

## THE TAX COMMISSION

- Letter of Preliminary Determination April 26, 2007
- Agency Response July 6, 2007
- Letter of Final Determination July 24, 2007
- Agency Response January 17, 2008



# EQUAL EMPLOYMENT PRACTICES COMMISSION

City of New York

40 Rector Street, 14<sup>th</sup> Floor, New York, New York 10006

Telephone: (212) 788-8646 Fax: (212) 788-8652

Ernest F. Hart, Esq.

*Chair*

Manuel A. Méndez

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Veronica Villanueva, Esq.

*Commissioners*

Abraham May, Jr.

*Executive Director*

Eric Matusewitch, PHR, CAAP

*Deputy Director*

April 26, 2007

Glenn Newman  
President  
Tax Commission  
Municipal Building  
One Centre Street  
New York, NY 10007

Re: Resolution #07/06-021/Preliminary Determination Pursuant to the Audit of the Tax Commission (TC) and its Compliance with the City's Equal Employment Opportunity Policy from January 1, 2005 to June 30, 2006

Dear President Newman:

Pursuant to Chapter 36 of the New York City Charter, the Equal Employment Practices Commission (EEPC) is empowered to audit and evaluate the employment practices, programs, policies and procedures of city agencies and their efforts to ensure fair and effective equal employment opportunity for minority group members, women and other protected classes. (New York City Charter, Chapter 36, sections 36(d)(2) and (5).)

The Charter defines city agency as any "city, county, borough or other office, administration, board, department, division, commission, 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..."

This letter contains the preliminary determinations of the EEPC pursuant to its audit of compliance by the Tax Commission (TC) during the eighteen-month period commencing January 1, 2005 and ending June 30, 2006. Requests for corrective actions and/or recommendations are included where the EEPC has determined that the TC has failed to comply in whole or in part with the City's EEO Policy.

All recommendations for corrective actions are consistent with both the audit's findings and the parameters set forth in the EEO Policy, which, in accordance with section 815 of the City Charter, holds agency heads responsible for the effective implementation of Equal Employment Opportunity. Therefore, the Tax Commission should incorporate these recommendations in its agency-specific EEO Plan. The relevant sections of the City's EEO Policy are cited in parenthesis at the end of each recommendation. In addition, this Commission is empowered by Section 831 of the City Charter to recommend all necessary and appropriate actions to ensure fair and effective affirmative employment plans for minority group members and women.

The purpose of this audit is to evaluate the agency's compliance with the City's EEO Policy, not to issue findings of discrimination pursuant to the New York City Human Rights Law.

### **Scope and Methodology**

Audit methodology included an analysis of TC's quarterly EEO reports. The EEPC auditors also reviewed responses to a Commission Document and Information Request Form. In addition, EEPC auditors conducted in-depth, on-site interviews with the TC's EEO officer and EEO counselor. A survey of 37 people employed by the TC during the audit period was distributed. Sixteen people responded (43.2%). The results of these surveys are discussed in the proceeding pages and also attached. (Appendix 1)

### **Description of the Agency**

The Tax Commission serves as the City of New York's administrative review body with regard to real property tax assessments set by the Department of Finance. In accordance with state and local law, the Tax Commission's core responsibilities include reviewing and analyzing, conducting hearings, rendering determinations, ordering remedial action where appropriate, and issuing written notifications of outcome in connection with annual applications for correction of real property tax assessments.

The Tax Commission consists of the President and six commissioners, who are appointed by the Mayor, with the advice and consent of the City Council, to staggered six-year terms. Each commissioner must have at least three years business experience in the field of real estate or real estate law, and at least one resident of each borough shall be included on the Commission. The President is the agency head.

### **Personnel Activity During the Audit Period**

During the audit period, one person was hired (a white male attorney) and one person was promoted (a white male science professional). The TC reports that no employees were separated due to layoffs or firings. (Appendix 2)

As of December 31, 2005, the TC employed 40 people: 21 Caucasians (52.5%), 9 African-Americans (22.5%), 3 Hispanics (7.5%), 6 Asians (15.0%), and 1 Native American (2.5%). Eighteen of the employees were women (45.0%). (Appendix 3)

## Complaint Activity During the Audit Period

No internal or external discrimination complaints were filed during the audit period.

## PRELIMINARY DETERMINATION

Following are our preliminary determinations with recommendations and required corrective actions pursuant to the audit.

### Plan Dissemination – Internally

The TC is in compliance with the following requirements:

1. In 2006, the TC distributed the City's EEO Policy Handbook, *About EEO: What You Need to Know* to all employees. The human resources director also gives that document to new employees via the new employee handbook.
2. The City's EEO Policy Handbook was posted on the agency's bulletin boards (9<sup>th</sup> and 11<sup>th</sup> floors), which are periodically inspected by the EEO Officer.

The TC is not in compliance with the following requirement:

The TC distributed the *previous* Citywide EEO Policy (issued in 1996) during the audit period, even though that document was replaced by the current Citywide EEO Policy in January 2005. The EEO officer informed EEPC auditors that she was unaware that the City issued a new Citywide EEO Policy in 2005. Corrective action is required.

Recommendation: The TC should distribute the current Citywide EEO Policy (in hardcopy or electronically) to legal, human resource and EEO representatives, as well as supervisors and managers. The Mayor's January 31, 2005 policy statement should accompany this document. (Sect. VB, EEOP and March 2, 2005 memorandum from Jyll Townes, Assistant Commissioner of the Office of Citywide EEO, Department of Citywide Administrative Services, to mayoral agency EEO officers.)

Recommendation: The TC agency head should send a general EEO policy statement or memo to all employees. This document should reiterate his commitment to EEO; advise employees of the names, location, and phone numbers of the EEO professionals; and may provide an electronic link to the EEO Policy Handbook and the Citywide EEO Policy. This document, to be sent as a payroll distribution, should be based on the Mayor's January 31, 2005 policy statement and the model agency head statement that is posted on the DCAS "about eeo" website. (March 2, 2005 memo from Jyll Townes to mayoral agency EEO Officers and Sect. VB, EEOP)

Recommendation: The TC should post (on its electronic bulletin boards, intranet site, and at each site where it conducts business) the current Citywide EEO Policy, the agency head's

general EEO policy statement, the EEO Policy Handbook, and the Handbook addendums. (March 2, 2005 memo from Jyll Townes to mayoral agency EEO officers and Sect. VB, EEOP)

### **Plan Dissemination – Externally**

The TC is in compliance with the following requirement:

All five job vacancy notices submitted by the agency indicate that the Tax Commission is an equal opportunity employer.

### **EEO and Reasonable Accommodation for Persons with Disabilities**

The TC is in compliance with the following requirements:

1. The EEO officer was appointed the disabilities rights coordinator.
2. The agency has provided reasonable accommodations to persons with disabilities: an employee undergoing chemotherapy treatment was granted leave time, and another employee with a disability was permitted to work at home.
3. The EEO officer informed the EEPC auditors that the Section 55-A Program pamphlets were posted on agency bulletin boards, and distributed to agency personnel in their new employee packages or when a new pamphlet was published by the DCAS.

The TC is in partial compliance with the following requirement:

The municipal building (which houses the TC) is maintained by the DCAS. According to the EEO officer, the DCAS conducted a survey and found the TC facilities to be accessible to and usable by persons with disabilities. In its response to the EEPC accessibility checklist, though, the EEO officer indicated that the bathrooms used by the TC employees have no low sinks or bathroom fixtures. On February 8, 2006—approximately eight months after the audit period—the EEO officer notified the DCAS regarding the bathroom accessibility issue.

Recommendation: The agency should submit a written request to the DCAS for a specific date to make the 9<sup>th</sup> and 11<sup>th</sup> floor bathrooms of the Municipal Building (which are used by the TC employees) completely accessible to persons with disabilities. (Sect. IIB, EEOP)

### **EEO Complaint & Investigation System**

The TC is in compliance with the following requirements:

1. The TC appointed individuals of both genders (female EEO officer and male EEO counselor) to receive and investigate discrimination complaints.

2. Both the EEO officer and the EEO counselor completed the DCAS's training session for EEO professionals.
3. The TC maintains a monthly discrimination complaint log that can be used to record and update EEO complaints. (As mentioned earlier, no such complaints were filed during the audit period.)
4. Seventy-five percent of survey respondents indicated they know how to file an EEO complaint.

## **EEO Training**

The TC is not in compliance with the following requirement:

The EEO officer informed EEPC auditors that the last EEO training sessions for managers and non-managers were held in January 2002—three years prior to the start of the audit period. In addition, 60% of survey respondents indicated they had not received EEO training. The EEO officer told EEPC auditors that she will develop a plan to provide follow-up EEO training. Corrective action is required.

Recommendation: The TC should follow-up on its pledge to develop a plan, which meets minimum standards set by the DCAS, to provide EEO training to all employees. (Sect. IV, EEOP)

## **Selection and Recruitment**

The TC is in compliance with the following requirement:

The EEO officer informed EEPC auditors that the TC provided structured interview training for employees who conduct job interviews. (They were sent to the DCAS training.)

The TC is not in compliance with the following requirement:

The EEO officer informed EEPC auditors that she has not conducted "adverse impact" studies and, further, she does not know what they are. Corrective action is required.

Recommendation: The TC should secure the necessary training, either from the DCAS or another appropriate source, to assess the manner in which civilian candidates are selected for employment, to determine whether there is any adverse impact upon any particular racial, ethnic, disability or gender group. (Sect. IV, EEOP)

## **Promotional Opportunities**

The TC is in partial compliance with the following requirement:

The EEO officer informed the EEPC auditors that she was appointed the career counselor. A 2002 or 2003 memo from the agency head informed all employees of that appointment. However, although the EEO officer indicated that her appointment was also listed in the agency's EEO Policy, a review of that document lists no such appointment. In addition, 75% of survey respondents indicated they do not know who is responsible for providing career counseling. Corrective action is required.

Recommendation: The TC human resources director should re-notify all employees in writing of the name, location, and telephone number/email address of the career counselor. (Sect. VF, EEOP)

## **EEO Officer Reporting Arrangement**

The TC is in compliance with the following requirement:

The agency EEO officer reports to the president on EEO matters and meets with him on an ad hoc basis. (This reporting arrangement is identified in the agency's organization chart, which was submitted to the EEPC.) The EEO officer provided summaries of her EEO-related meetings, including meetings with the agency head.

## **EEO Officer Responsibilities**

The TC is in compliance with the following requirements:

1. The EEO officer told EEPC auditors that she devotes about 5% of her time to EEO matters; the balance is spent on her duties as director of operations. The EEO officer believes she can discharge her EEO duties with the assistance of the HR director and the EEO counselor. The agency employed 40 people as of December 31, 2005.
2. The TC has not advertised job vacancies in newspapers or other publications or sent notices to any organizations. In addition, the agency does not maintain any general recruitment literature. The EEO officer, though, does write the Job Vacancy Notices and ensures that they are distributed citywide.

## **Supervisory Responsibility in EEO Plan Implementation**

The TC is in partial compliance with the following requirement:

The EEO officer told EEPC auditors that she directed the heads of the three Tax Commission units to reaffirm their commitment to EEO at every meeting with their staffs. There is, however, no documentation of those meetings. In addition, 43.8% of survey respondents indicated either that their supervisors did not emphasize their commitment to the agency's EEO

policies at staff meetings during the past 8 months, or that they (survey respondents) do not remember such expressions of supervisory commitment. Corrective action is required.

Recommendation: It is the position of the DCAS (“Model Agency EEO Commitment Memo,” [http://extranet.dcas.nycnet/eoo/pdf/model\\_memo.pdf](http://extranet.dcas.nycnet/eoo/pdf/model_memo.pdf)) and the EEPC that at least twice a year during normal staff meetings, managers and supervisors should emphasize their commitment to the agency’s EEO policies and affirm the right of each employee to file a discrimination complaint with the EEO Office. These meetings should be documented.

### **Special Problems/Contingencies**

The TC is not in compliance with the following requirements:

1. The TC uses a managerial performance evaluation form that was not designed by the DCAS and does not contain a rating for EEO. The EEO officer told EEPC auditors that the form “was sent to the TC by City Hall” about six years ago. She could not identify the individual or unit in City Hall that prepared the form. Corrective action is required.

Recommendation: As a mayoral agency, the TC should use the managerial performance evaluation form designed by the DCAS, which contains a rating for EEO.

2. Eighty-five percent of survey respondents (all of whom were employed for at least one year) indicated they had not received annual performance evaluations. Corrective action is required.

Recommendation: All staff, managerial and non-managerial, should receive an annual performance evaluation. (DCAS, Rule 7.5.4(e) of the *Personnel Rules and Regulations of the City of New York*, and DCAS, *Managerial Performance Evaluation, Guidelines for Evaluating Managerial Performance in NYC Agencies*, p. 1.)

### **SUMMARY OF RECOMMENDED CORRECTIVE ACTIONS**

1. The TC should distribute the current Citywide EEO Policy (in hardcopy or electronically) to legal, human resource and EEO representatives, as well as supervisors and managers. The Mayor’s January 31, 2005 policy statement should accompany this document. (Sect. VB, EEOP and March 2, 2005 memorandum from Jyll Townes, Assistant Commissioner of the Office of Citywide EEO, Department of Citywide Administrative Services, to mayoral agency EEO officers.)
2. The TC agency head should send a general EEO policy statement or memo to all employees. This document should reiterate his commitment to EEO; advise employees of the names, location, and phone numbers of the EEO professionals; and may provide an electronic link to the EEO Policy Handbook and the Citywide EEO Policy. This document, to be sent as a payroll distribution, should be based on the Mayor’s January 31, 2005 policy statement and the model agency head statement that is posted on the

DCAS "about eeo" website. (March 2, 2005 memo from Jyll Townes to mayoral agency EEO Officers and Sect. VB, EEOP)

3. The TC should post (on its electronic bulletin boards, intranet site, and at each site where it conducts business) the current Citywide EEO Policy, the agency head's general EEO policy statement, the EEO Policy Handbook, and the Handbook addendums. (March 2, 2005 memorandum from Jyll Townes to mayoral agency EEO officers and Sectt. VB, EEOP)
4. The agency should submit a written request to DCAS for a specific date to make the 9<sup>th</sup> and 11<sup>th</sup> floor bathrooms of the Municipal Building (which are used by the TC employees) completely accessible to persons with disabilities. (Sect. IIB, EEOP)
5. The TC should follow-up on its pledge to develop a plan, which meets minimum standards set by the DCAS, to provide EEO training to all employees. (Sect. IV, EEOP)
6. The TC should secure the necessary training, either from the DCAS or another appropriate sources, to assess the manner in which civilian candidates are selected for employment, to determine whether there is any adverse impact upon any particular racial, ethnic, disability or gender group. (Sect. IV, EEOP)
7. The TC human resources director should re-notify all employees in writing of the name, location, and telephone number/email address of the career counselor. (Sect. VF, EEOP)
8. It is the position of the DCAS ("Model Agency EEO Commitment Memo," available on the DCAS website) and the EEPC that at least twice a year during normal staff meetings, managers and supervisors should emphasize their commitment to the agency's EEO policies and affirm the right of each employee to file a discrimination complaint with the EEO Office. These meetings should be documented.
9. As a mayoral agency, the TC should use the managerial performance evaluation form designed by the DCAS, which contains a rating for EEO.
10. All staff, managerial and non-managerial, should receive an annual performance evaluation. (DCAS, Rule 7.5.4(e) of the *Personnel Rules and Regulations of the City of New York*, and DCAS, *Managerial Performance Evaluation, Guidelines for Evaluating Managerial Performance in NYC Agencies*, p. 1.)

In addition to the above recommendations, during the compliance process, the Commission requires that the agency head distribute a memorandum to all staff informing them of the changes that are being implemented in the agency's EEO program pursuant to the audit. This memorandum should re-emphasize the agency head's commitment to the agency's Equal Employment Opportunity Program.

## Conclusion

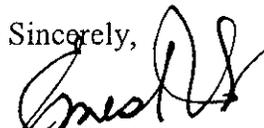
Pursuant to Chapter 36 of the New York City Charter and the previously cited preliminary determinations relating to the EEPCC's audit of the Tax Commission's compliance with the City's Equal Employment Opportunity Policy, we respectfully request your response to the aforementioned preliminary determinations.

Your response should indicate what corrective actions your office will take, and which recommendations it intends to incorporate into its Equal Employment Opportunity Plan, where appropriate, to comply with the City's Equal Employment Opportunity Policy. As you informed us during the March 29, 2007 audit exit meeting, you have already implemented some of our recommended corrective actions. Please specify those corrective actions in your response and attach copies of appropriate documents. Please forward your response within thirty days of receipt of this letter.

Pursuant to Section 832 of the New York City Charter, as amended in 1999, if you do not implement all of the recommendations for corrective actions during a compliance period not to exceed six months, this Commission may publish a report and recommend to the Mayor the appropriate corrective actions that you should implement in your agency's Equal Employment Opportunity Plan.

In closing, we wish to thank you and your staff for the cooperation extended to the Equal Employment Practices Commission auditors during the course of this audit. If you have any questions regarding these preliminary determinations, please let us know.

Sincerely,



Ernest F. Hart, Esq.  
Chair

**TAX COMMISSION  
EMPLOYEE SURVEY RESULTS**

**GENERAL OVERVIEW**

1. Do you know who your agency's EEO Officer is?  
Yes (11)            No (5)
2. Is your agency's EEO Policy Statement posted on your agency's bulletin boards?  
Yes (14)            No (2)
3. Were you given the EEO Policy Statement?  
Yes (14)            No (0)            Do not remember (2)
4. Were you given a copy of the EEO Policy Handbook – *About EEO: What You Need to Know*?  
Yes (15)            No (1)
5. Do you agree with the principles of equal employment opportunity?  
Yes (15)            No (1)
6. Do you believe your agency practices equal employment opportunity?  
Yes (13)            No (3)
7. Do you know what the City's Equal Employment Opportunity Policy (EEOP) is?  
Yes (15)            No (1)
8. Has your supervisor emphasized his/her commitment to the agency's EEO policies at any staff meeting during the past 8 months?  
Yes (9)            No (3)            Do not remember (4)
9. When you started working at your agency, did you attend an orientation session?  
If No, please skip to question #11.  
Yes (2)            No (7)            Do not remember (5)
10. If hired within the past 12 months, did your orientation session include information on your rights and responsibilities under the EEO Policy?  
Yes (2)            No (0)            Do not remember (1)

**B. EEO COMPLAINTS**

11. Do you know how to file an EEO complaint?  
Yes (12)            No (4)
12. If you had an EEO complaint, would you bring it to your agency's EEO Office?  
Yes (9)            No (4)            Undecided (3)

13. Would you prefer to file an EEO complaint with an office outside your agency?  
Yes (7) No (5) Undecided (4)

Did you ever file an EEO complaint with your agency's EEO Office?

If No, please skip to question #18.

Yes (0) No (15)

15. What was the basis of the complaint?

Age (0)	Partnership Status (0)
Alienage or Citizen Status (0)	Predisposing genetic characteristic (0)
Arrest or Conviction Record (0)	Race (0)
Color (0)	Sexual Harassment (0)
Creed (0)	Sexual Orientation (0)
Disability (0)	Veteran's Status (0)
Gender (incl. gender identity) (0)	Victim of Domestic Violence, Stalking, and Sex Offenses (0)
Marital Status (0)	Other (0)
Military Status (0)	
National Origin (0)	

16. Were you satisfied with the manner in which your complaint was managed?

Yes (0) No (0)

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

Yes (0) No (0) Not Applicable (0)

### C. EEO TRAINING

18. Did you receive EEO training? If No, please skip to question #20.

Yes (6) No (9)

19. Did you find this training helpful?

Very (5)	Somewhat (1)
Not really (0)	Waste of time (1)

### D. JOB PERFORMANCE/ADVANCEMENT

20. Did you see your agency's job postings on agency bulletin boards for vacant positions prior to the application deadline?

Yes (8) No (6) Do not remember (2)

21. If you were employed at your agency for over one year, did you receive annual evaluations?

If No, skip to question #24.

Yes (2)	No (11)	Not employed for >1 year (0)
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Did your evaluation contain recommendations for improving your job performance?

Yes (3) No (1)

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

Yes (0) No (5)

Do you know the name of the person in your agency who is responsible for providing career counseling?

Yes (4) No (12)

#### E. AFFIRMATIVE ACTION FOR PERSONS WITH DISABILITIES

25. Are your agency's facilities accessible for persons with disabilities?

Yes (7) No (0) Don't Know (8)

26. Did you ever ask for an accommodation for a physical or mental disability?

If No, skip to question #28.

Yes (1) No (14)

27. Did the agency accommodate you?

Yes (1) No (0)

#### OPTIONAL

28. What is your race/ethnicity?

Asian (4)	Native American (0)
Black (0)	White (8)
Hispanic (1)	Other (0)

29. What is your gender?

Male (12) Female (3)

## APPENDIX – 2

The following table indicates personnel activity during the audit period, January 1, 2005 through June 30, 2006

### Tax Commission

#### Hires by Sex and Ethnicity

Total Hires: 1

Male	Female	Total	Caucasian	African American	Hispanic	Asian	Total
1	0	1	1	0	0	0	0

#### Promotions by Sex and Ethnicity

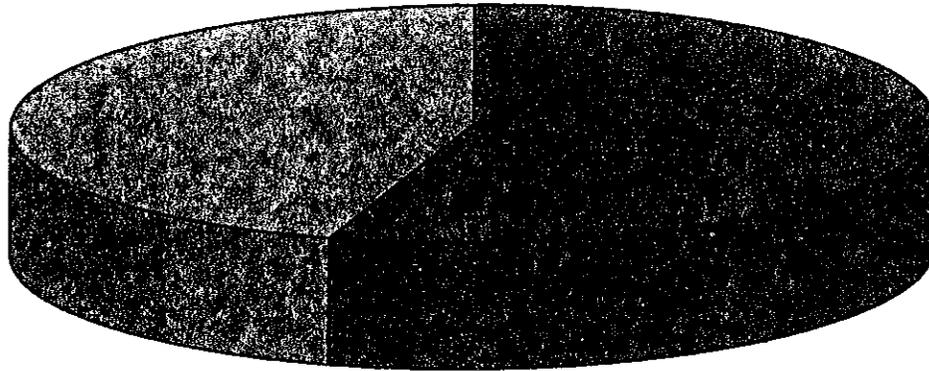
Total Promotions: 1

Male	Female	Total	Caucasian	African American	Hispanic	Asian	Total
1	0	1	1	0	0	0	0

Source: Audit data supplied by the Tax Commission

Tax Commission  
Workforce by Ethnicity and Sex  
December 31, 2005

Female  
45%

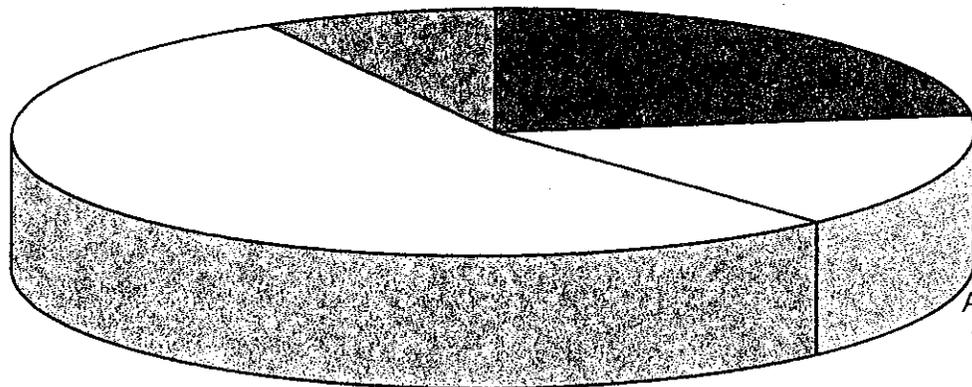


Male  
55%

December 31, 2005  
Total Workforce = 40

Hispanic  
8%

African American  
23%



Asian  
15%

Caucasian  
54%

December 31, 2005  
Total Workforce = 40



9468

7/11/07

GLENN NEWMAN  
President

THE CITY OF NEW YORK  
TAX COMMISSION

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E-Mail: [gnewman@taxcomm.nyc.gov](mailto:gnewman@taxcomm.nyc.gov)

Municipal Building  
1 Centre Street  
New York, NY 10007

July 6, 2007

Ernest F. Hart, Esq.  
Chairman  
Equal Employment Practices Commission  
40 Rector Street, 14<sup>th</sup> fl.  
New York, NY 10006

Re: Resolution #07/06-021/Preliminary Determination Pursuant to the Audit of the Tax Commission (TC) and its Compliance with the City's Equal Employment Opportunity Policy from January 1, 2005 to June 30, 2006.

Dear Chairman Hart:

Thank you for extending the time for the Tax Commission's response to the EEPCC's preliminary determination of the Tax Commission's compliance with the City's Equal Employment Opportunity Policy. We are responding to your recommendations as follows:

1. The current Citywide EEO policy was distributed to all staff on March 22, 2007 along with the Mayor's January 31, 2005 Policy Statement and Assistant Commissioner Jill Townes' memorandum of March 2, 2005.
2. Glenn Newman, President of the Tax Commission sent a general EEO statement on June 14, 2007 to all staff advising of his commitment to EEO and stating the names, locations and phone numbers of this agency's EEO professionals and the Career Counselor. (copy attached)
3. The Tax Commission does not have electronic bulletin boards or an intranet site. The documents cited are posted on bulletin boards located on the 9<sup>th</sup> and 11<sup>th</sup> floors and are accessible to all staff.

4. An email request for bathroom fixtures accessible to people with disabilities was sent to DCAS on March 28, 2007. A follow-up email requesting a specific date was sent on July 5, 2007. (copy attached)
5. A request for DCAS EEO training for managers and non-managers was made in February 2007. Because of our hearing period, from March through October, training will be conducted in November.
6. The Tax Commission's EEO Officer and EEO Counselor have had the necessary training to determine impact upon particular racial, ethnic, disability or gender groups.
7. See #2.
8. Tax Commission Managers have documented the dates of staff meetings when this Agency's commitment to EEO was discussed.
- 9 and 10. The Tax Commission will use the Manager's Performance Evaluation Form containing a rating for EEO. Performance evaluations for non-management staff have been completed. Manager ratings will be finalized after our hearing period is completed. We question why performance evaluations are an EEO issue.

Please let me know if you have any questions regarding this response.

Sincerely,



Glenn Newman

GN/smm  
Enclosures

## Myrna Hall

---

**From:** Myrna Hall  
**Sent:** Thursday, July 05, 2007 5:11 PM  
**To:** 'Joseph Wagner'  
**Subject:** 9th and 11th Floor Bathrooms

In response to an audit by the Equal Employment Practices Commission, can you please give me a specific date when the 9th and 11th floor bathrooms will be made accessible to people with disabilities, i.e. low sinks and toilets.

Myrna Hall, Director of Operations  
NYC Tax Commission  
1 Centre Street  
New York, NY 10007  
Tel: 212.669.4420  
Fax: 212.669.2003



GLENN NEWMAN  
President

THE CITY OF NEW YORK  
TAX COMMISSION

Telephone: (212) 669-4401  
E-Mail: [gnewman@taxcomm.nyc.gov](mailto:gnewman@taxcomm.nyc.gov)

Municipal Building  
1 Centre Street  
New York, NY 10007

**MEMORANDUM**

To: All Staff  
From: Glenn Newman   
Date: June 14, 2007  
Re: Equal Employment Opportunity at the Tax Commission

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The Tax Commission is committed to preventing illegal discrimination by ensuring that all employees are aware of their rights and obligations under the EEO Policy, by maintaining fair employment practices for all of our employees, and by encouraging a work environment that tolerates and appreciates differences among employees. All personnel should work together to maintain an atmosphere of appreciation for the diversity reflected in our staff.

Although I am pleased with our accomplishments, I would like to remind you that our agency EEO program contains the following requirements:

- Managers and supervisors must conduct documented meetings with staff, at least twice a year, to reaffirm their commitment to the agency's EEO Policy and to discuss the right of employees to file EEO complaints with the Tax Commission's EEO Officer and/or EEO counselor.
- All managers and supervisors involved in conducting employment interviews must review Structured Interviewing materials prepared by the Office of Citywide EEO.
- Myrna Hall, Director of Operations, who is familiar with employment opportunities, is the agency's Career Counselor, and will provide career counseling to employees who request it. Her office is located at the Municipal Building, Room 936. Her telephone number is (212) 669-4420. Employees interested in receiving career counseling should make an appointment.

As a reminder, Myrna Hall is the Tax Commission's EEO Officer and Carlo Silvestri is the EEO Counselor. I encourage all employees to access the resources available within the Tax Commission and to address any concerns you have to Myrna Hall, the agency EEO Officer at (212) 669-4420, Room 936 or Carlo Silvestri at (212) 669-4402, Room 1123.



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July 24, 2007

Glenn Newman, President

Tax Commission

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Re: Final Determination Pursuant to the Audit of the Tax Commission (TC) and its Compliance with the City's Equal Employment Opportunity Policy from January 1, 2005 to June 30, 2006

Dear President Newman:

Thank you for your July 6, 2007 response to our April 26, 2007 Letter of Preliminary Determination pursuant to the audit of the Tax Commission and its compliance with the City's Equal Employment Opportunity Policy from January 1, 2005 to June 30, 2006. The EEPC staff has reviewed your response and our Final Determination is as follows:

## **Agree**

We agree with your responses to the following EEPC recommendations, pending documentation that can be attached to your reply or provided during the compliance period:

### Recommendation #1

The TC should distribute the current Citywide EEO Policy (in hardcopy or electronically) to legal, human resource and EEO representatives, as well as supervisors and managers. The Mayor's January 31, 2005 policy statement should accompany this document. (Sect. VB, EEOP and March 2, 2005 memorandum from Jyll Townes, Assistant Commissioner of the Office of Citywide EEO, Department of Citywide Administrative Services, to mayoral agency EEO officers.)

Recommendation #2

The TC agency head should send a general EEO policy statement or memo to all employees. This document should reiterate his commitment to EEO; advise employees of the names, location, and phone numbers of the EEO professionals; and may provide an electronic link to the EEO Policy Handbook and the Citywide EEO Policy. This document, to be sent as a payroll distribution, should be based on the Mayor's January 31, 2005 policy statement and the model agency head statement that is posted on the DCAS "about eeo" website. (March 2, 2005 memo from Jyll Townes to mayoral agency EEO officers and Sect. VB, EEOP)

Recommendation #3

The TC should post (on its electronic bulletin boards, intranet sites, and at each site where it conducts business) the current Citywide EEO Policy, the agency head's general EEO policy statement, the EEO Policy Handbook, and the Handbook addendums. (March 2, 2005 memorandum from Jyll Townes to mayoral agency EEO officers and Sect. VB, EEOP)

Recommendation #4

The agency should submit a written request to DCAS for a specific date to make the 9<sup>th</sup> and 11<sup>th</sup> floor bathrooms of the Municipal Building (which are used by the TC employees) completely accessible to persons with disabilities. (Sect. IIB, EEOP)

Recommendation #5

The TC should follow-up on its pledge to develop a plan, which meets minimum standards set by the DCAS, to provide EEO training to all employees. (Sect. IV, EEOP)

Recommendation #7

The TC human resources director should re-notify all employees in writing of the name, location, and telephone number/email address of the career counselor. (Sect. VF, EEOP)

Recommendation #9

As a mayoral agency, the TC should use the managerial performance evaluation form designed by the DCAS, which contains a rating for EEO.

Note: The EEPC assumes that the TC's use of the term "Manager's Performance Evaluation Form" refers to the citywide performance evaluation form created by the DCAS.

Recommendation #10

All staff, managerial and non-managerial, should receive an annual performance evaluation. (DCAS, Rule 7.5.4(e) of the *Personnel Rules and Regulations of the City of New York*, and DCAS, *Managerial Performance Evaluation, Guidelines for Evaluating Managerial Performance in NYC Agencies*, p. 1.)

Note: In response to your "question," performance evaluations are an EEO issue for several reasons: as you noted in your response, the manager's performance evaluation form contains a rating for EEO. Secondly, non-managerial performance evaluations are used, among other things, as a development and career advancement tool for all non-managers. In addition, as we noted on page two of the April 26, 2007 Letter of Preliminary Determination, the Commission "is empowered by Section 831 of the City Charter to recommend all necessary and appropriate actions to ensure fair and effective affirmative plans for minority group members and women."

## Requires Clarification

For the following reasons, hereafter identified as EEPC Rationale, we request clarification of your response to the following recommendations, which can be addressed in your response or during the compliance period:

### Recommendation #6

The TC should secure the necessary training, either from the DCAS or another appropriate source, to assess the manner in which civilian candidates are selected for employment, to determine whether there is any adverse impact upon any particular racial, ethnic, disability or gender group. (Sect. IV, EEOP)

### Your Response

The Tax Commission's EEO Officer and EEO Counselor have had the necessary training to determine impact upon particular racial, ethnic, disability or gender groups.

### EEPC Rationale

This statement is contrary to the statement made by the EEO officer during the audit (cited on page five of the April 26, 2007 Letter of Preliminary Determination): "The EEO officer informed EEPC auditors that she has not conducted 'adverse impact' studies, and further, she does not know what they are." When and how did the TC's EEO professionals obtain the "necessary training," and are they confident of their ability to now conduct adverse impact studies?

### Recommendation #8

It is the position of the DCAS ("Model Agency EEO Commitment Memo," available the DCAS website) and the EEPC that at least twice a year during normal staff meetings, managers and supervisors should emphasize their commitment to the agency's EEO policies and affirm the right of each employee to file a discrimination complaint with the EEO Office. These meetings should be documented.

### Your Response

Tax Commission Managers have documented the dates of staff meetings when the Agency's commitment to EEO was discussed.

### EEPC Rationale

This statement is contrary to the statement made by the EEO officer during the audit and the results of the voluntary employee survey (cited on pages six to seven of the April 26, 2007 Letter of Preliminary Determination): "The EEO officer told EEPC auditors that she directed the heads of the three Tax Commission units to reaffirm their commitment to EEO at every meeting with their staffs. There is, however, no documentation of those meetings. In addition, 43.8% of survey respondents indicated either that their supervisors did not emphasize their commitment to the agency's EEO policies at staff meeting during the past 8 months, or that they (survey respondents) do not remember such expressions of supervisory commitment."

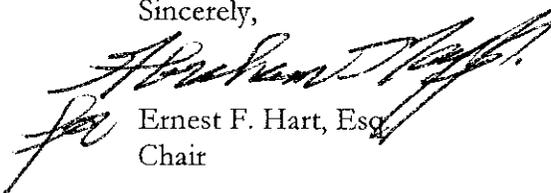
## Conclusion

Pursuant to section 832 of the New York City Charter, this Commission will initiate an audit compliance period not to exceed six months. However, you may respond in writing to this Final Determination prior to the initiation of audit compliance.

If you decide to issue a written response, please do so within thirty days. If you decide not to issue a written response, we will initiate audit compliance shortly thereafter. Our Counsel or her designee will contact your EEO officer to ascertain your intentions.

In closing, we thank you and your staff for your cooperation during the audit period. We look forward to a mutually satisfactory compliance process.

Sincerely,



Ernest F. Hart, Esq.  
Chair

c: Myrna Hall, EEO Officer



9650

GLENN NEWMAN  
President

THE CITY OF NEW YORK  
TAX COMMISSION

Telephone: (212) 669-4401  
E-Mail: [gnewman@taxcomm.nyc.gov](mailto:gnewman@taxcomm.nyc.gov)

Municipal Building  
1 Centre Street  
New York, NY 10007

January 17, 2008

Ernest Hart, Chair  
Equal Employment Practices Commission  
40 Rector Street, 14<sup>th</sup> fl.  
New York, NY 10006

Re: Final Determination Pursuant to the Audit of the Tax Commission and its Compliance with the City's Equal Employment Opportunity Policy from January 1, 2005 to June 30, 2006

Dear Chairman Hart:

The Tax Commission has reviewed the July 24, 2007 report on the referenced audit and thank you for the extension of time for our response. We feel we are in compliance with the following recommendations:

1. We have distributed the current Citywide EEO Policy in hardcopy to all Tax Commission staff on October 5, 2007. We included the Mayor's January 21, 2005 policy statement and Jyll Townes' memo of March 2, 2005. (Exhibit 1)
2. Glenn Newman, President of the Tax Commission sent an EEO policy memo stating his commitment to EEO. The memo states the names and locations of the Agency's EEO professionals. (Exhibit 2)
3. The Tax Commission's current City EEO Policy, the agency head's memo, and the EEO Policy Handbook and addenda are posted throughout the Agency.
4. An email was sent to DCAS requesting a specific date when the men's and women's bathrooms would be completely accessible to persons with disabilities. (Exhibit 3)

5. The Department of Finance provided training to all Tax Commission staff on January 10, 2008. (Exhibit 4)
7. Staff has been notified of the name, location and telephone number of the Career Counselor for the Tax Commission. (See Exhibit 2)
8. The Tax Commission will use the manager performance evaluation form designed by DCAS that contains rating for EEO. (Exhibit 5)
9. All staff will receive an annual performance evaluation.

The following are clarifications of the responses questioned by EEPC in the Preliminary Determination.

6. The EEO Officer, EEO Counselor and the Agency's General Counsel have received training from DCAS in the selection of civilian candidates regarding adverse impact. The EEO Officer's statement to EEPC and requesting clarification of "adverse impact studies" did not receive an answer. Subsequently, she obtained materials from DCAS which clarified the subject and she understood that this subject was covered in training.
8. Although dates of full staff meetings and group meetings discussing EEO were noted and submitted to you in a prior report, the exact items that were discussed were not included. We accept your recommendation and will be sure to make more informative notes on our meetings. The unit heads did discuss EEO at their meetings. The respondent's answers on the survey may not be accurate. Many said they did not receive the EEO policy where we have records of their signing that they received it.

I would like to thank you and your staff for your ongoing consideration in this process.

Very truly yours,



Glenn Newman

GN/smm

**CITY OF NEW YORK PAYROLL MANAGEMENT SYSTEMS**  
**AGENCY TAX COMMISSION**

PAYROLL NUMBER: 021/PAYROLL DIS. CODE: 0010

PAYCYCLE: D **EEO Policy Act** PAY DATE: 10/05/07

LAST NAME	FIRST NAME	REFERENCE #	SIGNATURE
Ahmad	Iftikhar	0191496	<i>Iftikhar Ahmad</i>
Arigo	Joseph	0022329	<i>Joseph Arigo</i>
Babb	Rosemarie	0022987	<i>Rosemarie Babb</i>
Baschwitz	Stephen	0024174	<i>Stephen Baschwitz</i>
Basdeo	Desmond	0139652	<i>Desmond Basdeo</i>
Butler	Roberta	0024474	<i>Roberta Butler</i>
Chambers	Peggy	0024927	<i>Peggy Chambers</i>
Cheng	Sui K	0028101	<i>Sui K Cheng</i>
Dunay	David	0031242	<i>David Dunay</i>
Greene	John	0023938	<i>John Greene</i>
Grossman	Susan	0175031	<i>Susan Grossman</i>
Gymes	Aladar	0428039	<i>Aladar Gymes</i>
Hall	Myrna	0024808	<i>Myrna Hall</i>
Hopkins	Norvella	0191814	<i>Norvella Hopkins</i>
Martinez	Starr	0532513	<i>Starr Martinez</i>
Newman	Glenn	0186011	<i>Glenn Newman</i>
Nichols	Thomas	0078138	<i>Thomas Nichols</i>
Olick	Alice	0185464	<i>Alice Olick</i>
Picker	Leonard	0247685	<i>Leonard Picker</i>
Rizzo	Robert	0081909	<i>Robert Rizzo</i>
Rodriguez	Minerva	0528531	<i>Minerva Rodriguez</i>
Sanchez	Nelson	0023137	<i>Nelson Sanchez</i>
Schneider	Reed	0186403	<i>Reed Schneider</i>
Silvestri	Carlo	0022953	<i>Carlo Silvestri</i>
Small	Stephen	0029779	<i>Stephen Small</i>
Stabile	Richard	0586172	<i>Richard Stabile</i>
Tan	Jianming	0498468	<i>Jianming Tan</i>
Tang	Louisa	0030123	<i>Louisa Tang</i>
Tsang	Siu F	0023143	<i>Siu F Tsang</i>
Tzanides	Kyriakos	0517195	<i>Kyriakos Tzanides</i>
Voscina	Roy	0555027	<i>Roy Voscina</i>
Wells	Gilbert	0449361	<i>Gilbert Wells</i>

RUN SORT: PPGCP31902102A  
RUN DATE: 09/29/07  
RUN TIME: 07:12:34

CITY OF NEW YORK PAYROLL MANAGEMENT SYSTEM

REPORT PAGE: 3921  
REPORT ID: PPGCP319  
SYSTEM: PMS

PAYCHECK DISTRIBUTION CONTROL REPORT

PAY DATE: 10/05/07  
CHECK TYPE: REGULAR CHECK  
PAYMENT METHOD: CHECK  
PAYROLL NUMBER: 021 TAX COMMISSION  
PAYROLL DISTRIBUTION CODE: Z0011

*\*EEO Policy etc*

LAST NAME	FIRST NAME	MI	REFERENCE NUMBER	SEQ LV NO ST	WORK UNIT	CHK STK	MICR NUMBER	EMPLOYEE SIGNATURE
JONES	BRENDA	W	1004354	1 B	0011 C		48446206	<i>[Signature]</i>
LEE	MICHAEL		1040226	1 B	0011 C		48446207	<i>[Signature]</i>

NUMBER OF CHECKS FOR PAYROLL DISTRIBUTION CODE Z0011 IS EQUAL TO 2

I CERTIFY THAT THE ABOVE CHECKS WERE DISTRIBUTED TO THE EMPLOYEES LISTED, EXCEPT AS NOTED OTHERWISE ON THIS PAGE.

SIGNATURE \_\_\_\_\_ TITLE \_\_\_\_\_ DATE \_\_\_\_\_

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RUN DATE: 09/29/07  
RUN TIME: 07:12:34

CITY OF NEW YORK PAYROLL MANAGEMENT SYSTEM

REPORT PAGE: 3923  
REPORT ID: PPGCP319  
SYSTEM: PMS

PAYCHECK DISTRIBUTION CONTROL REPORT

PAY DATE: 10/05/07

PAYCYCLE: D

CHECK TYPE: REGULAR CHECK

PAYMENT METHOD: CHECK

PAYROLL NUMBER: 021 TAX COMMISSION

PAYROLL DISTRIBUTION CODE: 0010

*\*EEO Policy etc.*

LAST NAME	FIRST NAME	M1	REFERENCE NUMBER	SEQ NO	LV ST	WORK UNIT	CHK STK	MICR NUMBER	EMPLOYEE SIGNATURE
BEDNAR	JOHN		0057003	1	B	0010 C		48446208	<i>John Bednar</i>
MCCORMICK	DARIA		0024571	1	B	0010 C		48446209	<i>Daria McCormick</i>

NUMBER OF CHECKS FOR PAYROLL DISTRIBUTION CODE 0010 IS EQUAL TO 2

I CERTIFY THAT THE ABOVE CHECKS WERE DISTRIBUTED TO THE EMPLOYEES LISTED EXCEPT AS NOTED OTHERWISE ON THIS PAGE.

SIGNATURE

TITLE

DATE

EXHIBIT 2



GLENN NEWMAN  
President

THE CITY OF NEW YORK  
TAX COMMISSION

Telephone: (212) 669-4401  
E-Mail: [gnewman@taxcomm.nyc.gov](mailto:gnewman@taxcomm.nyc.gov)

Municipal Building  
1 Centre Street  
New York, NY 10007

**MEMORANDUM**

To: All Staff

From: Glenn Newman 

Date: June 14, 2007

Re: Equal Employment Opportunity at the Tax Commission

---

The Tax Commission is committed to preventing illegal discrimination by ensuring that all employees are aware of their rights and obligations under the EEO Policy, by maintaining fair employment practices for all of our employees, and by encouraging a work environment that tolerates and appreciates differences among employees. All personnel should work together to maintain an atmosphere of appreciation for the diversity reflected in our staff.

Although I am pleased with our accomplishments, I would like to remind you that our agency EEO program contains the following requirements:

- Managers and supervisors must conduct documented meetings with staff, at least twice a year, to reaffirm their commitment to the agency's EEO Policy and to discuss the right of employees to file EEO complaints with the Tax Commission's EEO Officer and/or EEO counselor.
- All managers and supervisors involved in conducting employment interviews must review Structured Interviewing materials prepared by the Office of Citywide EEO.
- Myrna Hall, Director of Operations, who is familiar with employment opportunities, is the agency's Career Counselor, and will provide career counseling to employees who request it. Her office is located at the Municipal Building, Room 936. Her telephone number is (212) 669-4420. Employees interested in receiving career counseling should make an appointment.

As a reminder, Myrna Hall is the Tax Commission's EEO Officer and Carlo Silvestri is the EEO Counselor. I encourage all employees to access the resources available within the Tax Commission and to address any concerns you have to Myrna Hall, the agency EEO Officer at (212) 669-4420, Room 936 or Carlo Silvestri at (212) 669-4402, Room 1123.

EXHIBIT 3

**Myrna Hall**

---

**From:** John Castellaneta [JCASTELL@dcas.nyc.gov]  
**Sent:** Monday, February 05, 2007 6:16 PM  
**To:** Joseph Wagner; Elizabeth H. Theofan  
**Cc:** Myrna Hall  
**Subject:** FW: 9TH Floor Women's and Men's Bathrooms

This is a Facilities issue and I am forwarding it to the appropriate parties. Thanks, Myrna.

John Castellaneta  
Deputy Commissioner  
Administration and Security  
1 Centre Street, 17th Floor  
New York, NY 10007  
Office 212 669-3098  
Fax 212 313-3300  
Cell 917 337-6193

-----Original Message-----

**From:** Myrna Hall [mailto:mhall@taxcomm.nyc.gov]  
**Sent:** Monday, February 05, 2007 4:47 PM  
**To:** John Castellaneta  
**Subject:** 9TH Floor Women's and Men's Bathrooms

The Tax Commission is being audited by the Equal Employment Practices Commission. I have been asked to inform you the neither the women's nor men's bathrooms on the 9th floor at 1 Centre Street are equipped with sinks that are accessible for the disabled.

Myrna Hall, Director of Operations  
NYC Tax Commission  
1 Centre Street  
New York, NY 10007  
Tel: 212.669.4420  
Fax: 212.669.2003

## Myrna Hall

---

**From:** Myrna Hall  
**Sent:** Thursday, July 05, 2007 5:11 PM  
**To:** 'Joseph Wagner'  
**Subject:** 9th and 11th Floor Bathrooms

In response to an audit by the Equal Employment Practices Commission, can you please give me a specific date when the 9th and 11th floor bathrooms will be made accessible to people with disabilities, i.e. low sinks and toilets.

Myrna Hall, Director of Operations  
NYC Tax Commission  
1 Centre Street  
New York, NY 10007  
Tel: 212.669.4420  
Fax: 212.669.2003

# TAX COMMISSION STAFF

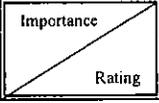
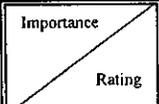
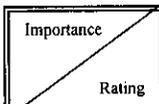
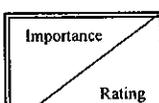
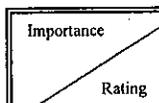
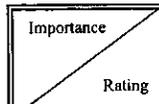
NAME	TITLE	EEO POLICY, BENEFITS MEMO SIGNATURE 3/22/07
Newman, Glenn	President of Tax Commission	<i>[Signature]</i>
Schneider, Reed	General Counsel	<i>[Signature]</i>
Hall, Myrna	Director of Operations	<i>[Signature]</i>
Ahmad, Iftikhar	Director of IT Group	<i>[Signature]</i>
Silvestri, Carlo	Director of App. & Hearings	<i>[Signature]</i>
Leonard, Pickett	Assist Counsel	<i>[Signature]</i>
Nichols, Thomas	Deputy Dir. of App. & Hearings	<i>[Signature]</i>
Arigo, Joseph	City Assessor	<i>[Signature]</i>
Babb, Rosemarie	City Assessor	<i>[Signature]</i>
Baschwitz, Stephen	City Assessor	<i>[Signature]</i>
Bednar, John	City Assessor	<i>[Signature]</i>
Butler, Roberta	City Assessor	<i>[Signature]</i>
Dunay, David	City Assessor	<i>[Signature]</i>
Greene, John	City Assessor	<i>[Signature]</i> revised 3-22-07
Mccormick, Daria	City Assessor	<i>[Signature]</i>
Rizzo, Robert	City Assessor	<i>[Signature]</i>
Tang, Louisa	City Assessor	<i>[Signature]</i>
Cheng, Sui K	Deputy Director of IT Group	<i>[Signature]</i>
Tan, Jianming	Cert.Database Administrator	<i>[Signature]</i>
Tsang, Siu F	Computer Associate (Software)	<i>[Signature]</i>
Basdeo, Desmond	Computer Programmer Analyst	<i>[Signature]</i>
Sanchez, Nelson	Assistant Director of Operations	<i>[Signature]</i>
Martinez, Starr	Secretary To The Tax Comm.	<i>[Signature]</i>
Chambers, Peggy	P.A.A., Procurement	<i>[Signature]</i>
Hopkins, Norvella	P.A.A., Sec. of App. & Hearings	<i>[Signature]</i>
Rodriguez, Minerva	P.A.A., Persl/Pyrl/Tmkg	<i>[Signature]</i>
Small, Stephen	P.A.A., Operations	<i>[Signature]</i>
Voscina, Roy	Clerical Aide of App. & Hearings	<i>[Signature]</i>
PENDING	Commissioner (Part Time)	<i>[Signature]</i>
Grossman, Susan	Commissioner (Part Time)	<i>[Signature]</i>
Gymesi, Aladar	Commissioner (Part Time)	" ↑ "
Olick, Alice	Commissioner (Part Time)	" ↓ "
Stabile, Richard	Commissioner (Part Time)	" ↓ "
Tzanides, Kyriakos	Commissioner (Part Time)	" ↓ "
Jones, Brenda	Community Assistant (Part Time)	<i>[Signature]</i>
Wells, Gilbert	Community Assistant (Part Time)	<i>[Signature]</i>

3/22/07

**MANAGERIAL PERFORMANCE EVALUATION FORM**

NAME	SOC. SEC. NO.
TITLE AND ASSIGNMENT	
RATING PERIOD: FROM	NAME OF SUPERVISOR TO

**A. POSITION RESPONSIBILITIES & PERFORMANCE EXPECTATIONS**

1.	
2.	
3.	
4.	
5.	
6.	

**IMPORTANCE INDEX**

H. HIGHLY IMPORTANT      I. IMPORTANT      L. LOW IMPORTANCE

**RATING SCALE**

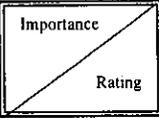
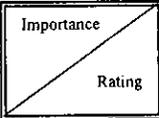
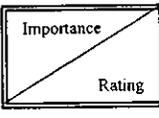
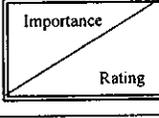
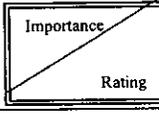
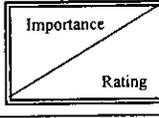
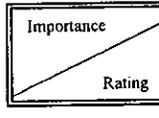
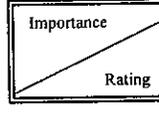
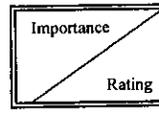
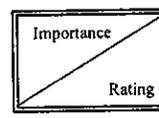
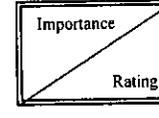
5 EXCEPTIONAL    4 GREATLY EXCEEDS REQUIREMENTS    3 FULLY MEETS REQUIREMENTS    2 NEEDS IMPROVEMENT    1 UNSATISFACTORY

**Overall  
Rating**

**NOT RATED OR NOT APPLICABLE (NR OR NA)**

Performance cannot be rated, due to insufficient time in position, or the factor to be rated is not applicable.

**B. MANAGERIAL RESPONSIBILITIES & PERFORMANCE EXPECTATIONS**

<p><b>I. Representing and Coordinating</b> This accountability area focuses upon the external communications for which managers are responsible. It may include being a representative or spokesperson for the work unit or agency, or coordinating activities of the unit with other work units and organizations.</p>	<p><b>1. Representation</b> Presenting, explaining and marketing the work unit's activities to higher level supervisors in the agency and/or persons and groups outside the agency.</p>	
	<p><b>2. Coordination</b> Performing liaison functions and integrating work unit activities with the activities of other organizations.</p>	
<p><b>II. Planning and Guiding</b> This accountability area includes activities required to establish a work unit's goals, objectives and priorities, and the structures and processes necessary to carry them out.</p>	<p><b>3. Work Unit Planning</b> Developing and deciding on long-term goals, Objectives, and priorities; and developing and deciding among alternative courses of action.</p>	
	<p><b>4. Work Unit Guidance</b> Converting plans to actions by setting short-term objectives and priorities; scheduling/sequencing activities; and establishing effectiveness and efficiency standards/guidelines.</p>	
<p><b>III. Administrating Financial and Material Resources</b> This accountability area deals with responsibilities and procedures for obtaining and allocating the financial and material resources necessary to support program and policy implementation.</p>	<p><b>5. Budgeting</b> Preparing, justifying and/or administering the work unit's budget.</p>	
	<p><b>6. Material Resources Administration</b> Assuring the availability of adequate supplies, equipment and facilities ; overseeing procurement/contracting activities; and/or overseeing logistical operations.</p>	
<p><b>IV. Utilizing Human Resources</b> This accountability area covers responsibilities and processes for assuring that people are appropriately employed, effectively and efficiently utilized, and dealt with in a fair and equitable manner consistent with citywide EEO guidelines.</p>	<p><b>7. Personnel Management</b> Projecting the number and types of staff needed by the work unit and using various personnel management system components (e.g.; recruitment, selection, promotion, performance appraisal) in managing the unit.</p>	
	<p><b>8. Supervision</b> Providing day-to-day guidance and oversight of subordinates (e.g.; work assignments, consultation, etc.); and actively working to promote and recognize performance.</p>	
<p><b>V. Reviewing Implementation and Results</b> This accountability area requires ensuring that programs, projects and policies are being implemented and adjusted as necessary, and that goals and objectives are being accomplished.</p>	<p><b>9. Work Unit Monitoring</b> Keeping up-to-date on the overall status of activities in the work unit, identifying problem areas and taking corrective actions (e.g.; rescheduling, reallocating resources, etc.)</p>	
	<p><b>10. Program Evaluation</b> Critically assessing the degree to which Program/project goals are achieved and the overall effectiveness/efficiency of work unit operations in order to identify means for improving work unit performance.</p>	
<p><b>VI. Other Managerial Accountabilities</b></p>		

**IMPORTANCE INDEX**  
 H. HIGHLY IMPORTANT      I. IMPORTANT      L. LOW IMPORTANCE

**RATING SCALE**  
 5 EXCEPTIONAL    4 GREATLY EXCEEDS REQUIREMENTS    3 FULLY MEETS REQUIREMENTS    2 NEEDS IMPROVEMENT    1 UNSATISFACTORY

**NOT RATED OR NOT APPLICABLE (NR OR NA)**  
 Performance cannot be rated, due to insufficient time in position, or the factor to be rated is not applicable.

**C. RATING JUSTIFICATION COMMENTS**

Individual ratings above or below 'Fully Meets Requirements' for rated responsibilities in sections A and B must have supporting comments/justifications. (List comments below and identify by Section and number the applicable Responsibility.)

**D. COMMENTS/JUSTIFICATIONS FOR OVERALL RATING:**

(Include significant factors impacting overall performance level/rating not accounted for elsewhere.)

**E. RECOMMENDATIONS/PLANS:**

**F. EMPLOYEE COMMENTS:**

(Note: The employee's signature below does not indicate agreement with appraisal, but that appraisal has been communicated to the employee.)

RATING MANAGER'S SIGNATURE:

\_\_\_\_\_ JANUARY \_\_\_\_\_

RATING MANAGER'S SIGNATURE:

\_\_\_\_\_ DECEMBER \_\_\_\_\_

EMPLOYEE'S SIGNATURE:

\_\_\_\_\_ JANUARY \_\_\_\_\_

REVIEWING MANAGER'S SIGNATURE:

\_\_\_\_\_ JANUARY \_\_\_\_\_

REVIEWING MANAGER'S SIGNATURE:

\_\_\_\_\_ DECEMBER \_\_\_\_\_

EMPLOYEE'S SIGNATURE:

\_\_\_\_\_ DECEMBER \_\_\_\_\_