



**Jonnel Doris**  
**Commissioner**

**DEPARTMENT OF SMALL BUSINESS SERVICES**  
**DIVERSITY AND EQUAL EMPLOYMENT OPPORTUNITY PLAN**  
**FISCAL YEAR 2021**

**Introductory, Commitment and Accountability Statement by the Agency Head**

On behalf of the Department of Small Business Services I hereby declare my commitment as the Agency Head to support and enforce the rights and protections afforded by the New York City EEO Policy, the City and State Human Rights Law, and all other relevant laws, for all employees, applicants for employment, external contractors, consultants, and agency partners, and members of the public served by our Agency.

I will strive to achieve the greatest possible diversity among our workforce, to create an inclusive culture of openness, tolerance, and cooperation in our workplaces, to promote equity in all its aspects, and to examine and eliminate the structural obstacles to equal treatment in the recruitment, selection, development, advancement, and retention of our diverse workforce reflective of our City's population.

I will involve my entire leadership team in our efforts to enhance and promote the values of equity, inclusion, and respect for all. All executives, managers and supervisors in our agency will be responsible for ensuring a safe, equitable and inclusive work environment for all our employees, and for delivering equitable, fair, and effective services to the public we serve.

I will hold the top leadership of our agency, as well as the EEO Officer, all EEO professionals, human resources professionals, legal professionals, managers, and supervisors accountable for ensuring that the agency does not discriminate against employees or applicants for employment. We shall support the diversity, equity and inclusion initiatives at the agency by observing EEO mandates and working with dedication to attain agency goals in this area. All agency staff must be compliant with the City's EEO Policy and the implementation of this Diversity and EEO Plan.

I will involve the EEO Officer in critical human resources decisions, including recruitment and selection strategies, workforce projections, succession planning, promotion of training/career development opportunities, and strategic planning.

We will report to DCAS on the steps undertaken to comply with all legal mandates and the provisions of the various Executive Orders and laws prohibiting employment discrimination in New York City, and on the progress in implementing this Plan.

The Agency EEO Officer, Angelita McDonald-Major and Chief Diversity and Inclusion Officer will serve as the primary resource for managers and supervisors by providing best practices and direction in addressing EEO issues. Their contact information will be prominently available to all employees.

During this Fiscal Year, I will announce this Commitment Statement to our employees, to affirm the principles of diversity, inclusion, and equal employment opportunity, and to communicate our dedication to equity and all values that drive us toward this goal.

This statement is the same as last year.

**II. Recognition and Accomplishments**

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

1. Created a temporary Equity and Justice Task Force, focus and strategic planning groups to address diversity and inclusion concerns within the agency.
2. Identified Chief Diversity and Inclusion Officer
- 3.
- 4.

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

- Diversity & EEO Awards\*
- Diversity and EEO Appreciation Events\*
- Public Notices
- Positive Comments in Performance Appraisals
- Other: Agency Excellence Award

*\* Please specify under "Additional Comments"*

- The agency will continue to recognize employees, supervisors, managers, and agency units demonstrating superior accomplishment in diversity and equal employment opportunity in FY 2021.

***Additional Comments:***

2020 Exceptional Service Awards nomination period opened on January 20,2021 for categories (The Excellence Award, The SBS Extra Mile Award, Bringing Out the Best: Everyday Leadership Award & Rising Star Award). New categories added, Excellence in Diversity and Inclusion Award, Work from Home (WFH) Support Award, SBS Heroes Award and The Dream Team.

**III. Workforce Review and Analysis**

**Please provide the total agency headcount as of 6/30/2020  
(available in the EBEPR210 CEEDS report): 317**

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 2021, the agency will remind and encourage its employees to update self-ID information regarding race/ethnicity, gender, and veteran status through any of the following means:

- NYCAPS ESS (by email; strongly recommended every year)
- Agency's intranet site
- Newsletters and internal Agency Publications
- On-boarding of new employees

*Additional Comments:*

On Monday, November 30, 2020 the agency sent notice to all staff inviting and encouraging them to update all personal information in the ESS system.

2. Describe the review process of the quarterly CEEDS reports on workforce composition, utilization, new hires and promotions data presented in your quarterly agency workforce dashboard and/or internal workforce reporting. Describe how your agency's EEO Officer, Personnel Officer and 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 OCEI for guidance on interpreting their underutilization reports. However, it is the agency's responsibility to use that data to inform the formulation of its recruitment plans and efforts.

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

Reviewed with	Frequency
Human Resources	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
General Counsel	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____
Agency Head	<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input checked="" type="checkbox"/> Other <u>Bi-monthly</u>
Other (___specify)	<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other _____

- The agency review entails a discussion concerning perceived workplace barriers for job groups that may surface in underutilization reports and for factors that may be creating these barriers (e.g., hiring patterns in specific job titles).
- The agency reaches out to DCAS to serve as a resource in identifying strategies and best practices to address barriers to entry as well as to receive guidance concerning the interpretation of underutilization reports.

*Additional Comments:*

#### **IV. EEO, Diversity, Inclusion, and Equity Initiatives for FY 2021**

##### **1. Proactive Strategies to Enhance Diversity, EEO and Inclusion**

**State below the central goals of your strategy for FY 2021 focused on promoting equity, increasing diversity, assuring equal employment opportunity, and enhancing the value of inclusion at your agency. Include initiatives that your agency will implement in FY 2021.**

##### **1. Workforce:**

A primary goal for the Department of Small Business Services in 2021 will be to continue fostering a sense of shared accountability, commitment, and involvement regarding diversity and inclusion among SBS staff. This will be achieved by taking steps to promote sustainability through integrating and aligning diversity and inclusion with our mission and incorporating diversity and inclusion into our supervisory/managerial performance plans. We will seek to create and maintain a work environment that encourages collaboration, flexibility and fairness to enable individuals to contribute their full potential to their work.

SBS will continue to promote inclusive and transparent communication across agency divisions and staff. The agency has started cross-divisional initiatives where staff can share in the ownership of the agency successes and accomplishments. The agency's leadership believes that listening to the ideas, feedback, and suggestions of staff is the best way to make SBS a better place to work and grow. SBS solicits staff involvement in the process of developing programs and events that will continue to improve the work environment at SBS.

The EEO Office disseminated posters regarding transgender rights in the public spaces of the agency. Information regarding transgender rights is also displayed on agency intranet (WOMT).

The EEO Office has reviewed the DCAS Workforce Profile Report for the statistical data on the recruitment eligibility of the Department of Small Business Services' staff. The EEO office will share this report data with the Human Resources Division and Executive staff so that strategies

may be developed to address any potential gap in talent and staffing. As indicated in our plan, SBS will maintain partnerships with colleges, universities, and professional organizations to solicit submissions of well-qualified women and minority candidates.

The agency's Human Resources office will continue to keep SBS staff apprised of all upcoming civil service and promotional exams.

## **2. Workplace:**

### EEO Training

SBS continues to provide DCAS Online Computer-based training to all new hires. The computer-based training includes a discussion of the City's EEO Policy, employee rights and responsibilities under the City's EEO Policy, the discrimination complaint procedures and the reasonable accommodation procedures, preventing hostile work environment, retaliation and sexual harassment.

EEO Intranet: The Intranet serves as an information portal to keep staff abreast of upcoming EEO training, news, cultural events, trends and changes in laws and policies related to EEO and Diversity. The Helpdesk also provides immediate access to the EEO staff to address any critical issue that may arise.

SBS will continue to recruit from a diverse, qualified group of potential applicants to secure a high-performing workforce drawn from all segments of society. We will train employees on EEO and diversity to promote an equitable work environment and ensure compliance. The following initiatives will continue and/or be considered:

- Mentoring, coaching and/or providing a support network to individuals from diverse backgrounds to build rapport, increase diversity awareness and sensitivity, and to pass on critical knowledge about policies, procedures and practices.
- Ensuring that employees participate in formal career development activities and have individual development plans when needed and/or requested.
- Encouraging staff to seek opportunities for more complex assignments, special projects and participate on committees.
- Support merit and performance-based rewards and recognition programs that promote excellence at all levels of the organization.

Since working remotely, SBS' EEO Office shares EEO information electronically on agency intranet, EEO Portal and SBS monthly Newsletter. Also, links are provided to complaint and reasonable applications and regulatory oversight agencies (e.g. policies, EEOC newsletters, EEO brochures and other EEO-related material).

On SBS' agency network, the EEO Office maintains a monthly EEO Diversity Calendar that post a variety of culturally diverse events throughout the city that staff can participate in.

Plans to create other ERG or Diversity and Inclusion events to foster and create an inclusive work environment.

SBS will facilitate the use of training to improve skills and access to career opportunities of all employees. The agency will also make every effort to ensure that all employees have equal opportunities for acknowledgment, such as performance evaluations, employee incentives, and quality of work life and recognition programs.

### **3. Community:**

Poverty and inequality within New York City are key issues that this administration seeks to address. Through our Workforce programs SBS will focus on providing better quality jobs to our customers that will include higher wage standards, job benefits and career pathways and help entrepreneurs build stronger businesses. This approach will ensure that all sectors of our communities, including youth, immigrants, mature workers, veterans and minorities have an opportunity to prosper.

We remain committed as a service provider to the residents and businesses of New York City to focus on inclusion and cultural competency. SBS continues to offer a broad range of job placement and career development services for job seekers at our Workforce1 Career Centers and business growth services at our NYC Business Solutions Centers.

Avenue NYC grants is a competitive grant program that provides federal funding for local economic development and non-profit community-based organizations to strengthen retail corridors and address commercial needs in low to moderate income communities across the five boroughs. Through Avenue NYC, SBS provides community-based organizations with targeted funding, project implementation support, and access to local capacity building opportunities in order to promote grassroots economic development in historically underserved commercial corridors.

SBS staff is making a major commitment to provide our own staff and staff within our Business Solutions Centers and Workforce1 Career Center partner organizations with training in Mental Health First Aid (MHFA). Those trained in MHFA will be able to identify the signs and symptoms of different mental illnesses and substance misuse disorders. SBS is committed to setting up an internal Mental Health Training Program over the next five years.

Our Division of Economic & Financial Opportunity has defined SBS as a leader in the promotion of opportunities for Minority and Women-Owned Businesses in New York City. We have built a program that is dedicated to promoting fairness and equity in the City procurement process and we will continue to provide services that strengthen the ability of certified M/WBEs to compete successfully in the marketplace. As the agency strategizes on ways to improve upon how we assist the hard to serve and underserved populations within our communities, we will seek to broaden Minority and Women Owned Business Enterprise opportunities that will reach beyond certification and construction opportunities.

NYC Business Solutions' "Compete to Win" program offered a host of services for construction firms to help them access the funding and expertise they need to bid and perform on City construction opportunities. "Compete to Win" provides construction mentorship, bonding and technical assistance, a construction loan program and a teaming initiative to promote partnerships and joint ventures among certified companies. Through the construction loan program M/WBE's can apply for loans that will cover contract-related labor and equipment costs.

2. Describe the ongoing and new programs, actions, and initiatives planned for FY 2021, that are aimed toward innovative enhancement and expansion of the three foundations of Diversity and EEO strategy: **WORKFORCE, WORKPLACE, and COMMUNITY.**

**A. WORKFORCE:**

**In addition to the strategic goals above, please indicate here specific action 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 necessarily executed by the EEO Office.**

The agency will address underutilization in FY 2021 by:

- Expanding internal and external applicant pools to address the underutilization through outreach strategies for broader recruitment.
- Using the quarterly workforce report and dashboard to identify specific job groups where underutilization exists and guide recruitment efforts.

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

- Job analysis and skills audit.
- Conduct workforce planning and forecasting.
  - Integrate succession planning in the agency activities to develop a pipeline, facilitate a seamless transition and continuity of service.
  - Ensure that there will be a diverse applicant pool for the anticipated vacancies.
  - Evaluate best sources for diverse candidates
  - Encourage agency employees to take promotional civil service examinations.

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

- Identification of Ready Now & High Potential Talent.
- Institute coaching, mentoring and cross training programs.
- Institute succession planning for top managerial positions.
- Implement initiatives to improve the personal and professional development of employees.

*Additional Initiatives, Programs, or Comments:*

HR, EEO and General Counsel holding discussion with the Commissioner on workforce planning and forecasting.

**B. WORKPLACE:**

**In addition to the strategic goals above, please indicate here specific actions planned with respect to Workplace.**

- The agency will take initiatives to create an inclusive work environment that values differences, and to maintain focus on retaining talent across all levels.
- Promote employee involvement by supporting Employee Resource Groups (ERGs).
- The agency will create a Diversity Council to leverage equity and inclusion programs.
- In FY 2020, the agency conducted the following survey(s) to improve the recruitment, hiring, inclusion, retention, and advancement of people in underrepresented groups:
  - Engagement /Job Satisfaction/ Employee Morale Survey(s)
  - Workplace Insight Survey for Exiting (WISE) Managers
  - Exit interview or surveys developed by the agency
- The agency will adopt in FY 2021 the following initiatives based on the analysis of the results of these survey(s):
  - 1.
  - 2.

*Additional Initiatives, Programs, or Comments:*

Discussions in place on creation of diversity council.



**C. COMMUNITY:**

**In addition to the strategic goals above, please indicate here specific actions planned with respect to Community.**

In FY 2021, the agency will:

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

*Additional Initiatives, Programs or Comments:*

Agency is actively soliciting from the M/WBE community, Consultant to review the agency's business initiatives and programs to ensure they are inclusive and transparent. Scope will include create and conduct surveys; form focus groups, briefing committee, submit recommendation and formation of strategic committee. After results corrective action.

**V. Recruitment**

**A. Recruitment Efforts**

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

The agency will implement the following recruitment strategies and initiatives in FY 2021:

- Review policies, procedures, and practices related to targeted outreach and recruitment.
- Review underutilization in job groups to inform recruitment efforts.
- Identify resources to bolster efforts aimed at increasing the effectiveness of diversity recruitment.

- Put in place an operating, up-to-date, accessible website, mobile application and social media presence related to EEO protection and rights.
  - Currently in operation.
- Assess agency job postings to ensure appropriate diversity, inclusion, and equal opportunity employer messaging.
- Share job vacancy notices with the Mayor’s Office for People with Disabilities at [nycatwork@mopd.nyc.gov](mailto:nycatwork@mopd.nyc.gov), (212) 788-2830 and ACCES VR by sending the job vacancy notices to Maureen Anderson at [Maureen.Anderson@nysed.gov](mailto:Maureen.Anderson@nysed.gov) (212) 630-2329 so they can share it with their clients.
- Reach out to the DCAS Office of Citywide Recruitment (OCR) as a resource at [citywiderecruitment@dcas.nyc.gov](mailto:citywiderecruitment@dcas.nyc.gov)
- If your agency is an eHire agency, post ALL vacancies on NYC Careers.
- Ensure that agency personnel involved in both the discretionary and the civil service hiring process have received:
  - Structured Interviewing training
  - Unconscious Bias training
- Assess recruitment efforts to determine whether such efforts adversely impact any group.

*Additional Strategies, Initiatives and Comments:*

Due to the Covid-19 pandemic, the City of New York has implemented a hiring freeze and as such we have not been actively reaching out to partners who announce employment opportunities.

Diverse Recruitment Source(s)	What sort of return do you expect to see from the effort? Indicate if this source yielded sufficiently large and diverse applicant pools.
1. College Fairs	1. <input checked="" type="checkbox"/> Previous hires from this source
2. Internal Posting	2. <input checked="" type="checkbox"/> Previous hires from this source
3. External job sites (LinkedIn, Indeed, Idealist, Handshake)	3. <input checked="" type="checkbox"/> Previous hires from this source

4. City, State and NYC.gov	4. <input checked="" type="checkbox"/> Previous hires from this source
5. SBS intranet	5. <input checked="" type="checkbox"/> Previous hires from this source

**B. Internships/Fellowships**

Indicate the type of internship/fellowship opportunities available at your agency. Please provide the number of student interns/fellows employed in FY 2020 and their demographic profiles, based on self-ID data. Indicate your plans to provide internship/fellowship opportunities in FY 2021.

The agency provided the following internship opportunities in FY 2020:

Type of Internship\Fellowship	Total	Race/Ethnicity *[#s] * Use self-ID data	Gender * [#s] * Use self-ID data
1. Urban Fellows	0		M __ F__ Non-Binary __ Other __ Unknown __
2. Public Service Corps	0		M __ F__ Non-Binary __ Other __ Unknown __
3. Summer College Interns	0		M __ F__ Non-Binary __ Other __ Unknown __
4. Summer Graduate Interns	0		M __ F__ Non-Binary __ Other __ Unknown __
5. Other (specify):	0		M __ F__ Non-Binary __ Other __ Unknown __

**\* Self-ID data is obtained by EEO Office from NYCAPS.**

The agency will utilize the internship/fellowship programs to improve a pipeline of candidates from underutilized groups for entry-level positions, including in mission-critical occupations.

The agency has hired former interns/fellows.

The agency plans to provide internship/fellowship opportunities in FY 2021.

*Additional Comments:*

Currently the agency is unable to hire any new employees, interns or fellows, however we would like to provide these opportunities in FY21 if the hiring freeze is revoked.

**C. 55-a Program**

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

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

SBS will continue to work closely with organizations by providing current postings to be disseminated to the disabled community and requesting applicants to submit resumes for positions available. 55-A coordinator will continue to follow up with HR on resumes submitted

Agency uses mostly non-competitive titles which are not eligible for the 55-a Program.

2. Indicate the goals of your 55-a Program Coordinator for FY 2021. Also include your agency plans to do the following: participate in career and job fairs; use internship, work-study, co-op, and other programs to attract a pool of diverse 55-a program applicants; and promote and encourage 55-a program participants to take civil service examinations.

The agency uses the 55-a Program to hire and retain qualified individuals with disabilities and plans to utilize the 55-a Program to hire and retain qualified individuals with disabilities in FY 2021.

Currently, there are   3   [number] 55-a participants.

There are   0   [number] participants who have been in the program less than 2 years.

Last year, a total of   0   [number] new applications for the program were received and   0   participants left the program due to [state reasons]   n/a  .

If there have been no new participants in the program for less than two years, please indicate initiatives taken to hire new 55-a employees.

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The agency will actively educate hiring managers about the 55-a program and the benefits of hiring individuals with disabilities.

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

a) the severity of the candidate's physical and/or mental disability.

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

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

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

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

The goals of the 55-a Coordinator for FY 2021 are:

1. Provide 55-a program pamphlets and overview to all new employees during new employee orientation.

2. Distribute job postings to Disability base organizations to encourage applying for jobs, which can be hired into the 55-a program.

3. Maintain a database of resumes submitted by applicants requesting to be hired as a 55-a enrollee

4. Post 55-a pamphlets throughout the agency on bulletin boards, in lunchrooms etc.

These goals are the same as last year.

*Additional Goals, Initiatives, and Comments:*

Due to Covid-19 pandemic all hiring have been suspended citywide unless for essential staffing.

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

**NOTE: This section must be prepared in consultation with the Agency Personnel Officer.**

1. For FY 2021, if your agency is fiscally able to hire new employees and/or backfill open positions, please discuss the planned duties of the agency Career Counselor(s), with regards

to advising employees of opportunities for promotion as well as overall career development.

In FY 2021, the agency's Career Counselor will perform the following tasks:

- Review policies, procedures, and practices related to hiring (including vacancy announcements, use of certification lists, and the selection process for mission critical occupations).
- Promote employee awareness of opportunities for promotion and transfer within the agency.
- Arrange for agency wide notification of promotional and transfer opportunities.
- Encourage the use of training and development programs to improve skills, performance and career opportunities.
  - Provide information to staff on both internal and external Professional Development training sources.
  - Explain the civil service process to staff and what it means to become a permanent civil servant.
  - Provide technical assistance in applying for upcoming civil service exams.
- Provide agency staff with citywide vacancy announcements, civil service exams notices and other career development information.
- Assist employees and Job Training Program participants in assessing and planning to develop career paths.
- Provide resources and support for:
  - Targeted job searches
  - Development job search strategies
  - Resume preparation
  - Review of effective interview techniques
  - Review of techniques to promote career growth and deal with change
  - Internship exploration

*Additional Initiatives and Comments:*

During the hiring freeze, SBS has been reviewing all processes to identify any areas that may need improvement and setting a plan of action to tackle those updates/changes.

2. Monitoring, review, and assessment of the current new hire and promotional procedures for selection, especially for mid- and high-level discretionary positions.

In FY 2021, the agency will do the following:

- Review, revise and/or develop a protocol for in-title promotions and salary increases.
- Assess the criteria for selecting persons for mid-level to high level positions.
- Publicly post announcements for all positions, including senior level positions.
- Actively reach out to networks of underrepresented groups as part of its outreach.
- Reach out to the Mayor's Office of Appointments for help to identify diverse pools of talent and additional networks for finding qualified candidates.
- Ensure that hiring managers are trained in structured interviewing techniques to avoid unintentional biases in the hiring process.
- Assess the way candidates are selected for employment, to determine whether there is any adverse impact upon any racial, ethnic, disability, or gender group.
- If adverse impact is discovered, determine whether the criteria being utilized are job-related. If the criteria are not job-related, the agency will discontinue using that method.
- Compare the demographics of current employees to the placements.
- Ensure promotion justification is included in all promotion requests.
- Review the demographics race\ethnicity and gender for those who received the promotion\salary raises.
- Review on a quarterly basis the demographics of those who received promotion and share the information with the Commissioner and Human Resources (by EEO Officer).

*Additional Comments:*

During the Covid-19 pandemic and the implementation of hiring freeze, many of these hiring practices are inoperable. The agency, however, will work to ensure that we have systems in place to address the needs once the City of New York has resumed employment hiring.

3. Identify the steps that are taken to ensure that selection process has objective and job related.

During FY 2021, the agency will do the following:

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

*Additional Comments:*

One of the goals for the agency is to ensure that systems for hiring and consultation with the EEO office is in place and ready to be launched.

4. For FY 2021, what steps will your agency take to review the positions filled during the year?



- A. Discuss your current practice in utilizing the NYCAPS Applicant Interview Log reports to identify applicants by gender and race/ethnicity.
- The agency will use the NYCAPS Applicant Interview Log Report to track applicant sources and identify the best sources of applicants.
  - The agency does not use the NYCAPS Applicant Interview Log Report.
  - The agency will schedule orientation with NYCAPS Central.
- B. Discuss all planned steps taken to identify barriers to entry for positions and actions under consideration to address such barriers.
- Identify at least two or three people from diverse gender and racial\ethnic backgrounds to review received applications and conduct the interviews.
- C. When identifying groups of subject matter experts to assist the DCAS test development team in creating civil service exams, please describe efforts that will be taken to select a diverse and inclusive group of individuals in the test development process:
- The agency will identify a diverse group of subject matter experts (e.g. race, gender, age, assignments location, etc.) when requested by DCAS.
  - The agency will use objective job-related criteria to identify the subject matter experts who will participate in test development.
  - The agency will make an effort to ensure different staff members are given the opportunity to participate in test development.

*Additional Comments:*

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

In FY 2021, the agency EEO Officer will do the following:

**PRE-SELECTION:**

- Collaborate with the Director of Human Resources to ensure that an updated listing of sources for diverse applicants, including schools and professional organizations, is maintained.
- Actively monitor agency job postings.
- In collaboration with the Director of Human Resources, review interview questions to ensure that they are EEO-compliant, job-related, and required by business necessity.

- Provide feedback to the hiring manager after the EEO Officer's assessment.
- Assist the hiring manager if a reasonable accommodation is requested during the interview.
- May observe interviews when necessary, especially for underutilized job titles and/or mid- and high-level discretionary positions.
- Other: \_\_\_\_\_

**POST-SELECTION:**

- Periodically review candidate evaluation forms and conduct a job applicant analysis via the NYCAPS eHire Applicant Interview Log reports to advise Human Resources of any demographic trends and/or EEO concerns based on available self-ID data.
- Review hiring package to evaluate that the selection process was conducted in accordance with EEO best practices.
- Other: \_\_\_\_\_

*Additional Comments:*

6. During periods of layoffs, terminations and demotions due to legitimate business/operational reasons, what is your protocol for analyzing the impact of such actions based upon gender, race and age? It is most useful to conduct this analysis prior to finalizing the list of titles that will be impacted. Ensure that the Agency 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 2021.
- 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

Training Topic	Type of Audience (e.g. All Staff, Front-line Employees, Managers, Supervisors, etc.)	Target Number of Participants	Targeted Dates
1. EEO Awareness (e-learning)	Refresher for employees	100	Ongoing
2. EEO Awareness (classroom)	Refresher for employees	20	Ongoing
3. Everybody Matters (D&I) (e-learning)	Refresher as well as all new employees	100	Ongoing
4. Everybody Matters (D&I) (classroom)	Refresher as well as all new employees	19	Ongoing
5. Sexual Harassment Prevention (e-learning)	Refresher as well as all new employees	250	Ongoing
6. Sexual Harassment Prevention (classroom)	Refresher as well as all new employees	39	Ongoing
7. IgbTq – Power of Inclusion (e-learning)	Managers, Supervisors, and Front-line employees All other employees	110	Ongoing
8. IgbTq – Power of Inclusion (classroom)	Managers, Supervisors, and Front-line employees All other employees	37	Ongoing
9. Disability Etiquette	All employees	100	Ongoing
10. Structured Interviewing and Unconscious Bias (classroom)	Managers and supervisors	100	Ongoing
11. Other (specify)			
12. Other (specify)			

## VIII. Reasonable Accommodation

Please indicate the actions your agency will take to ensure that the process of reviewing reasonable accommodation requests is compliant with the EEO Policy as well as the applicable federal, state, and local laws. Additionally, please detail any best practices currently implemented in this area. Lastly, please describe your current appeal protocol.

- Managers, supervisors, human resources personnel and discipline personnel are required to report to the EEO Office any reasonable accommodation requests and needs that are received, observed, learned about or suspected, so that the EEO Office may facilitate discussions, research appropriate accommodations, and assist with the resolution of the matter.
- The agency provides reasonable accommodation for disability, religion, victims of domestic violence, sex offense and stalking, pregnancy, childbirth or a related medical condition.
- The agency 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 the appeal fifteen (15) days after submission of appeal.
- If the review and decision on appeal is NOT by the Agency Head, please provide the name and title of the designee<sup>1</sup> : Nicole Perry, Deputy Commissioner
- The agency will input the Reasonable Accommodation activity on the DCAS Citywide Complaint and Reasonable Accommodation (CAD) Database and update the information as needed.
- The agency analyzes the reasonable accommodation data and trends.
- The agency has posted/will circulate the *Reasonable Accommodations at a Glance* sheet for the workforce.

Describe procedures and speed of resolution, including the protocol for deciding appeals of Reasonable Accommodation decisions. Does the agency analyze statistics with regards to volume, trends, and speed of disposition of EEO complaints and reasonable accommodation requests and appeals?

Office of Disability Services' Director reviews and analyzes requests and approves or provides alternative solutions within 5 business days and, if necessary, submits a procurement request. If an appeal is requested, it will be forwarded to Deputy Commissioner for review, and if necessary, employee's request will be sent for medical review by the City. All requests are handled within the 14 days window. All appeals are handled within the 30-day window, which includes the original 14 days period.

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

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

Under Executive Order No. 16 of 2016, the agency must provide supervisory and front-line staff training approved by DCAS on transgender diversity and inclusion. Pursuant to Executive Order No. 16, 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 the managers, supervisors, and front-line employees were re-trained prior to FY 2021.
- 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.

*Additional Comments:* The agency launched IgbTq: Power of Inclusion training in July 10, 2020 and continues to encourage all employee to participate in the eLearning training.

**B. 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.
- The agency will train all current employees on Sexual Harassment Prevention (Cycle 3) as indicated in the Section VII Training above.

*Additional Comments:* The agency launched Sexual Harassment training in July 10, 2020 and continues to encourage all employee to participate in the eLearning training as well as webinar offered by DCAS.

**C. Local Law 97 (2018): Annual Sexual Harassment Reporting**

- The agency will input sexual harassment complaint data 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.
- The agency will input **all types of complaint** data 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.
- The agency will ensure that complaints are closed within 90 days.

*Additional Comments:*

As mandated by all oversight agencies and recent EEPC audit, SBS will make every effort to investigate, document and report all sexual harassment complaints in the required timeline.

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

The agency, in collaboration with DCAS, will conduct a climate survey in FY 2021 by proceeding to do the following:

- Distribute questionnaire electronically to agency employees.
- Designate computers with internet/intranet access to enable employees without computers or internet/intranet access to complete survey during work hours.
- Analyze results of the response data sent by DCAS.
- Continue to implement initiatives identified in the 2018 Climate Survey Action Plan which was submitted to DCAS and reported to City Council Speaker in 2020.

*Additional Comments:*

SBS launched the Climate Survey on November 19, 2020 and reminded employees of the December 18, 2020.

**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 2021 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 specific to our EEO practices.

The agency will continue/be required to implement measures during the year that this plan is in effect (please attach a copy of the audit findings.)

The agency received a Certificate of Compliance from the auditing agency.

**Please attach a copy of the Certificate of Compliance from the auditing agency.**



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#### **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.**

\_\_\_\_\_  
Print Name of Agency Head

\_\_\_\_\_  
Signature of Agency Head

\_\_\_\_\_  
Date

**APPENDIX**  
**NEW YORK CITY DEPARTMENT OF SMALL BUSINESS SERVICES**  
**CONTACT INFORMATION FOR AGENCY EEO PERSONNEL**

**EEO Officer**

Name/title: Angelita McDonald-Major, EEO / EO Director  
Address: 1 Liberty Plaza, 11th Floor, New York, NY 10006  
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Fax Number: (212) 618-8867  
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**EEO Investigator**

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**ADA Coordinator**

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**Disability Rights Coordinator**

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**Disability Services Facilitator**

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### **55-A Coordinator**

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### **Career Counselor**

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### **Training Liaison**

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### **EEO Counselor**

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[eeohelpdesk@sbs.sbs.nyc.gov](mailto:eeohelpdesk@sbs.sbs.nyc.gov)