0	0	0	0	0	0	0	0	0	0	0	1
91279	SUPERVISOR OF MOTOR TRANSP	1	0	0	0	0	0	0	0	0	0	0	0	1
EEO JOB GROUP TOTAL.....:		2	0	0	1	0	0	0	0	0	0	0	0	3
		66.67	0.00	0.00	33.33	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY CODE : 127 FINANCIAL INFORMATION SERVICES AGENCY
EEO JOB GROUP : 031 PARA PROFESSIONAL OCCUPATIONS

TITLE CODE	TITLE DESCRIPTION	MALE					FEMALE					OTHER	TOTAL EMP	
		WHITE	BLACK	HISPN	ASIAN PACIS	AM IND ALASK	UN- KNOWN	WHITE	BLACK	HISPN	ASIAN PACIS			AM IND ALASK
10209	COLLEGE AIDE	1	0	0	0	0	0	0	0	0	0	0	0	1
12749	STAFF ANALYST TRAINEE	1	0	0	0	0	0	1	0	0	0	0	0	2

RUN DATE: 07/01/13
RUN TIME: 13:44:47.6

NEW YORK CITY DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES
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56056 COMMUNITY ASSISTANT	0	1	0	0	0	0	0	1	0	0	0	0	0	2
56057 COMMUNITY ASSOCIATE	0	0	1	0	0	0	1	3	0	0	0	0	0	5
EEO JOB GROUP TOTAL.....:	2	1	1	0	0	0	2	4	0	0	0	0	0	10
	20.00	10.00	10.00	0.00	0.00	0.00	20.00	40.00	0.00	0.00	0.00	0.00	0.00	100.00

AGENCY TOTAL.....:	117	26	20	87	0	3	51	36	5	41	0	0	1	387
	30.23	6.72	5.17	22.48	0.00	0.78	13.18	9.30	1.29	10.59	0.00	0.00	0.26	100.00

Appendix – 2
Summary of applicants/ hires/ promotions

Financial Information Services Agency

Financial Information Services Agency

The following table indicates personnel activity during the audit period: January 1, 2011 to June 30, 2013

Hires by Gender and Ethnicity

Total Hires: 77

Male	Female	Total	Caucasian	African American	Hispanic	Asian	Native American	Unknown	Total
52	25	77	21	6	1	41	2	6	77

Promotions by Gender and Ethnicity

Total Promotion: 11

Male	Female	Total	Caucasian	African American	Hispanic	Asian	Native American	Unknown	Total
4	7	11	4	5	1	1	0	0	11

Separations by Gender and Ethnicity

Total Separation 26

Male	Female	Total	Caucasian	African American	Hispanic	Asian	Native American	Unknown	Total
14	12	26	6	7	1	8	0	4	26

Appendix – 3

Workforce compared with internal & external pools at agency/
group level

Financial Information Services Agency

RUN DATE: 04/01/13
 RUN TIME: 8:19:41
 FY2013 Q3

NEW YORK CITY DEPARTMENT OF PERSONNEL
 C E E D S S Y S T E M
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 329
 PROGRAM: EBP961
 EXTRACT DATE: 03/30/13

AGENCY:
 JOB GROUP:

127 FINANCIAL INFORMATION SERVICES AGENCY
 001 ADMINISTRATORS

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
 PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	1	0	1	.5899	0.59	0.41	0.83	0.202	N - N<=8
ETH	BLACK	0	1	1	.1728	0.17	-0.17	-0.46	0.324	N - N<=8
ETH	HISPANIC	0	1	1	.1514	0.15	-0.15	-0.42	0.336	N - N<=8
ETH	ASIAN / PAC ISL	0	1	1	.0710	0.07	-0.07	-0.28	0.391	N - N<=8
ETH	NATIVE AMERICAN	0	1	1	.0074	0.01	-0.01	-0.09	0.466	N - N<=8
ETH	ETH UNKNOWN	0	1	1	.0203	0.02	-0.02	-0.14	0.443	N - N<=8
GEN	MALE	1	0	1	.6345	0.63	0.37	0.76	0.224	N - N<=8
GEN	FEMALE	0	1	1	.3757	0.38	-0.38	-0.78	0.219	N - N<=8
GEN	GENDER UNKNOWN	0	1	1	.0088	0.01	-0.01	-0.09	0.462	N - N<=8

RUN DATE: 04/01/13
 RUN TIME: 8:19:41
 FY2013 Q3

NEW YORK CITY DEPARTMENT OF PERSONNEL
 C E E D S S Y S T E M
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 330
 PROGRAM: EBP961
 EXTRACT DATE: 03/30/13

AGENCY:
 JOB GROUP:

127 FINANCIAL INFORMATION SERVICES AGENCY
 002 MANAGERS

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
 PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	91	91	182	.5109	92.98	-1.98	-0.29	0.384	
ETH	BLACK	11	171	182	.2098	38.18	-27.2	-4.95	<.01	U
ETH	HISPANIC	5	177	182	.1340	24.39	-19.4	-4.22	<.01	U
ETH	ASIAN / PAC ISL	72	110	182	.0836	15.22	56.78	15.21	<.01	O
ETH	NATIVE AMERICAN	0	182	182	.0039	0.71	-0.71	-0.84	0.199	N-05%RUL
ETH	ETH UNKNOWN	3	179	182	.0593	10.79	-7.79	-2.45	<.01	N-05%RUL
GEN	MALE	126	56	182	.5511	100.30	25.70	3.83	<.01	O
GEN	FEMALE	55	127	182	.4158	75.68	-20.7	-3.11	<.01	U
GEN	GENDER UNKNOWN	1	181	182	.0328	5.97	-4.97	-2.07	0.019	N-05%RUL

RUN DATE: 04/01/13
 RUN TIME: 8:19:41
 FY2013 Q3

NEW YORK CITY DEPARTMENT OF PERSONNEL
 C E E D S S Y S T E M
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 331
 PROGRAM: EBP961
 EXTRACT DATE: 03/30/13

AGENCY: 127 FINANCIAL INFORMATION SERVICES AGENCY
 JOB GROUP: 003 MNGMNT SPECS
 PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
 PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	12	15	27	.4151	11.21	0.79	0.31	0.378	
ETH	BLACK	9	18	27	.3094	8.35	0.65	0.27	0.394	
ETH	HISPANIC	3	24	27	.1295	3.50	-0.50	-0.28	0.388	
ETH	ASIAN / PAC ISL	3	24	27	.1199	3.24	-0.24	-0.14	0.444	
ETH	NATIVE AMERICAN	0	27	27	.0030	0.08	-0.08	-0.29	0.388	N-05%RUL
ETH	ETH UNKNOWN	0	27	27	.0287	0.77	-0.77	-0.89	0.186	N-05%RUL
GEN	MALE	10	17	27	.5756	15.54	-5.54	-2.16	0.015	U
GEN	FEMALE	17	10	27	.4120	11.12	5.88	2.30	0.011	O
GEN	GENDER UNKNOWN	0	27	27	.0161	0.43	-0.43	-0.66	0.253	N-05%RUL

RUN DATE: 04/01/13
RUN TIME: 8:19:41
FY2013 Q3

NEW YORK CITY DEPARTMENT OF PERSONNEL
C E E D S S Y S T E M
WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
AT THE AGENCY/JOBGROUP LEVEL

PAGE: 332
PROGRAM: EBPFP961
EXTRACT DATE: 03/30/13

AGENCY:
JOB GROUP:

127 FINANCIAL INFORMATION SERVICES AGENCY
004 SCIENCE PROFNS

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	54	69	123	.4585	56.40	-2.40	-0.43	0.332	
ETH	BLACK	27	96	123	.1853	22.79	4.21	0.98	0.164	
ETH	HISPANIC	7	116	123	.1042	12.82	-5.82	-1.72	0.043	N-05%RUL
ETH	ASIAN / PAC ISL	34	89	123	.2105	25.89	8.11	1.79	0.036	
ETH	NATIVE AMERICAN	0	123	123	.0055	0.68	-0.68	-0.82	0.205	N-05%RUL
ETH	ETH UNKNOWN	1	122	123	.0405	4.98	-3.98	-1.82	0.034	N-05%RUL
GEN	MALE	87	36	123	.6622	81.45	5.55	1.06	0.145	
GEN	FEMALE	36	87	123	.3142	38.65	-2.65	-0.51	0.304	
GEN	GENDER UNKNOWN	0	123	123	.0261	3.21	-3.21	-1.82	0.035	N-05%RUL

RUN DATE: 04/01/13
 RUN TIME: 8:19:41
 FY2013 Q3

NEW YORK CITY DEPARTMENT OF PERSONNEL
 C E E D S S Y S T E M
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 333
 PROGRAM: EBP961
 EXTRACT DATE: 03/30/13

AGENCY:
 JOB GROUP:

127 FINANCIAL INFORMATION SERVICES AGENCY
 008 LAWYERS

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
 PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	2	0	2	.6577	1.32	0.68	1.02	0.154	N - N<=8
ETH	BLACK	0	2	2	.1713	0.34	-0.34	-0.64	0.260	N - N<=8
ETH	HISPANIC	0	2	2	.0999	0.20	-0.20	-0.47	0.319	N - N<=8
ETH	ASIAN / PAC ISL	0	2	2	.0652	0.13	-0.13	-0.37	0.354	N - N<=8
ETH	NATIVE AMERICAN	0	2	2	.0024	0.00	-0.00	-0.07	0.472	N - N<=8
ETH	ETH UNKNOWN	0	2	2	.0177	0.04	-0.04	-0.19	0.425	N - N<=8
GEN	MALE	0	2	2	.4899	0.98	-0.98	-1.39	0.083	N - N<=8
GEN	FEMALE	2	0	2	.5088	1.02	0.98	1.39	0.082	N - N<=8
GEN	GENDER UNKNOWN	0	2	2	.0017	0.00	-0.00	-0.06	0.477	N - N<=8

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NEW YORK CITY DEPARTMENT OF PERSONNEL
 C E E D S S Y S T E M
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
 AT THE AGENCY/JOBGROUP LEVEL

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 EXTRACT DATE: 03/30/13

AGENCY:
 JOB GROUP:

127 FINANCIAL INFORMATION SERVICES AGENCY
 010 TECHNICIANS

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
 PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	1	4	5	.3540	1.77	-0.77	-0.72	0.236	N - N<=8
ETH	BLACK	0	5	5	.3397	1.70	-1.70	-1.60	0.054	N - N<=8
ETH	HISPANIC	1	4	5	.1922	0.96	0.04	0.04	0.482	N - N<=8
ETH	ASIAN / PAC ISL	3	2	5	.0876	0.44	2.56	4.05	<.01	N - N<=8
ETH	NATIVE AMERICAN	0	5	5	.0036	0.02	-0.02	-0.13	0.447	N - N<=8
ETH	ETH UNKNOWN	0	5	5	.0235	0.12	-0.12	-0.35	0.364	N - N<=8
GEN	MALE	4	1	5	.5946	2.97	1.03	0.94	0.175	N - N<=8
GEN	FEMALE	1	4	5	.3951	1.98	-0.98	-0.89	0.186	N - N<=8
GEN	GENDER UNKNOWN	0	5	5	.0110	0.06	-0.06	-0.24	0.407	N - N<=8

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NEW YORK CITY DEPARTMENT OF PERSONNEL
 C E E D S S Y S T E M
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 335
 PROGRAM: EBPFP961
 EXTRACT DATE: 03/30/13

AGENCY: 127 FINANCIAL INFORMATION SERVICES AGENCY PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
 JOB GROUP: 012 CLERICAL SUPS PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	2	6	8	.2504	2.00	-0.00	-0.00	0.499	N - N<=8
ETH	BLACK	2	6	8	.5069	4.06	-2.06	-1.45	0.073	N - N<=8
ETH	HISPANIC	3	5	8	.1522	1.22	1.78	1.75	0.040	N - N<=8
ETH	ASIAN / PAC ISL	1	7	8	.0543	0.43	0.57	0.88	0.189	N - N<=8
ETH	NATIVE AMERICAN	0	8	8	.0049	0.04	-0.04	-0.20	0.421	N - N<=8
ETH	ETH UNKNOWN	0	8	8	.0313	0.25	-0.25	-0.51	0.306	N - N<=8
GEN	MALE	2	6	8	.2241	1.79	0.21	0.18	0.430	N - N<=8
GEN	FEMALE	6	2	8	.7642	6.11	-0.11	-0.09	0.462	N - N<=8
GEN	GENDER UNKNOWN	0	8	8	.0117	0.09	-0.09	-0.31	0.379	N - N<=8

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NEW YORK CITY DEPARTMENT OF PERSONNEL
 C E E D S S Y S T E M
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 336
 PROGRAM: EBPPP961
 EXTRACT DATE: 03/30/13

AGENCY:
 JOB GROUP:

127 FINANCIAL INFORMATION SERVICES AGENCY
 013 CLERICAL

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
 PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	1	10	11	.2266	2.49	-1.49	-1.08	0.141	U-80%RUL
ETH	BLACK	7	4	11	.4917	5.41	1.59	0.96	0.169	
ETH	HISPANIC	3	8	11	.1577	1.73	1.27	1.05	0.148	
ETH	ASIAN / PAC ISL	0	11	11	.0696	0.77	-0.77	-0.91	0.182	U-80%RUL
ETH	NATIVE AMERICAN	0	11	11	.0044	0.05	-0.05	-0.22	0.413	N-05%RUL
ETH	ETH UNKNOWN	0	11	11	.0493	0.54	-0.54	-0.76	0.225	N-05%RUL
GEN	MALE	6	5	11	.2967	3.26	2.74	1.81	0.035	
GEN	FEMALE	5	6	11	.6698	7.37	-2.37	-1.52	0.065	U-80%RUL
GEN	GENDER UNKNOWN	0	11	11	.0324	0.36	-0.36	-0.61	0.272	N-05%RUL

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NEW YORK CITY DEPARTMENT OF PERSONNEL
C E E D S S Y S T E M
WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
AT THE AGENCY/JOBGROUP LEVEL

PAGE: 337
PROGRAM: EBP961
EXTRACT DATE: 03/30/13

AGENCY:
JOB GROUP:

127 FINANCIAL INFORMATION SERVICES AGENCY
022 BUILD SERV

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	0	3	3	.2398	0.72	-0.72	-0.97	0.165	N - N<=8
ETH	BLACK	0	3	3	.3239	0.97	-0.97	-1.20	0.115	N - N<=8
ETH	HISPANIC	2	1	3	.3169	0.95	1.05	1.30	0.096	N - N<=8
ETH	ASIAN / PAC ISL	1	2	3	.0542	0.16	0.84	2.14	0.016	N - N<=8
ETH	NATIVE AMERICAN	0	3	3	.0037	0.01	-0.01	-0.11	0.458	N - N<=8
ETH	ETH UNKNOWN	0	3	3	.0455	0.14	-0.14	-0.38	0.353	N - N<=8
GEN	MALE	3	0	3	.6521	1.96	1.04	1.27	0.103	N - N<=8
GEN	FEMALE	0	3	3	.3135	0.94	-0.94	-1.17	0.121	N - N<=8
GEN	GENDER UNKNOWN	0	3	3	.0178	0.05	-0.05	-0.23	0.408	N - N<=8

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NEW YORK CITY DEPARTMENT OF PERSONNEL
 C E E D S S Y S T E M
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
 AT THE AGENCY/JOBGROUP LEVEL

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 PROGRAM: EBPPP961
 EXTRACT DATE: 03/30/13

AGENCY:
 JOB GROUP:

127 FINANCIAL INFORMATION SERVICES AGENCY
 023 PERSONAL SERV

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
 PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	0	1	1	.3080	0.31	-0.31	-0.67	0.252	N - N<=8
ETH	BLACK	0	1	1	.2870	0.29	-0.29	-0.63	0.263	N - N<=8
ETH	HISPANIC	1	0	1	.2732	0.27	-0.73	1.63	0.051	N - N<=8
ETH	ASIAN / PAC ISL	0	1	1	.0846	0.08	-0.08	-0.30	0.381	N - N<=8
ETH	NATIVE AMERICAN	0	1	1	.0038	0.00	-0.00	-0.06	0.475	N - N<=8
ETH	ETH UNKNOWN	0	1	1	.0434	0.04	-0.04	-0.21	0.416	N - N<=8
GEN	MALE	1	0	1	.5610	0.56	0.44	0.88	0.188	N - N<=8
GEN	FEMALE	0	1	1	.4384	0.44	-0.44	-0.88	0.188	N - N<=8
GEN	GENDER UNKNOWN	0	1	1	.0081	0.01	-0.01	-0.09	0.464	N - N<=8

RUN DATE: 04/01/13
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 FY2013 Q3

NEW YORK CITY DEPARTMENT OF PERSONNEL
 C E E D S S Y S T E M
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 339
 PROGRAM: EBPPP961
 EXTRACT DATE: 03/30/13

AGENCY:
 JOB GROUP:

127 FINANCIAL INFORMATION SERVICES AGENCY
 027 TRANSPORTATION

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
 PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	2	1	3	.1917	0.58	1.42	2.09	0.018	N - N<=8
ETH	BLACK	0	3	3	.4803	1.44	-1.44	-1.67	0.048	N - N<=8
ETH	HISPANIC	0	3	3	.1684	0.51	-0.51	-0.78	0.218	N - N<=8
ETH	ASIAN / PAC ISL	1	2	3	.0359	0.11	0.89	2.77	<.01	N - N<=8
ETH	NATIVE AMERICAN	0	3	3	.0040	0.01	-0.01	-0.11	0.456	N - N<=8
ETH	ETH UNKNOWN	0	3	3	.1194	0.36	-0.36	-0.64	0.262	N - N<=8
GEN	MALE	3	0	3	.7441	2.23	0.77	1.02	0.155	N - N<=8
GEN	FEMALE	0	3	3	.1431	0.43	-0.43	-0.71	0.240	N - N<=8
GEN	GENDER UNKNOWN	0	3	3	.1125	0.34	-0.34	-0.62	0.269	N - N<=8

RUN DATE: 04/01/13
 RUN TIME: 8:19:41
 FY2013 Q3

NEW YORK CITY DEPARTMENT OF PERSONNEL
 C E E D S S Y S T E M
 WORK FORCE COMPARED WITH INTERNAL & EXTERNAL POOLS
 AT THE AGENCY/JOBGROUP LEVEL

PAGE: 340
 PROGRAM: EBP961
 EXTRACT DATE: 03/30/13

AGENCY:
 JOB GROUP:

127 FINANCIAL INFORMATION SERVICES AGENCY
 031 PARA PROFESSION

PERSONS WITH MISSING EEO DATA INCLUDED IN CNTS
 PROBABILITY CUT-OFF FOR IMBALANCE: 0.05

USING BINOMIAL TEST

EEO VAR	EEO VAL	FOCAL GROUP	OTHER THAN FOCAL GROUP	TOTAL	AVAIL %	EXPECTED #	DIFFERENCE	Z-SCORE	PROBABILITY	IMBAL
ETH	WHITE	3	5	8	.3602	2.88	0.12	0.09	0.465	N - N<=8
ETH	BLACK	4	4	8	.2843	2.27	1.73	1.35	0.088	N - N<=8
ETH	HISPANIC	1	7	8	.2259	1.81	-0.81	-0.68	0.247	N - N<=8
ETH	ASIAN / PAC ISL	0	8	8	.0831	0.66	-0.66	-0.85	0.197	N - N<=8
ETH	NATIVE AMERICAN	0	8	8	.0042	0.03	-0.03	-0.18	0.427	N - N<=8
ETH	ETH UNKNOWN	0	8	8	.0372	0.30	-0.30	-0.56	0.289	N - N<=8
GEN	MALE	3	5	8	.3924	3.14	-0.14	-0.10	0.460	N - N<=8
GEN	FEMALE	5	3	8	.5986	4.79	0.21	0.15	0.439	N - N<=8
GEN	GENDER UNKNOWN	0	8	8	.0038	0.03	-0.03	-0.17	0.431	N - N<=8

Appendix - 4
Employee Survey

Financial Information Services Agency

Financial Information Services Agency: Agency EEO Program



1. City of New York

	Response Percent	Response Count
Agency Name: <input type="text"/>	100.0%	157
answered question		157
skipped question		0



2. Do you know who your agency's EEO Officer is?

	Response Percent	Response Count
Yes <input type="checkbox"/>	92.3%	144
No <input type="checkbox"/>	7.7%	12
answered question		156
skipped question		1




3. Is the EEO Policy posted on your agency's bulletin boards or kept in an area otherwise accessible to employees?

	Response Percent	Response Count
Yes <input type="checkbox"/>	94.9%	148
No <input type="checkbox"/>	5.1%	8
answered question		156
skipped question		1




4. Were you given a copy of the EEO Policy Handbook - About EEO: What You May Not Know?

		Response Percent	Response Count
Yes		94.9%	148
No		5.1%	8
answered question			156
skipped question			1




5. How often has your manager or supervisor reaffirmed the agency's commitment to the principle of EEO during staff meetings within the past year?

		Response Percent	Response Count
Two or more times		61.4%	94
One time		30.1%	46
At no time		8.5%	13
answered question			153
skipped question			4

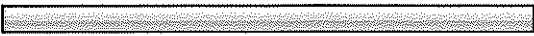

6. How often has your manager or supervisor discussed employees' right to file a discrimination complaint with the agency's EEO Officer during staff meetings within the past year?

		Response Percent	Response Count
Two or more times		48.0%	73
One time		35.5%	54
At no time		16.4%	25
answered question			152
skipped question			5




7. When hired, were you advised of the EEO policies, and of your rights and responsibilities under such policies?

		Response Percent	Response Count
Yes		71.7%	109
No		5.3%	8
Do Not Remember		23.0%	35
answered question			152
skipped question			5

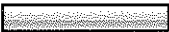


8. Do you know how to file an EEO complaint?

		Response Percent	Response Count
Yes		83.6%	127
No		16.4%	25
answered question			152
skipped question			5



9. If you had an EEO complaint, would you bring it to your agency's EEO Office?

		Response Percent	Response Count
Yes		66.4%	101
No		11.8%	18
Undecided		21.7%	33
answered question			152
skipped question			5



10. Would you prefer to file an EEO complaint with an office outside your agency rather than your agency's EEO Office?

		Response Percent	Response Count
Yes		25.7%	39
No		42.8%	65
Undecided		31.6%	48
answered question			152
skipped question			5




11. During the past 3 years, did you file a complaint with your agency's EEO Office?

		Response Percent	Response Count
Yes		2.6%	4
No		97.4%	148
answered question			152
skipped question			5


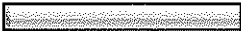


12. Was your manager or supervisor supportive of your right to file a complaint?

	Response Percent	Response Count
Yes 	50.0%	2
No 	50.0%	2
Not Applicable	0.0%	0
answered question		4
skipped question		153




13. During the past 3 years, did you receive EEO training?

	Response Percent	Response Count
Yes 	86.2%	131
No 	6.6%	10
Employed for less than 12 months 	7.2%	11
answered question		152
skipped question		5




14. How informative was this training?

	Response Percent	Response Count
Very informative 	61.1%	80
Somewhat informative 	36.6%	48
Not really informative 	0.8%	1
Not Applicable 	1.5%	2
answered question		131
skipped question		26




15. Does your agency use training and development programs in order to improve job performance and/or career opportunities?

		Response Percent	Response Count
Yes		48.7%	74
No		32.2%	49
I do not know		19.1%	29
answered question			152
skipped question			5



16. Were vacant positions advertised on bulletin boards or other areas accessible to employees in a timely manner?

		Response Percent	Response Count
Yes		84.2%	128
No		7.9%	12
Do not remember		7.9%	12
answered question			152
skipped question			5



17. The Personnel Rules and Regulations of the City of New York and the Guidelines for Evaluating Managerial Performance in NYC Agencies require that employees (managerial and non-managerial) receive annual performance evaluations. Have you received annual performance evaluations within the past 3 years?

		Response Percent	Response Count
Yes		49.3%	75
No		32.9%	50
Employed for less than 12 months		17.8%	27
answered question			152
skipped question			5




18. Did your evaluation contain recommendations for improving your job performance?

		Response Percent	Response Count
Yes		68.0%	51
No		32.0%	24
answered question			75
skipped question			82


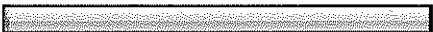
19. Did your evaluation contain recommendations for career advancement with your agency?

		Response Percent	Response Count
Yes		24.0%	18
No		76.0%	57
answered question			75
skipped question			82



20. The Career Counselor is a trained professional (often the Human Resources Director) familiar with civil service and provisional jobs who provides career counseling to employees who request such guidance. Do you know who your agency's Career Counselor is?

	Response Percent	Response Count
Yes 	39.7%	60
No 	52.3%	79
Not Applicable 	7.9%	12
answered question		151
skipped question		6



21. The Disability Rights Coordinator is responsible for handling reasonable accommodation requests and ensuring compliance with all federal, state, and local laws, as well as City and agency policies pertaining to persons with disabilities. Do you know who your agency's Disability Rights Coordinator is?

	Response Percent	Response Count
Yes 	33.1%	50
No 	66.9%	101
answered question		151
skipped question		6



22. Agencies are required to take appropriate action to reasonably accommodate qualified employees and applicants with disabilities, and those who are victims of domestic violence, sex offenses, or stalking, to enable to them to perform their jobs or enjoy equal benefits and privileges of employment. Agencies are also required to provide reasonable accommodations for the religious observances, beliefs and practices of an employee or applicant. During the past 3 years, did you ask for a reasonable accommodation due to any of the above?

		Response Percent	Response Count
Yes		13.9%	21
No		86.1%	130
answered question			151
skipped question			6



23. Was your accommodation granted?

		Response Percent	Response Count
Yes		85.7%	18
No		14.3%	3
answered question			21
skipped question			136






24. Equal Employment Opportunity (EEO) guarantees the right of all persons to be accorded full and equal consideration on the basis of merit, regardless of protected group status. Do you understand this principle?

		Response Percent	Response Count
Yes		95.4%	144
No		4.6%	7
answered question			151
skipped question			6


25. From your experience or observations, does your agency practice equal employment opportunity (i.e. ensures fairness in all aspects of employment including hiring, selection, promotions, etc.)?

		Response Percent	Response Count
Yes		78.7%	118
No		21.3%	32
answered question			150
skipped question			7

26. Race/Ethnicity

		Response Percent	Response Count
Asian or Pacific Islander		24.8%	34
American Indian or Alaska Native		0.0%	0
Black (not of Hispanic origin)		15.3%	21
Hispanic		5.1%	7
White (not of Hispanic origin)		50.4%	69
Other		4.4%	6
answered question			137
skipped question			20

27. Gender

		Response Percent	Response Count
Male		60.0%	81
Female		40.0%	54
answered question			135
skipped question			22


Appendix - 5
Supervisor/ Manager Survey

Financial Information Services Agency



Financial Information Services Agency: Supervisor/Manager Survey







1. City of New York

	Response Percent	Response Count
Agency: 	100.0%	51
answered question		51
skipped question		1



2. Which of the following are you?

	Response Percent	Response Count
Supervisor 	18.0%	9
Manager 	82.0%	41
answered question		50
skipped question		2



3. How many employees are under your supervision?

	Response Percent	Response Count
5 or less 	56.8%	25
6-10 	11.4%	5
11-20 	20.5%	9
21 or more 	11.4%	5
answered question		44
skipped question		8


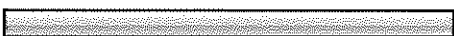

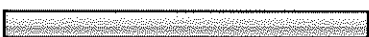
4. How long have you worked for this agency?

		Response Percent	Response Count
Over 3 years		84.1%	37
3 years or less		15.9%	7
answered question			44
skipped question			8





5. Each agency head may distribute a statement in support of Equal Employment Opportunity to all employees. Have you received a copy of your agency's EEO Policy Statement?

		Response Percent	Response Count
Yes		97.7%	43
No		0.0%	0
Do not remember		2.3%	1
answered question			44
skipped question			8




6. In your agency, where can the EEO Policy be found? (Check all that apply.)

		Response Percent	Response Count
The EEO Office		79.5%	35
The HR/Personnel Office		70.5%	31
The Intranet		54.5%	24
Your Office		56.8%	25
Do not know		0.0%	0
answered question			44
skipped question			8



7. Of the choices above, which is most easily accessible to you?

		Response Percent	Response Count
The EEO Office		18.2%	8
The HR/Personnel Office		18.2%	8
The Intranet		25.0%	11
Your Office		38.6%	17
answered question			44
skipped question			8


8. Is the Discrimination Complaint Procedure included with the EEO Policy?

		Response Percent	Response Count
Yes		86.0%	37
No		2.3%	1
Do not know		11.6%	5
answered question			43
skipped question			9



9. Do you know the name of your agency's EEO Officer?

		Response Percent	Response Count
Yes		100.0%	43
No		0.0%	0
answered question			43
skipped question			9



10. Did the EEO Officer meet with you, either individually or in a group setting, to discuss your EEO rights as an employee?

		Response Percent	Response Count
Yes		53.5%	23
No		46.5%	20
answered question			43
skipped question			9




11. Did the EEO Officer meet with you, either individually or in a group setting, to discuss your EEO responsibilities as a supervisor or manager?

		Response Percent	Response Count
Yes		65.1%	28
No		34.9%	15
answered question			43
skipped question			9




12. Did you complete the Department of Citywide Administrative Services' Citywide EEO Computer-Based Training for Managers and Supervisors?

		Response Percent	Response Count
Yes		97.7%	42
No		0.0%	0
Not applicable		2.3%	1
answered question			43
skipped question			9



13. How often have you reaffirmed the agency's commitment to the principle of Equal Employment Opportunity during staff meetings within the past year?

		Response Percent	Response Count
Two or more times		72.1%	31
One time		20.9%	9
At no time		7.0%	3
answered question			43
skipped question			9




14. How often have you discussed with employees their right to file a discrimination complaint with the agency's EEO Officer during staff meetings within the past year?

		Response Percent	Response Count
Two or more times		72.1%	31
One time		18.6%	8
At no time		9.3%	4
answered question			43
skipped question			9



15. Did you receive sexual harassment prevention training from your agency?

		Response Percent	Response Count
Yes		69.8%	30
No		30.2%	13
answered question			43
skipped question			9



16. Did all of the employees that you supervise receive sexual harassment prevention training?

		Response Percent	Response Count
Yes		58.1%	25
No		11.6%	5
Do not know		30.2%	13
answered question			43
skipped question			9


17. When you were hired, did you receive an orientation session that included a review of the EEO policy?

		Response Percent	Response Count
Yes		62.8%	27
No		0.0%	0
Do not remember		37.2%	16
answered question			43
skipped question			9

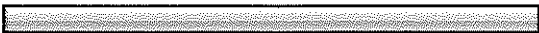
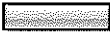
18. Do you participate in orientation sessions for new employees?

		Response Percent	Response Count
Yes		11.6%	5
No		88.4%	38
answered question			43
skipped question			9





19. Do new employee orientation sessions include information on the EEO policy?

		Response Percent	Response Count
Yes		100.0%	5
No		0.0%	0
Do not know		0.0%	0
answered question			5
skipped question			47


20. Do you interview candidates for positions in your agency?

		Response Percent	Response Count
Yes		83.7%	36
No		16.3%	7
answered question			43
skipped question			9




21. A structured interview is a method that standardizes the type and order of interview questions asked to ensure that a fair comparison can be made between interviewees. Did your agency provide you with training and/or a guide that outlines illegal or discriminatory questions and includes instructions for conducting a structured interview?

		Response Percent	Response Count
Training		11.1%	4
Guide		13.9%	5
Both training and guide		33.3%	12
Neither		41.7%	15
answered question			36
skipped question			16



22. Were you informed that fulfillment of your EEO responsibilities will be part of your overall performance evaluation and will be considered in determining your eligibility for promotions and merit increases?

		Response Percent	Response Count
Yes		37.2%	16
No		62.8%	27
answered question			43
skipped question			9



23. When was your last performance evaluation?

		Response Percent	Response Count
Within the past year		23.3%	10
Over a year ago		23.3%	10
I have not received a performance evaluation		53.5%	23
answered question			43
skipped question			9



24. Does your performance evaluation include an EEO component? (A section that rates your ability to make employment decisions based on merit and equal consideration, or treat others in an equitable and impartial manner.)

		Response Percent	Response Count
Yes		40.0%	8
No		60.0%	12
answered question			20
skipped question			32






25. Do you conduct formal performance evaluations of the employees under your supervision annually?

		Response Percent	Response Count
Yes		76.7%	33
No		23.3%	10
answered question			43
skipped question			9



26. Do you believe the agency has provided sufficient training to supervisors/managers on their responsibilities in assisting employees who may complain about discrimination or harassment?

		Response Percent	Response Count
Yes		88.4%	38
No		11.6%	5
answered question			43
skipped question			9

27. Race/Ethnicity

	Response Percent	Response Count
Asian or Pacific Islander 	13.2%	5
American Indian or Alaska Native	0.0%	0
Black (not of Hispanic origin) 	5.3%	2
Hispanic 	7.9%	3
White (not of Hispanic origin) 	65.8%	25
Other 	7.9%	3
answered question		38
skipped question		14

28. Gender

	Response Percent	Response Count
Male 	71.1%	27
Female 	28.9%	11
answered question		38
skipped question		14