NYC Department of Finance

EMPLOYEE HANDBOOK

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MANAGERIAL PROVISIONS

Department of Finance

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JACQUES JIHA,
Ph.D.
Commissioner

April 11, 2016

Dear Department of Finance Employees:

It is my privilege to welcome you to the Department of Finance (DOF).

As a DOF employee, you are part of a team that contributes to the foundation of New York City's financial health. Every day, we work to fulfill a very important mission: To administer the tax and revenue laws of the City fairly, efficiently and transparently to instill public confidence and encourage compliance, while providing exceptional customer service.

The core of our business includes valuing more than one million properties, maintaining the City's treasury, adjudicating parking tickets and collecting city debt, as well as advising the Mayor's Office on the pension system.

Our work impacts all New Yorkers. We make sure that eligible people receive the benefits to which they are entitled, protect homeowners from deed fraud, and provide tax relief to small business owners.

To better serve our customers, we are expected and required to follow the highest standards of integrity and compliance with citywide requirements. We are also committed to being a great place to work. This handbook is intended to provide you with a clear understanding of what is expected from all employees and what you can expect from the agency. The policies expressed in this handbook are designed to create a positive and well-informed work environment.

The Employee Handbook provides important information and is a valuable resource to assist you with navigating the rules and regulations of New York City government. Within the handbook you will find important information about policies and conduct, time and leave support, personnel and payroll issues, and much more.

For easy reference, the handbook is available on the DOF Intranet at (FinanceNet). I invite you to explore all of the resources and opportunities that DOF has available, as well as review information and guidance that are essential to your employment.

I am proud to lead this Agency and look forward to working with you as we continue to improve the lives of the people we serve. Thank you for all you do every day for every single New Yorker. Keep up the good work.

Sincerely,

Jacque Jiha, Ph.D.
Commissioner

ABOUT THIS HANDBOOK

This handbook has been compiled to present information and answer questions employees may have about working in the Department of Finance (DOF). The handbook contains information about agency-wide and citywide policies, procedures, benefits, rights, and responsibilities.

This handbook was updated and reissued to DOF employees in March, 2016. It is a set of guidelines that may change at the discretion of the Department, or as a result of changes in citywide policies. Periodically, employees will receive updated information via the Employee Services Helpline. This handbook covers all Department of Finance employees. Nothing in this handbook is intended to supersede existing citywide policy or the citywide Collective Bargaining agreement.

If you have questions about the contents of this handbook, please contact your supervisor or the Employee Services Helpline at 212-291-HELP (4357) or EmployeeHelp@finance.nyc.gov.

Throughout the handbook, you will find references to employees as civil service, provisional, exempt, labor class or non-competitive. These terms are defined in Section IV. At the end of this handbook you will find an appendix containing Policies and Procedures. Please refer to them as you go through the handbook. The Policies and Procedures in this handbook supersede all previously distributed Policies and Procedures. Any policies that do not appear in this version are no longer in effect.

Conflicts with Federal, State, or Local Laws: To the extent that any policy may conflict with Federal, State or local laws, the City will abide by the applicable Federal, State or local law.

Employees may access the Department of Finance's website—www.nyc.gov/dof—to find public information about our operations, such as tax forms and methods of paying parking tickets.

In addition, employees of the Department of Finance may access the Department of Finance intranet at http://financenet. It is a one-stop resource for services and information.

We hope this handbook will be useful to you throughout your career in the Department of Finance.

The Role of the Department of Finance

The New York City Department of Finance administers the tax and revenue laws of the City fairly, efficiently and transparently, to instill public confidence and encourage compliance, while providing exceptional customer service.

These **Key Pillars** are defined as follows:

- **Efficiency:** Administration of the New York City tax and revenue laws in a manner that will maximize revenues and minimize associated costs.
- **Fairness:** Ensure equitable and consistent application of tax laws, policies and procedure.
- **Transparency:** Make information/data related to tax policy and procedures, Agency budgeting and spending, publicly available to New York City residents, businesses and organizations.
- **Customer Service**: Provide convenient access to information/data regarding tax policies, procedures and programs, to ensure people are aware of and receive the benefits they are entitled to.

Today, the Department of Finance's staff of more than 2,000 administers and collects 19 separate taxes, coordinates the collection of 5 City taxes collected by the State of New York on the City's behalf, and collects fines for parking violations and other debts to the City. In addition, the Department of Finance is responsible for assessing the value of all real property in the City, investing and managing funds in the City Treasury, and recording all deeds and mortgages. The Sheriff acts as the City's chief civil law enforcement officer and through the Mayor's Office of Pensions and Investments, DOF staff advises the Administration of the City pension system and Deferred Compensation Plan.

The billions of dollars collected by the Department of Finance each year are used to provide a wide range of services to the City's residents and business enterprises. The revenue we collect provides for better schools, safer streets and cleaner parks.

Your Role at the Department of Finance

As public servants, especially those who collect taxes, fees, and fines, we are charged with following the rules and providing fair, transparent and efficient customer service while treating all members of the public with respect and courtesy. Regardless of your specific role, you are supporting the core mission of the Department.

POLICIES AND EMPLOYEE CONDUCT

Equal Employment Opportunity (EEO)

Policy Statement

The Department of Finance (DOF) encourages a respectful work environment in which all employees know and understand their rights and obligations under the City's EEO Policy. We are committed to fostering a discrimination-free workplace through education and dialogue, and to developing and retaining a diverse and inclusive workforce that reflects our City's population. Understanding and appreciating one another's differences drives stronger performance and makes the workplace a more interesting and respectful place. All personnel at every level within our Agency should strive to create a work environment of inclusion and fairness so that we can all be proud to be Department of Finance employees.

All DOF employees are directed to comply with the New York City Equal Employment Opportunity Policy. The EEO Policy can be accessed on the Agency Intranet at http://financenet/html/eeo.html. The "*About EEO: What You May Not Know"* booklet can also be accessed on the Department of Citywide Administrative Services (DCAS) website at http://www.nyc.gov/html/dcas/html/about/eeo_booklet.shtml.

The EEO Policy prohibits discriminatory employment actions against, and treatment of, City employees and applicants for employment based on actual or perceived race, color, national origin, alienage or citizenship status, religion or creed, gender (including "gender identity" which refers to a person's actual or perceived sex, and includes self-image, appearance, behavior or expression, whether or not different from that traditionally associated with the legal sex assigned to the person at birth), disability, age (18 and over), military status, prior record of arrest or conviction, marital status, partnership status, genetic information or predisposing genetic characteristic, sexual orientation, status as a victim or witness of domestic violence, sex offenses or stalking, unemployment status, or pregnancy. In addition, the EEO Policy contains special sections on Sexual Harassment, Disabilities, Retaliation and Requests for Reasonable Accommodations (for people with disabilities; religious observances, beliefs or practices; victims of domestic violence, sexual offenses or stalking; or pregnancy, childbirth or related medical condition).

Employees are instructed to read the Commissioner's Policy Statement on Equal Employment Opportunities, Policy #100-1 and the Sexual Harassment Policy Statement, Policy #100-3 located at the back of this handbook.

Our Agency EEO program requires the following:

- All Department of Finance managers and supervisors are required to meet with their staff at least twice yearly to emphasize their commitment to the City's EEO Policy, and to discuss the rights of each employee under the City's EEO Policy. The EEO discussion can be part of a normal staff meeting or a separate meeting. After the EEO discussion with staff, each manager and supervisor should provide the EEO Office with documentation of such meetings via email for EEO audit purposes. Employees serving in managerial (M-titles) and not supervising employees are expected to forward email commitments to the EEO Office twice per year.
- All managers, supervisors and staff who participate on an employment interview panel should have attended Structured Interviewing training. Structured Interviewing material can be accessed on the Agency Intranet at http://financenet/html/forms_structured_interviews.html.
- All Department of Finance employees are required to take the Equal Employment Opportunity computer based training shorty after starting employment. In addition, the Department will provide an EEO computer–based training link from the DCAS' Office of Citywide Diversity and EEO to all employees every two years. The online training includes employee's rights and responsibilities, guidelines from the City's EEO Policy, and the discrimination complaint and investigation procedures. Managers and supervisors should ensure staff participation in the mandatory EEO training. The Employee Services' Training and Professional Development Unit oversees enrollment and will notify employees when they are scheduled for this training.
- All Department of Finance managers, supervisors and employees are required to receive diversity and inclusion training. The Training and Professional Development Unit oversees enrollment and will notify employees when they are scheduled for this training.

Employees are encouraged to access the resources available within the Department of Finance and to address any concerns they have to the Agency's EEO Officer (see telephone number at the back of this book).

Code of Conduct

The Department of Finance has a written Code of Conduct that, specifically describes the behavior expected of all employees of the Department. Employees should make certain to read it carefully and understand its provisions. Violations of the Code may result in disciplinary actions. The Department Advocate at DOF and the New York City Department of Investigation are responsible for enforcing the Code of Conduct and other standards for employee discipline. The Code of Conduct covers such areas as general misconduct; misuse of City and/or Department equipment and materials; use of alcoholic beverages, controlled substances, and drugs; incompetence; misuse of time and attendance; and arrests and criminal activities.

The entire Code of Conduct can be found on DOF's Intranet at http://financenet/html/forms_advocate.html.

Employees Convicted of Misdemeanor Crimes of Domestic Violence

Under the federal Omnibus Consolidated Appropriations Act of 1997, amending the Gun Control Act of 1968 (GCA), it is unlawful for any person convicted of a "misdemeanor crime of domestic violence" to possess firearms or ammunition. To ensure compliance with this law, all employees who carry firearms as part of their jobs must report any convictions of a "misdemeanor crime of domestic violence" to the Department Advocate and the Department of Investigation and must relinquish their firearms to the Department.

Tax Secrecy and Confidential Information

Employees of the Department of Finance are forbidden to disclose or use for personal gain any confidential information they have learned as a City employee. Employees are required to maintain the confidentiality of tax information and other information protected under City, State, and Federal laws. Employees are required to sign the tax–secrecy statement and comply with its provisions. The confidentiality of tax information and tax return information is vital to the integrity and success of tax administration. There are also other types of information that are considered to be confidential in order to protect the safety and privacy of individuals. Some examples of this kind of information include personal information derived from motor vehicle records, social security numbers, medical information and personal information derived from personnel records. Improper disclosure of confidential information protected by tax secrecy law or other laws or policies can result in disciplinary action, civil and/or criminal fines and imprisonment. ***Even among your Department of Finance co-workers, such information should only be shared on a "need-to-know" basis.***

Employees are required to read and strictly follow the annual tax–secrecy notice regarding "*Access, Inspection, Use, and Disposal of Tax Secret & Confidential Information*" found at http://financenet/pdf/tax_secrecy.pdf and Policy #500-1, Computer Security, which are located at the back of this handbook.

Communications and Public Relations

Employees should never make any statement to the press; release any confidential information, including information from internal meetings; or issue any materials for publication and/or release through any medium of communication—including social media—in response to any public, private or

Governmental inquiry without authorization. All such inquiries must be immediately referred to the Agency's Press Office (see telephone number at the back of this handbook).

Conflicts of Interest

All City employees are governed by the NYC Conflicts of Interest Law. The Conflicts of Interest Law embodies a code of ethics for City employees. The law contains rules defining permitted and prohibited conduct regarding gifts from individuals or firms that do business with the City, secondary employment, private financial interests, political activities, volunteer work for not-for-profit organizations, use of confidential information obtained through your job, limits on your dealings with City agencies after the employee leaves City service, and other topics.

The Conflicts of Interest Board (COIB) is responsible for monitoring the law and issuing advisory opinions regarding whether a particular activity constitutes a conflict of interest under the law. If employees have questions regarding the Conflicts of Interest Law, they may contact the Department of Finance's Office of Legal Affairs or the COIB.

Given the nature of our jobs in the Department of Finance, in some situations involving gifts, real estate ownership, outside employment and outside activities, the Department of Finance's policies are stricter than the Conflicts of Interest Law. For example, DOF employees are prohibited from accepting any gifts. Employees are required to read and abide by the policies set forth in:

- Policy #200-1 Outside Activities;
- Policy #200-2 Real Estate Ownership for Investment Purposes (Property Division);
- Policy #200-3 Prohibition Against Accepting Gifts;
- Policy #200-7 Processing Transactions for Family, Friends and Business Associates.

These policies and procedures are located at the back of this handbook.

Outside Activities

Employees must obtain official agency approval before engaging in any outside employment or other outside activity (even if the Conflicts of Interest Board has advised that there is no apparent conflict of interest). "Outside activities" include, but are not limited to, paid or unpaid work with a secondary employer, and self-employment.

Please read Policy and Procedure #200-1 regarding Outside Activities, along with the Request for Outside Activities form. The Policy and the request form are posted on the DOF's Intranet http://financenet/html/policy.html. There are certain restrictions for specific titles and units at the Department of Finance; however, the following outside activities will not be approved for any DOF employee:

- Engaging in any Federal, New York State, or New York City tax-related legal or accounting practice, tax consultation, and/or tax preparation. This does not include providing tax preparation assistance to immediate family members (such as parents, siblings, children, spouse, and in-laws) at no charge.
- Any tax-related appearance before any Federal, New York State, or New York City authority and/or any Federal, New York State, or New York City court or the rendering of any tax advice in relation thereto.
- The preparation of returns or reports involving any taxes administered by the City of New York, State of New York, or Internal Revenue Service for an individual or entity. This includes, but is not limited to, Sales Tax, Personal Income Tax, and Non-Resident Earnings Tax.

Employees who have any questions or need additional information should contact EmployeeHelp@finance.nyc.gov.

Real Estate Ownership for Investment Purposes and Real Estate Ownership by Employees Serving in Assessment-Related Titles or Positions

Employees who are considering ownership of New York City real estate for investment purposes, and are in an assessment-related title or position, or in another title or position designated by the Commissioner, are instructed to read and comply with Department's Policy and Procedure on Real Estate Ownership for Investment Purpose, Policy #200-2, which is located at the back of this handbook.

Employees who seek to own New York City real estate for investment purposes are responsible to be certain that their ownership of an income–producing property does not cause a conflict of interest with their City job responsibilities.

Employees who are serving in an assessment-related title or position, or in another title or position, as designated by the Commissioner, must, on July 1 of each year, notify the Department of the full extent of their investment for profit in New York City real estate by completing the disclosure form. The form may be found on the DOF's Intranet at http://financenet/html/policy.html.

Financial Disclosure Report Filing

New York City's financial disclosure law, Section 12–110 of the City's Administrative Code, requires that more than 8,000 New York City employees and elected officials file annual reports of their financial affairs, as well as the financial affairs of their spouses or domestic partners and dependent children. The purpose of the financial disclosure law is to provide accountability on the part of public servants, and to help ensure that there are no prohibited conflicts of interest between City employees' official responsibilities and private interests. The law is administered and enforced by the NYC Conflicts of Interest Board (COIB), as mandated by the NYC Charter. Employees will be advised if they are required to file an electronic financial disclosure report and provided with instructions on how and when to file. Even if the employee leaves City government during the year, the employee is still required to file a financial disclosure report if he or she was in a covered position during any part of the year.

In general, the following categories of employees are required to file: Employees whose duties involve the negotiation, authorization, or approval of contracts or leases, and employees who are part of the Management Pay Plan in a level M-4 or above. The annual financial disclosure reports are filed with the Department of Investigation (DOI). In addition, all who hold policy making positions; or whose job involves the negotiation, authorization, or approval of contracts or leases, or who are serving in an assessing title must file a financial disclosure report with the COIB. Other employees who negotiate or settle taxes or fees may be required to file DOI or COIB disclosure forms.

Employment of Relatives and Other Personal Business or Financial Relationships

The Department of Finance's Policy and Procedure #200-4 on Employment of Relatives and Other Personal Business or Financial Relationships is in place to avoid any appearance of impropriety or conflict of interest which may result in the employment of an immediate or extended family member. This has been expanded to include persons with whom the employee has a business, personal, or other financial relationship.

Please read the revised Policy and Procedure #200-4 located at the back of this handbook. The policy and the Applicant/Employee Disclosure Statement form are also posted on the DOF's Intranet http://financenet/html/policy.html.

Some highlights of the updates are:

- "Family members" are defined as an employee's parent, spouse, child, sister, brother, niece, nephew, aunt, uncle, cousin, grandparent, grandchild, domestic partner, or the spouse or child of any of the foregoing or any person bearing the same relationship to the employee's spouse or domestic partner.

  Employees in a "business, personal, or other financial relationship" include romantic relationships, roommates, business partners or any other relationships that may include a financial interest.

- Employees are responsible for notifying their manager, by submitting a new form, within 30 days of any event (e.g., marriage, divorce, adoption, death, transfer, reassignment, reorganization, termination of a personal, business or financial relationship etc.) that may create an appearance of impropriety or change the working relationship with any other employee in the Department.

Employees who have any questions or need additional information should contact EmployeeHelp@finance.nyc.gov.

Authorized Drivers

As determined by the Division Head, Authorized Drivers are employees with duties and responsibilities that meet at least one of the following requirements:

- An employee whose job duties require him/her to operate a City-owned vehicle or a personally-owned vehicle in order to conduct City business on a regular basis.
- An employee who is assigned a City-owned or leased vehicle on a full-time basis.
- An employee who operates a City-owned vehicle or personally-owned vehicle on an occasional basis to conduct City business.

When this determination is made, the Division Head will submit a written request to the Operational Services/Fleet Unit to have the employee approved as an authorized driver. The employee must complete an "Authorized Drivers Application" form, which has been signed by the Division Head, and submit the following documents to the Fleet Unit for investigative purposes:

1. A copy of the employee's driver's license and registration for all private vehicles that may be used to conduct official business.
2. If the employee does not live in New York State, a recent original copy of an officially stamped "DMV License Abstract" from the state that has issued his/her driver's license.
3. A copy of the employee's Department of Finance ID card.

When the request is approved or disapproved, the Division Head and the employee will receive written notification.

Authorized drivers are bound by the policies and procedures outlined in the **"***Regulations for City Vehicle Drivers***"** manual and all subsequent agency directives. The manual may be found on the Agency Intranet at

http://financenet/html/forms_facilities_management.html.

Parking Permits

Some Department of Finance employees may be issued a parking permit for their personal vehicle when the vehicle is used on a regular basis for official business purposes only (including "various" permits not assigned to anyone in particular). Based on agency operational needs, division heads are responsible for recommending which employees may apply for a parking permit.

Employees may only display permits that are authorized by the Department of Finance.

Parking Tickets

Official Business
When an employee who has been designated as an "Authorized Driver" receives a summons while operating a City-owned vehicle or a privately owned vehicle on official business, the "Authorized Driver" must follow the Department's Official Business Defense (OBD) Policy and Procedure, Policy #200-6, which is located at the back of this handbook.

Please note that only employees who are on the "Authorized Drivers List" maintained by the Operational Services' Fleet Unit can appeal a parking ticket received while conducting official business through this process.

Personal Business
To avoid any appearance of impropriety or conflict of interest which, may result when a DOF employee contests a New York City parking ticket, Department of Finance has a Special Employee Summons Panel for employees to contest parking summonses.

As per Policy and Procedure # 200-7, employees who wish to contest a New York City parking violation summons issued in relation to a privately owned vehicle, operated or registered by the employee, should submit their defense in writing to the Special Employee Summons Panel by sending all documentation to:

New York City Department of Finance
Attn: Appeals Adjudication Unit
66 John Street, 3rd Floor
New York, NY 10038

Processing Transactions for Family, Friends, and Business Associates

Any Department of Finance employee with access to update the Department's data processing system for parking violations, the Summons Tracking Accounts Receivables System (STARS) and the NYCServ system or the capacity to determine claims, shall not do so in relation to any matter for which they themselves, a friend, relative, or personal acquaintance may be liable. An employee who has update access to STARS, NYCServ or the capacity to determine claims, may not update STARS, NYCServ or determine a claim, in relation to any matter for which a Department of Finance employee (including themselves), Administrative Law Judge (ALJ), or spouse or child of a Department of Finance employee or ALJ may be liable (except in the context of the Special Employee Summons Panel described above). See Policy #200-7 which is located at the back of this handbook.

Employees are prohibited from submitting, or causing another person to submit, a summons as a claim or for adjudication to any unit of the Department of Finance other than the Special Employee Summons Panel or OBD Liaison.

Compliance with Tax Laws

Department of Finance employees are expected to obey all Federal, State and local laws. This includes filing all required tax returns and remitting any and all taxes, penalties and interest finally determined to be due. In particular, because the Agency enforces tax laws, a violation of those laws by DOF employees would bring public criticism or disfavor upon the Department.

Employees are expected to file their Federal, State and Local tax returns on time, or if necessary, request an extension as permitted by law. Employees are expected to pay any tax due on time or in accordance with pre-arranged deferred payment agreements.

City Tax Waiver
In accordance with Section 1127 of the City Charter, City employees hired after January 1, 1973, and who reside outside of the five boroughs of the City of New York, are required to sign an agreement to pay to the City "an amount equal to the City personal income tax they would pay if they were residents." The appropriate deduction appears on the employee's paycheck under City Tax Waiver. For more information, access the Agency's website at http://www1.nyc.gov/site/finance/taxes/personal-income-tax-and-non-resident-employees.page.

City employees who are subject to this requirement are also required to file a return with the Department of Finance by May 15 of each year. These returns are subject to audit.

Residency Requirement

Except for certain exemptions listed below, employees appointed or promoted to a position in City service on or after September 1, 1986, must be a resident of the five boroughs of the City of New York, or agree to become a resident within 90 days of their appointment.

Employees who have completed two years of City service shall be deemed to be in compliance with the residency requirements of this section if they wish to become a resident of Nassau, Westchester, Suffolk, Orange, Rockland, or Putnam Counties. Under Executive Order 131, the Mayor has determined that employees serving in certain senior management positions are required to maintain City residency.

Employees whose City start date is prior to September 1, 1986, and who are serving in a title, for which they were appointed or promoted from a civil service list, are exempt from the City's residency requirement.

Any employee, regardless of City start date, who is provisionally promoted or appointed to a non-competitive, exempt or labor class title that has not been designated by DCAS as difficult to recruit and excused from these residence requirements, must become a resident of the City of New York within one year of the promotion or appointment; unless the employee has completed two years of City service and lives in one of the six counties listed above.

Employees who have not completed two years of City service are required to maintain City residence while on any leave of absence. Any questions regarding the employee's residency status must be submitted to the Employee Helpline, in writing, prior to commencing any leave of absence, to ensure continued compliance.

Professional Attire

The Department of Finance is a professional organization that interfaces with the public, other State and City agencies and the business community. In accordance with the Code of Conduct, staff members are expected to maintain a neat personal appearance appropriate for his/her position and the standards set by management. Clothing and appearance should be neat, clean and professional. Professional attire enables employees to project a professional business like image to taxpayers, respondents, practitioners and others. It communicates the message that you take your work and their needs seriously and that we are responsible, dependable and will treat them fairly and with respect.

Staff members are expected to dress in appropriate business attire from Monday through Thursday. More casual business attire is acceptable on Fridays, except for employees who will attend outside meetings or meetings with the public, taxpayers, respondents, and others.

For guidance, here are examples of what is considered to be *appropriate* and *inappropriate* business attire**:**

- **Appropriate Business Attire (Monday-Thursday)**

  Business suits, businesslike dresses, a dress shirt with dress pants, or coordinated separates worn with or without a blazer, jacket or cardigan, tie, and a sport coat, with office-appropriate shoes or boots.

- **Casual Business Attire (On Fridays)**

  Examples of Appropriate Attire: Slacks, including cotton slacks, dark colored jeans, skirts or casual dresses. Shirts, including short or long sleeves, blouses, polo or golf shirts, and other shirts with collars. All clothing must be clean, free of rips, tears, fraying, and may not be excessively tight or revealing. **Shoes designed for business purposes,** including casual, low heel shoes, sandals, boating or deck shoes, dark colored sneakers, or other shoes as medically needed.

  Examples of Inappropriate Attire: Sweatpants, leggings, transparent clothing, exercise wear and shorts/skorts. T-shirts with printed message, slogan, political message, or obscene or disrespectful message, sweatshirts, beachwear. Tank tops, cropped tops, backless, strapless or spaghetti straps, unless such garments are covered by another article of clothing (e.g. sweater, jacket, cardigan). **Inappropriate footwear** includes flip flops, slippers, or similar type shoes.

A reasonable accommodation for clothing and/or footwear will be made for religious or medical needs as necessary.

You may be asked to leave the worksite for failing to comply with this directive. Your leave balance will be charged for such time. Continued failure to follow these rules may be construed as a violation of the Code of Conduct and appropriate action may be taken against the employee.

Management may make exceptions for special occasions, and will work with Human Resources to determine whether attire is professional on a case-by-case basis.

This policy does not apply to uniformed personnel. Staff performing manual labor on a given day can dress in a manner approved by their supervisor.

Controlled Substance and Alcohol Use Testing

The Department of Finance requires a drug-free and alcohol-free workplace. Employees are prohibited from using alcohol, controlled substances, or unauthorized prescription drugs on City premises and are expected to be drug and alcohol-free while performing their assigned duties. Employees who are experiencing alcohol or drug-related problems may seek assistance from the NYC Office of Labor Relations Employee Assistance Program (see telephone number at the back of this handbook).

Employees who are required to have a Commercial Driver's License (CDL) are subject to testing for drug and alcohol abuse in accordance with the Omnibus Transportation Testing Act of 1991. In the Department of Finance, this law affects primarily those employees who are in the City Laborer and Motor Vehicle Operator titles. Under the law, employees who are in positions requiring a Commercial Driver’s License (regardless of whether the employee will be operating a commercial vehicle full-time, on a casual, intermittent, or occasional basis) must be tested for drug use before hiring; when there is reasonable suspicion of alcohol or drug use; after an accident; or on a random basis. Separate confidential records of all alcohol and drug tests will be maintained.

Employees in affected positions under the Act are prohibited from having any alcohol, controlled substance, or unauthorized prescription drugs in their system during working hours. Employees are prohibited from using alcohol and/or controlled substances during their off-duty hours or while on leave that may impair their ability to perform their duties upon their return to work.

If an employee receives a positive test result, he or she may request that a laboratory that is certified and monitored by the Department of Health and Human Services, at the employee’s expense, verify the positive test result. The employee with a positive test result will be interviewed by a Medical Review Officer to determine if the positive test resulted from the unauthorized use of a controlled substance. If so, the employee will not be allowed to return to work until he or she has been evaluated by a substance abuse professional; has agreed to comply with any recommended treatment; and has taken a return-to- duty test with a negative result. Employees who test positive will be referred to the Department of Finance’s Office of the Advocate.

If an employee tests positive for drugs or alcohol, he or she will be immediately removed from safety-sensitive functions. Employees who test positive for any alcohol and/or drug will be suspended immediately pending disciplinary or other appropriate action. In addition, the Act requires that employees who refuse to submit to alcohol and/or drug tests will be considered to have a prohibited substance in their system and thus will be suspended and subject to disciplinary action.

No Smoking Policy

The Department of Finance has an agency-wide Smoke-Free Workplace Policy, in accordance with State and City laws. All employees and persons visiting the Department of Finance are expected to comply with the smoke-free workplace policy.

- Smoking is prohibited throughout the entire workplace, including all indoor facilities and Department vehicles.
- Any disputes concerning smoking should be handled as any other work-related problem, through the employee's supervisor. If the problem persists, an employee can lodge a complaint using the complaint procedure described in the Department's Smoke-Free Workplace Policy, Policy #200-9, which is located at the back of this handbook.
- The Department of Finance encourages all employees to quit smoking. Employees who want assistance may contact the Smoking Policy Coordinator, listed at the end of this handbook, regarding smoking cessation programs.
- There are no smoking breaks allowed.

Children in the Workplace

Employees with child care emergencies should only bring children into the office for brief periods of time and notify their supervisor before arrival. If an employee finds that his or her emergency child care situation requires more than a half a day, the Agency asks that you charge annual or compensatory time. Also, please be respectful of your fellow co-workers and do not bring a child to work who is too sick to go to school.

EMPLOYEE OPPORTUNITIES

Training

As part of the Employee Services Division's effort to train employees and provide enhanced educational opportunities, the Training and Professional Development Unit offers access to various training courses and programs for all levels of employees. These include webinars, lunchtime seminars and other training classes specifically designed for the Agency's employees. The Unit coordinates enrollment for all internal training courses and programs as well as any offered through the Citywide Training Center at DCAS or others outside the Agency.

Training classes and programs are usually announced through the Employee Helpline. For inquiries, please refer to the telephone numbers at the back of this handbook. Please be advised that employees must obtain their supervisor's approval to attend both internal and external training sessions.

Mandatory Training for All Employees:

About Finance Orientation

This interactive session features a small group setting with key speakers from the Employee Services Division and the Commissioner of Finance. Workshop topics include an overview of the Agency's history, mission, structure, core values, key functions, policies, procedures, resources and benefits.

Equal Employment Opportunity

This computer-based training course provides information on the rights and responsibilities of each employee regarding EEO Laws and workplace guidelines. Topics include discrimination complaint procedures, information about the Americans with Disabilities Act, the Family Medical Leave Act (FMLA), and an overview of the EEO laws.

Diversity and Inclusion Training: Everyone Matters

The City of New York is committed to serving its constituents most effectively by continuing to employ people of all backgrounds. We are proud our employees represent the full spectrum of diverse backgrounds (i.e. Cultural, ethnic, generational, religious, etc.), which mirror the community at large. This session gives employees the opportunity to hone their ability to better serve the vast diversity of all NYC communities and to learn to recognize the individual responsibilities associated with creating an inclusive work environment.

Right to Know: Office Safety and Health/Workplace Ethics (Workplace Violence Prevention)

The Right to Know Program is mandated by the Citywide Office of Safety and Health (COSH) and the NYS Department of Public Employee Safety and Health (PESH). The program covers use of chemicals in the workplace, ergonomics and video display terminals (PCs and other desktop computers), Workplace Violence Prevention, West Nile Virus and Anthrax Exposure Prevention. Training in Ethics is required and conducted by the NYC Department of Investigation and the Conflicts of Interest Board. The program covers the role of the Inspector General's Office, corruption awareness and reporting guidelines, the Conflicts of Interest Law and its meaning to City employees, policies and procedures on outside employment, giving and accepting gifts, business interests, confidentiality, and other related topics.

Mandatory Training for Managers and Supervisors:

Structured Interviewing

Structured Interviewing training is required for all Department of Finance managers, supervisors, and non-supervisory employees who participate in interviewing or making hiring recommendations. This workshop covers effective ways to establish a structured interview plan in accordance with EEO Laws and City guidelines. To access forms for use during the interview process, go to http://financenet/html/forms_structured_interviews.html.

Other Opportunities available to all employees are:

DCAS Courses

The Department of Citywide Administrative Services (DCAS) offers a selection of comprehensive professional development programs in areas such as Auditing, Communication, Computer Applications, Desktop e-Learning, IT Certification, Management and Supervision, Procurement, and Workplace Effectiveness. Courses are offered through the Citywide Training Center (CTC) on a wide range of topics of interest to all levels of employees. Since there is a cost associated with these courses, Agency approval is required. Applications must be submitted by the Training Unit to DCAS. If you have any questions, contact the Training Unit (see telephone number at the back of this handbook).

Course announcements are sent out by email by the Employee Helpline. You may also check the DCAS website for a full listing of all available courses at: http://www.nyc.gov/html/dcas/html/employees/learning_ctc_home.shtml.

The Mayor's Graduate Scholarship Program

Many colleges and universities in the City provide several full or partial scholarships for City employees pursuing master's degrees in such relevant fields as public administration, business administration or computer science. The filing period for the program is announced each year.

The Leadership Institute

The NYC Leadership Institute helps to prepare a select group of outstanding mid-level Agency executives to lead organizational change initiatives. By introducing these managers to state-of-the-art change models focusing on process and performance improvement, the Leadership Institute provides City Agencies with a skilled and innovative cadre of leaders ready to help our City face its operating and service challenges.

The Management Academy

The Management Academy is a program designed specifically for the City's new and emerging leaders. The Academy's goal is to expose participants to exceptional management practices and offer them a fuller understanding of the formal and informal processes that drive City government. Through workshops and opportunities to apply new skills and knowledge, the Academy prepares its participants to meet the unique demands of managing in City government.

The Hundred Year Association

In recognition of the close partnership between the New York City private sector and City government, the Association established its program to recognize outstanding New York City career civil service employees in 1958. Named for the Association's founder, the Isaac Liberman Public Service Awards for NYC Career Civil Service Employees are available to employees whose salaries do not exceed $90,000. Individual cash awards generally range from $1,000 to $6,000.

The Hundred Year Association also sponsors the *E. Virgil Conway College Scholar* Awards for students who are children of civil servants. At least one parent must be a permanent civil service employee with at least two years of continuous full-time service. Selection is based on scholastic achievement, Leadership and commitment, record of school and community activity and service, and SAT or ACT scores.

For more information on these programs, go to:
http://www.nyc.gov/html/dcas/html/employees/100year.shtml

The NYCertified Program

The NY Certified Program ensures the availability and quality of language services provided by multilingual City employees to customers whose proficiency in English is limited. Multilingual employees can volunteer to be part of the Citywide Language Bank and become NYCertified. The program includes a spoken or written language-proficiency assessment, and a seven-hour training session on interpretation (verbal) or translation (written) skills. More information about the program and details on how to register for NYCertified and the Volunteer Language Bank can be found at:
http://cityshare.nycnet/html/cityshare/html/nycertified/nycertified_landing.html.

Union Courses

Employee unions offer educational opportunities as well as college-sponsored programs. For further information on available courses and how to register, employees should contact their union representative.

Promotions

Wherever possible, the Department of Finance draws on the experience employees have gained and promotes from within. Promotions occur in two ways:

1. Civil service employees are eligible to take civil service exams for promotion. Employees who pass an exam and are on a civil service list are eligible for promotion, if an appropriate vacancy is available.

2. When there is no civil service list for a title; when the title is classified as non-competitive, exempt or labor; or when the action would result in a change in assignment level, employees may be eligible for appointment as long as they meet the eligibility or qualification requirements.

Job Vacancy Posting

The Department of Finance uses the City's eHire system, a module in the New York City Automated Personnel System (NYCAPS) that will allow employees to apply online for a position within the Department of Finance and most other City agencies. All DOF job-vacancy notices can be accessed through Employee Self Service (ESS). A job-vacancy notice gives details about the position available, the minimum education and experience requirements for the position, the salary range, and the deadline for applying for the position. In addition, emails are sent by the Employee Services Helpline to announce all DOF postings.

To begin a job search using eHire, log onto Employee Self Service and enter your seven-digit Employee ID number and your password. To access ESS go to www.nyc.gov/ESS.

Once logged in:

- Select "Recruiting Activities" and then select "Careers."
- In the "My Career Tools" box, select "My Profile" to review personal information. If changes need to be made, refer to the menu and click on Personal Information "to update name, address and/or contact information. Contact information must be accurate before you proceed with a job search.
- Once the contact information is accurate, return to "Recruiting Activities" and select "Careers" again.
- In the "Basic Job Search" box, go to the "Agency" drop down menu for, a list of all agencies that are currently using eHire, including the Department of Finance.
- When you select an agency, click the "search" button and that agency's job postings will appear. You can also enter a job title in the "Keywords" box and all available eHire postings in that title will appear.
- Select the position you are interested in applying for and the job posting will appear.

- To apply for the position, click on the “Apply Now” button. The system will take you through the steps necessary to have your application submitted for consideration.

Quality of Work Life (QWL)

The Department of Finance has an active labor-management Quality of Worklife (QWL) Program. QWL is a joint program co-sponsored by the Department and the various unions representing DOF employees. The program engages in activities to improve the quality of work life that is of mutual interest to management and labor. QWL activities are carried out by labor-management subcommittees on Career and Personnel Development and Employee Recognition. Over the years, QWL has been responsible for lunchtime seminars on various topics, health and education fairs, employee recognition ceremonies, and other activities such as, Project Linus, book, City Harvest Food, and toy drives, to enhance the quality of working life in the Department of Finance.

PERSONNEL AND PAYROLL ISSUES

Definitions – Employment Status

As you read this handbook, you will find references to rights or benefits, which vary according to your employment status. The employee status categories are defined below:

Civil Service – Employees appointed from civil service lists are considered civil service employees. Most civil service appointees must complete a one-year probationary period before receiving permanent employee status (this period may be reduced based on prior provisional service in the title, or extended as needed).

Provisional – Employees selected to fill vacant positions in competitive titles until appointments can be made from civil service lists are considered provisional. Provisional employees should stay informed of upcoming civil service exams, which may enable them to become civil service employees. Announcements of upcoming exams are sent to all employees via email by the Employee Helpline.

Non-Competitive – Employees in specially classified titles where it is not practical to hold competitive exams are considered non-competitive employees.

Exempt – Employees selected solely at the discretion of the Agency Head or the Mayor are considered exempt. Generally, these are executive-level managers who perform confidential work or work of a policy-making nature. There are no exams for these positions.

Labor Class – Employees in certain titles, which cannot be tested for by a written competitive exam, are considered labor class employees. The Department of Citywide Administrative Services (DCAS) prescribes the requirements and any qualifying tests for positions in this class.

Personnel Files and Records

Department of Finance active employees may review their personnel file once a year, and when any adverse personnel action is taken against the employee. To arrange for an appointment to review their file, the employee should contact the Deputy Director of Personnel or the File Room Coordinator (see telephone numbers at the back of this handbook). Although employees may not remove anything from their file, they may request a copy of a document and they have the right to answer any evaluatory statement filed and have the answer attached to the file copy. Employees will be charged 25 cents per page for copies of documents exceeding ten (10) pages.

An employee may not ordinarily review another employee's file. However, where necessary, a supervisor may request information from the personnel file of a direct report. See Policy and Procedure #300-3, Employee Personnel Files, for more information.

Employee Self-Service System

Employee Self-Service (ESS) is an online tool that gives employees instant access to their performance documents, personal, payroll, tax and health benefits information. It also allows employees to request an employment verification letter or apply for jobs. The system is available online 24/7, with brief maintenance windows that may occur in the evenings starting at 8:30 p.m. and on Sundays.

Here's how to access ESS:

- On the Internet, go to www.nyc.gov/ess
- On the Intranet, go to http://financenet/html/policy.html under CityShare Home
- Click the Employee Self-Service Log-In link and enter your ID number and Password
- Your ID number is your seven digit employee ID number also referred to as the Reference number, which you will find printed on your pay stub
- For first time ESS users, your initial password is the last two digits of your Social Security number and then your eight digit birth date (your birth date should be typed in the following format: MMDDYYYY).
- For returning users, if you are unable to remember your password, please use the "Forgot Your Password" feature.
- If you have trouble logging in, contact NYCAPS Central at EmployeeSupport@dcas.nyc.gov

To ensure that personnel, payroll and health benefits records are kept up-to-date, employees should review their online record and make any necessary changes. If an employee is considering moving outside New York City, he or she must contact the Employee Services Unit regarding residency requirements. Employees who live outside NYC are subject to provisions of Section 1127 of the City Charter. (See *Compliance with Tax Laws* in Section II for more information.)

Paychecks

Employees can view their pay stubs securely on ESS. They will be able to:

- view and print duplicates of their W-2 and 1127 forms from prior tax years;
- update direct deposit and tax withholding information;
- view pay details including hours worked and overtime amounts;
- view deductions taken over a given time period.

Employees who are NOT currently enrolled in Direct Deposit may use ESS to sign-up for Direct Deposit today. City employees receive FREE checking accounts with Direct Deposit at participating banks. For more details about this free checking offer, visit the Office of Payroll Administration's (OPA) website at: http://www.nyc.gov/html/opa/html/getting_paid/free_checking.shtml.

Employees have the option to continue receiving paper pay stubs by changing their "Print Status" in ESS.

Employees who wish to change the number of exemptions for withholding tax purposes must file a new W-4 for Federal taxes or IT-2104 for New York State & City taxes. These forms can be completed in ESS at http://cityshare.nycnet/ess or printed and sent to the Employee Services' Payroll Unit.

Please note: Under no circumstances will the City accept a claim of full tax exemption.

For full-time employees, the paycheck, direct deposit pay stub or ESS electronic record received on a payday covers a two-week period ending the Saturday before payday.

Most DOF employees receive their first paycheck within three weeks of their first day of work. The paycheck is retroactive to your first day of work.

Additional Pay

Some non-managerial employees are eligible for service differentials such as longevity payment, recurring increment payment, experience differential, and/or a service increment based on years of service in a particular title or title series. These are all negotiated between the City and the unions. In most cases, an employee needs a minimum of five continuous years of City service to be eligible.

Longevity Payment is:

- Based on years of service in a title or occupational group. Not every title has a longevity payment. Payment begins on the anniversary date after the employee has completed the required number of years of service, most commonly 15 years.

Recurring Increment Payment (RIP) is:

- Based on years of service. Not every title receives a RIP. Calculation for a new RIP payment is handled on a quarterly basis, similar to the way a Service Increment is paid, and is ongoing.

Experience Differential is:

- Paid to employees in certain titles who have successfully served for five years in the same title and level, provided that they are serving in a civil service title or have an underlying civil service title. When an employee receives a level or title change, the Experience Differential for the prior level or title expires. Only after successfully serving five years in the new level of an eligible title, will the employee be awarded the Experience Differential.

Service Increment is:

- Based on the number of years of service an employee has in a particular title series (e.g., City Tax Auditor). Service Increments begin on the first day of the fiscal year quarter (July 1, October 1, January 1, or April 1) following your anniversary date.

Assignment Differential is:

- Based on performing specific or unique tasks. Not all titles offer assignment differentials. Employees receive the assignment differential only while they are performing the specified duties. Assignment differentials do not become part of an employee's base salary. Employees lose their assignment differentials when they stop performing the duties or if they change job titles.

Shift Differential:

- Non-managerial employees hired before July 1, 2004 are entitled to a shift differential of 10% for all scheduled hours worked between 6 p.m. and 8 a.m. with more than one hour of work between 6 p.m. and 8 a.m. For employees hired after July 1, 2004, there shall be a night shift differential for all scheduled hours between 8 p.m. and 8 a.m. for the first three years of employment. At the beginning of the fourth year of service, night shift eligible hours are between 6 p.m. and 8 a.m.

Please note: An employee working overtime shall not receive a shift differential for such work.

Non-Managerial Performance Evaluation Program

The Department of Finance’s Evaluation Program is part of a citywide program mandated by the City Charter. This program provides regular feedback and communication about employee performance through written evaluations and appraisal conferences. The entire annual evaluation process is now prepared electronically through the ePerformance Module available through ESS. Please refer to Policy #400-1, *Non-Managerial Performance Evaluations*, for procedures.

Goals

This program is designed to:

- Encourage continuous communication between supervisors and employees
- Recognize positive performance

- Identify performance problems or deficiencies and develop plans for improvement
- Clarify expected standards of performance and assess actual performance in relation to those standards
- Provide information that is useful in making decisions regarding promotions, salary adjustments, training needs, professional development and disciplinary action.

Evaluation Period

The performance evaluation cycle for non-managerial employees who are not serving a probationary period begins every year on July 1 and ends the following June 30. Supervisors evaluate employees once each year during a formal appraisal conference at the end of each cycle.

The evaluation period for probationary employees varies based on their title class; see the ***Probationary Periods for Non-Tenured Employees*** section for more information.

Evaluation Process

Managers and supervisors evaluate employees based on key responsibilities and performance expectations. Key responsibilities are the major tasks or activities of the job. Performance expectations are the standards for measuring the performance of those activities. Tasks and Standards are developed jointly and should be agreed upon by the employee and his or her supervisor at the beginning of the rating period.

Appraisal Conference

The Appraisal Conference is a meeting between the employee and his or her supervisor to evaluate the employee's job performance during the prior 12-month Period and to establish and review Tasks and Standards for the next 12-month period.

Task Ratings

The following ratings are used in the performance evaluation: "Outstanding," "Very Good," "Good," "Marginal," "Unsatisfactory," and "Unratable." See Policy #400-1 for definitions of these ratings.

When an employee electronically signs and accepts the evaluation, he or she is confirming that the evaluation was reviewed and received. A signature does not mean that the employee agrees with the evaluation. Employees who receive an overall rating of less than "Good" may be re-evaluated within three months.

Appeal Procedure

An employee may appeal their evaluation rating. An employee may only appeal an overall evaluation rating if it is "Marginal," "Conditional," or "Unsatisfactory." Individual task ratings may not be appealed unless the overall evaluation rating is appealed. See Policy #400-1 for guidelines and appeal form.

Probationary Periods for Non-Tenured Employees and Employees Not Entitled To Disciplinary Procedure Rights

Employees appointed from an open competitive civil service list, other than for Deputy City Sheriff or City Assessor, are required to serve a probationary period of one (1) year. During this probationary period an employee will be evaluated four times (at three (3), six (6), nine (9), and eleven (11) months). Deputy City Sheriffs and City Assessors serve a two-year probationary period and will be evaluated at six (6), twelve (12), eighteen (18), and twenty-three (23) months.

Employees appointed from a civil service promotion list serve a probationary period of up to one year. Probation may be waived for civil service promotions.

Time served provisionally in the same title immediately prior to being appointed or promoted from a civil service list may be credited toward completion of the probationary period.

The probationary period for certain positions varies as follows:

- Labor class positions: one (1) year
- Exempt class positions: six (6) months
- Most non-competitive class positions: six (6) months; however, some non-competitive positions require a five-year probationary period

In addition, if an employee's assignment level changed, for example, from Principal Administrative Associate (PAA) Level I to PAA Level II, the employee will be evaluated six (6) times over three (3) years, as a salary lock-in occurs after thirty-six (36) months.

For a level change, the probationary period will begin again if an employee has a break in service.

For a civil service list appointment or promotion, or an appointment to a labor class, non-competitive or exempt position, the probationary period will be extended by the amount of time the employee is on an approved leave of absence and may be extended by the amount of time the employee is on annual leave, sick leave or other approved leave with pay. At the discretion of the Agency, a civil service list probationary period may also be extended for an additional three (3) to six (6) months with the employee's consent and the consent of DCAS. The purpose of the extension is to give the Agency additional time to evaluate the employee's performance and to give the employee additional time to meet the standards for his or her tasks. Employees are ordinarily evaluated once every three (3) months during this extension of probation. The Agency has the right to terminate the employee's employment at any time during a probation period extension. See Policy and Procedure #400-3, Use of Probationary Period.

Employee’s Right to Former Positions for Probationary Employees

Employees serving permanently in a competitive, non-competitive, or labor class title who are covered by the Citywide Agreement and who work in an Agency covered by the Personnel Rules and Regulations of the City of New York (PRR), who are appointed to another position in the competitive, non-competitive, or labor class that requires serving a new probationary period and in an Agency covered by the PRR, shall have the right to return to their former title and Agency if they do not satisfactorily complete the new probationary period.

An employee, who is offered and accepts another position in an Agency covered by the PRR where such position requires a new probationary period, must submit a “*Conditional Resignation and Request for a Leave of Absence*” DP-2516 form. The form must be submitted to the Assistant Commissioner of Employee Services, at 66 John Street, 9th floor, New York, NY, at least two weeks prior to the employee’s last day.

Upon completion of the probationary period in the subsequent job, the employee shall submit the agreed-upon letter of resignation from his/her former position to the former employer. At the close of the probationary period, the former employee will terminate the leave and the position, unless notified by the employee of any extensions of his/her probationary period. Therefore, it is the responsibility of the employee to notify the former employer of any extensions of his/her probationary period so that his/her leave under this policy is not terminated prematurely.

Please contact the Employee Services Helpline at 212-291-HELP (4357) for further clarification.

Employment Verification

The Employee Services division will verify employment for a variety of reasons including applications for housing, bank accounts, loans and mortgages, and U.S. Citizenship and Immigration Services requests. Verification of employment information will not be given over the telephone. All requests for verification require written authorization from the employee. Employees should access ESS for an employment verification letter. If the online choices do not meet the employee’s needs, a request should be sent to:

NYC Department of Finance
Employee Benefits Section
ATTN: Verification Officer
66 John Street, 9th floor
Telephone #: 212-291-4770
Fax# 212-361-1850

Transfer from Other Agencies

If an employee has transferred or been redeployed from another City agency to the Department of Finance, DOF's Personnel staff will ask the previous agency to indicate the employee's City start date, leave balances, vacation accrual rate, tax deductions, pension information and other relevant data. Please allow at least three (3) to five (5) business days for the request to be processed. Leave balances will be transferred from the prior agency with limitations. Any leave balance that is not accepted may be paid out by the prior agency.

Workers' Compensation

The New York State Workers' Compensation Law provides that if an employee is injured at work or contracts a work-related illness, the medical expenses related to the claim will be paid by the City if the Law Department approves the claim. The program is administered by the New York City Law Department, which acts as the oversight Agency for workers' compensation insurance. If an employee's case is approved by the Law Department, the employee will be eligible to receive compensation for absences from work due to the work-related injury or illness.

To file a Workers' Compensation Claim, an employee must report the accident to his or her supervisor immediately. To download the form, go to: http://financenet/html/forms_compensation.html

Video Display Terminals (VDT) Alternative Work Assignment

In accordance with the Citywide contract, employees who regularly and for continuous periods of time operate video display terminals (VDT) twenty (20) hours or more per week and are physically incapable of performing VDT functions due to injury, disability, or pregnancy, may request an alternative work assignment. To request an alternative work assignment, an employee claiming physical incapability/inability to operate a VDT must submit a written request to his or her manager with medical documentation. A copy should also be submitted to the employee's supervisor and Finance's EEO Officer.

VDT Alternative Work Period

Employees covered by the Citywide agreement and who regularly and for continuous periods of time operate VDT terminals for twenty (20) hours or more per week are entitled to perform alternative work for fifteen (15) minutes for every two (2) hours of VDT work. The alternative work period allows an employee to perform non-VDT, less visually demanding tasks, such as answering the telephone, filing or making copies for a period of fifteen (15) minutes. The lunch hour shall count toward meeting the requirement for the alternative work period.

Leaving the Department of Finance

(Managerial employees should refer to **Section X**–Managerial Provisions.)

Resignation Procedures

When an employee intends to resign, he or she should complete the *Resignation Form* found at http://financenet/html/forms_misc.html and submit the original to the supervisor for signature and then forward it to the Assistant Commissioner of Employee Services at least two (2) weeks prior to the last day of work.

If an employee has been on a leave of absence without pay and does not plan to return prior to their resignation, the employee still must submit a formal letter of resignation. Otherwise, the employee's employment record may show an Absent Without Leave (AWOL) at the end of the authorized leave.

Retirement Procedures

When an employee decides to retire, there are a series of steps the employee should follow to make certain everything goes smoothly. They are:

- Select a target date for the last day of work.

- Contact the Deputy Director of Employee Benefits (see telephone number at the back of this book) to set up a pre-retirement interview. Separation leave can be affected by any annual and sick leave taken before the last day of work. The Deputy Director of Employee Benefits will only schedule the actual pre-retirement interview within thirty (30) days of the last day of work.

- Submit an application for retirement to the NYC Employees Retirement System (NYCERS) thirty (30) to ninety (90) days before the retirement date. NYCERS is located at: 335 Adams Street, Suite 2300, Brooklyn N.Y. 11201-3751, http://www.nycers.org, and

- Complete the *Intent to Retire Form* (found under Personnel Forms) at http://financenet/html/forms_misc.html and forward it to the Director of Payroll, Time and Leave Support, and Employee Benefits, at 66 John Street, 9th floor. N.Y., at least two (2) weeks prior to the employee's final day of work.

Change of Address for Separated Employees

Before leaving the Agency, employees should check ESS to ensure that their home address is accurate. If an employee's home address changes after leaving the Department of Finance, the employee should make sure to send a change of address notification to the Payroll Office, at 66 John St., 9th Floor, New York, N.Y. 10038. If the Payroll Office does not have a current home address, any payments made or tax statements sent may not be received.

Returning Agency Property

Employees must relinquish their DOF ID cards and other Department of Finance property to their manager before they can receive a final paycheck. If an employee resigns without submitting their DOF ID card, keys, BlackBerry, parking permit or any other items that have been issued, the final paycheck will be withheld until all items have been returned.

Annual Leave and Compensatory Time–(Non-Managerial Employees)

When an employee resigns or retires, the employee will remain on payroll until all compensatory time is used.

In addition when an employee resigns or retires after completing at least four (4) months of service, the employee will remain on the Department of Finance’s payroll until all annual leave is used. If an employee resigns or is terminated before completing four (4) months of service, the employee will not be paid for any annual leave. Furthermore, if an employee is a civil service employee and resigns or is terminated before completing their probationary period, the employee will not be paid for annual leave he or she would have accrued during that period.

Terminal Leave

Non-managerial employees remain on the DOF payroll until all of their eligible time has been expended. “Eligible time” is defined as unused annual leave, compensatory time, and one-half (1/2) of accrued sick leave — up to 120 days, for employees with ten (10) or more years of City service. The Employee Services’ Benefits Unit will calculate this time (known as “separation leave”) and inform the employee before the last day worked how long he or she will remain on payroll. During separation leave, non-managerial employees continue to receive union benefits, including health coverage. Non-managerial employees hired by the City of New York after July 1, 2004, who meet the above criteria receive the same benefits but will be paid out for one-third (1/3) of their sick leave balance instead of one-half.

Under the Citywide Career and Salary Plan leave regulations and Executive Order No. 26, dated October 13, 1970, non-managerial employees leaving City service are entitled to payment of a maximum of one year final leave, which includes accrued compensatory time, annual leave and terminal leave. If an employee transfers to another agency, their leave balances may be transferred to the new agency. However, any balances that are not transferable may be paid to the employee, up to a maximum of one (1) year of final leave.

TIME & LEAVE POLICIES

Hours of Work

Most titles used at the Department of Finance require a 35-hour, five-day work week. Some titles, such as Deputy City Sheriff and Community titles, have a 40-hour work week. Specific hours may vary according to an employee's work location and assignment. Employees may be offered an alternative work schedule such as staggered hours or flextime. Work schedules are determined by the operational needs of employees' work unit. In no event will any employee start before 8:00 a.m. or after 10:00 a.m. Employees are expected to leave their work premises at the end of their work hours.

Staggered Hours–Employees working staggered hours have a five-minute grace period for arrival at work. Under staggered hours, an employee is late at six (6) minutes past his or her scheduled starting time (for example, an employee who works a staggered shift of 8:30 a.m. to 4:30 p.m. is late at 8:36 a.m.). Employees with staggered hours are eligible to submit requests that lateness due to transit delays be excused by completing the MTA's *Subway Delay Verification* form.

Flextime–Flex bands (usually 30 or 60 minutes) begin and end on a quarter-hour basis (for example, 8:30 a.m., 8:45 a.m., etc.). However, the maximum flex band is usually one hour (with the exception of Auditors who were approved for a two-hour flex band window). There is no five-minute grace period for employees on flextime. Therefore, an employee who has an 8:30 a.m. - 9:30 a.m. flex band is late at 9:31 a.m. Employees should aim to arrive at work at the beginning of their flex band to allow for any travel delays.

Please note: Flextime participants are not eligible to request excusal of lateness due to transit delays.

Compressed Workweek

The Agency no longer offers a compressed work schedule. Certain employees still work a compressed schedule based upon a prior policy under which such schedules were allowed. If an employee currently on compressed time is promoted (salary, title or level change) or voluntarily transfers to another division, this schedule will end. Employees currently on compressed time who have any questions regarding their schedule may contact the Employee Helpline.

Holiday Leave Bank for Employees on Compressed Time

A "holiday leave bank" is established for each non-hourly employee who does not work a standard regularly scheduled work week. The bank is credited with holiday leave time equal to one-fifth (1/5) the number of hours in the respective employee's work week as each holiday occurs. When an employee does not work on the holiday, but would regularly be scheduled to work, the number of hours the employee is scheduled to work on that day will be deducted from the employee's holiday leave bank.

<u>For example</u>*:* January 1 is a holiday. Let's assume a 35-hour employee, on a 5-4 compressed work schedule, would normally work 7 ¾ hours on this day. The leave bank is credited with 7 hours (one-fifth of 35 hours). The 7 ¾ hours the employee would normally have worked is deducted from the holiday leave bank. For this particular holiday, there would be a shortfall of 3/4 hour.

Since holidays fall on different days of the week, and scheduled days off are usually on the same day of the week, it is unlikely that anyone would be scheduled to work on all of the holidays.

If the employee works on a holiday, he or she will be compensated as required by the Career and Salary Plan Leave Regulations. If the holiday is scheduled on the employee's regular day off, and he or she works, the employee may be paid overtime and receive credit to their holiday leave bank.

<u>Alternative Work Schedules</u>

- At any time, management may revise flextime bands, staggered hours or compressed time schedules based upon operational need. Operational need includes, but is not limited to, priority work assignments, office coverage and supervision.

- Management may suspend any alternative work schedule during an operational emergency.

- At any time, management may limit the hours or days available for compressed time, flextime or staggered hours or regular day off (RDO). For example, an operational unit may limit flextime to a half-hour band or to a certain timeframe, or limit the number of employees taking their RDO on a specific day.

<u>Part-Time Employment</u> *(section updated January 2020)*

It is the policy of the Department of Finance that all positions are considered full time unless otherwise stated. A part-time schedule may only be approved if:

- The employee is prevented, due to extenuating circumstances, from serving in a full-time capacity. Such determination will be made at the sole discretion of the Commissioner, after consultation with the employee's Deputy Commissioner and the EEO Officer.

A part-time schedule will be approved for up to a six-month period, after which the employee may request an extension. All extensions must be approved by the

Commissioner.

Note: In no event shall any part-time schedule granted under the above rules exceed a total of 48 months.

Part-Time Status Due to Maternity, Paternity or Adoption (Child-Care Leave)

(section updated January 2020)

Pursuant to contractual stipulation, employees are permitted a child-care leave of absence for a period of 48 months for a first occurrence and 36 months for subsequent occurrences. Employees may request approval to return to work at any time within the child-care period on a part-time basis. *See Policy and Procedure #300-5 for more information.*

Timesheets – CityTime

The City of New York uses an automated timekeeping system called CityTime to record employee work schedules, leave balances and hours worked. CityTime allows for the accurate recording of time and leave events—resulting in fewer pay errors—and eliminates the need to collect time and leave data manually. All employees must submit a weekly timesheet through the CityTime system.

To capture employees' accurate time and leave records, hand biometric data–collection devices (DCD) are also available throughout the Agency. The data–collection device is a hand scanner used in conjunction with a unique personal ID number (not Social Security number) for each user. The DCD does not collect fingerprints, only the image of the employee's hand that is matched with the ID number to verify their identity.

There are two ways to enter data into CityTime: Using the DCD hand scanner or using Web Clock, a computer–based application. Both methods are acceptable, and may be used interchangeably. DOF recognizes that from time to time, an employee may require supervisory confirmation of arrival or departure times (known as a Time Punch request in CityTime), because he or she is unable to use the DCD, access Web Clock, or because the employee simply forgot to punch in or out. This discretionary override must never be used to avoid recording an employee's late arrival to work or early departure prior to the end of their assigned work shift.

Agency policy allows up to six instances of a "forgot to punch" entry for a rolling 12-month period; this is the same timeframe used to monitor unexcused lateness. If an employee reaches a total of six such events during a rolling 12-month period, the supervisor will be notified and asked to review the employee's time and leave history and may refer the employee to the Advocate's Office for disciplinary action.

Recording a lunch hour is required via DCD, web clock or manual entry. The recording of any time balance usage (for example, annual leave requests, sick leave requests, etc.) must be entered into CityTime on your computer.
For CityTime Web based training, go to: http://financenet/Citytime_training/usrlaunchpage/index.html.

Under City rules, certain employees are exempt from the requirement to use Web Clock or the DCD; this includes all unionized employees who are in titles NOT covered by FLSA whose gross annual salary including overtime, all differentials and premium pay is in excess of the overtime cap of $87,860.
Supervisors will inform employees if they fall into this category. Exempted employees may either use the Web Clock, DCD, or make manual entries into CityTime.

It is important that the employee's CityTime timesheet for the previous week is submitted for approval each week by the following Monday and no later than Tuesday.

Newly hired employees receive an email with their login ID once they have started and have been put on payroll. For questions concerning Time & Leave policies and procedures, employees may contact the Employee Services Helpline at (212) 291-HELP (4357) or at EmployeeHelp@finance.nyc.gov.

Many employees are expected to sign in daily at their worksite. Once an employee has arrived at his or her worksite, the employee is not permitted to leave the building other than for lunch or on official Agency business. ***Please note: CityTime does not replace a division's current sign-in procedure.***

If, at any time during the work day, the employee leaves his or her work location on authorized business (for example, to go to the field or to an office of the Agency at another location), the supervisor or designee should know the employee's whereabouts. Some employees may be required to carry a wireless communication device when they are out of their office.

Lunch Hours

Employees are required to take a one hour lunch break in the middle of the day. If an employee returns from lunch after more than one hour, he or she will be considered late. If the employee is more than thirty (30) minutes late, the employee may be considered absent without official leave (AWOL). If an employee anticipates needing additional time, he or she must request approval in advance.

Shortened lunch hours may be permitted under special circumstances, such as to allow for time off for religious observance. The employee must receive approval from the Agency's EEO Officer ahead of time to take a shortened lunch hour.

Under extraordinary circumstances employees may be permitted to work through lunch. However, all requests for shortened or foregone lunch hours must be in writing (listing the reason(s) for the request). Requests must be agreed to by the supervisor and the employee, and approved by the Division head.

Under no circumstances will an employee be permitted to routinely work though lunch in exchange for shortened workdays. Supervisors should make certain that there is adequate office coverage during lunch hours so that employees do not postpone lunch hours.

Calling In to Report Unexpected Absence

All requests for leave must receive prior approval from the employee's manager or supervisor. In the case of sick leave, FMLA, emergency annual or compensatory leave, the employee must call his or her supervisor at least 30- minutes prior to the employee's scheduled starting time (or the beginning of the flex-band). The employee must speak with his or her supervisor and cannot leave a voice mail or an email. Family members or friends may call for the employee only in the case of emergency. When calling, the employee should tell the supervisor when he or she expects to return to work. If the employee indicates that he or she will return on a given day, the employee need not call in the interim. However, the employee is expected to return to work on the day indicated. If the employee is unable to return on that day, he or she must speak to the supervisor to obtain further approval for their absence.

Please note: A voicemail or message from an employee that he or she will not be coming to work does not constitute approval of the leave request. The employee must continue to call back until he or she speaks with the person designated to receive such calls.

If the employee submits a doctor's note stating that he or she will be ill for two weeks or more (for example, if hospitalized), the employee does not need to call in daily. However, the employee should give advance notice of the date he or she expects to return to work. For further information on doctor's note requirements, please refer to the Sick Leave section.

When an employee calls in, he or she should be prepared to give the following information:

- Name

- How long he or she expects to be out
- Type of leave requested (for example, annual, sick, FMLA, compensatory time)
- Reason for absence (such as illness, personal emergency, death in family, other) including the nature of any emergency
- How he or she can be reached (for example, phone number)
- Any outstanding work that should be taken care of in his or her absence
- Any other information the supervisor needs to get the employee's work done

Staff Notification Plan During an Emergency

Following an emergency situation, employees will be advised when to return to work. Management and supervisory staff will advise those employees who are required to report to a specific alternate work location as part of continuity of critical operations. All other employees are advised to report to their primary work facility, or if that is not possible, to report to the facility which is nearest to their home. For a list of DOF offices included in this Plan and for more information, go to http://financenet/html/policy.html.

Citywide time and leave procedures require that employees who are unable to report to work use annual leave or compensatory time balances. DOF may also consider the advancement of annual leave for absence and excused lateness when appropriate.

Lateness

Employees who are not at their work location, ready to work, at their scheduled arrival time, are considered late.

- Employees must allow sufficient time for unexpected travel delays.

- Employees who are on fixed schedules (see "Hours of Work") have a grace period of five minutes.

- Employees on flextime do not have a grace period beyond their flex band.

- For employees who are not on a flextime schedule, lateness may be excused if it was caused by a verified public transportation delay of fifteen (15) minutes or more or a series of delays prior to their start time on the same day that total fifteen (15) minutes or more. Employees on a fixed schedule, such as staggered hours, may request that up to six (6) latenesses per six-month period be excused due to transit delay. However, excessive requests to excuse lateness due to transit delays may not be approved. Employees are required to furnish proof of the cause of transportation delays. Employees may obtain verification of these delays that also include other circumstances that may arise after leaving for work and which cannot be anticipated, such as an elevator breakdown.

- Each occurrence of unexcused lateness, whether at the beginning of the scheduled workday or on return from lunch, is a separate unauthorized lateness.

- Lateness caused by a verified major failure of public transportation, such as widespread or total power failure of significant duration or other catastrophe of similar severity may be excused. The lateness must be at least fifteen (15) minutes in duration, and the transit delay itself must have been thirty (30) minutes or longer.

Employees who call their supervisor requesting leave to cover late arrival are still considered late, unless their supervisor approves emergency leave. The employee may be required to provide appropriate documentation. If the supervisor does not approve emergency leave, or requested documentation is not provided, the employee may be considered absent without leave.

Deduction for unexcused lateness is made on a minute-for-minute basis from the employee’s annual leave balances. If the employee does not have any annual leave balance, it may be taken from any compensatory time. If the employee does not have annual leave or compensatory time, lateness will be charged as leave without pay and money will be deducted from the employee’s paycheck.

To request excused lateness due to a transit delay, follow procedure as described in Policy & Procedure, #300-2.

Lateness Control Program

The Agency views a pattern of unexcused lateness as a serious matter affecting productivity and morale. The Lateness Control Program has been established to discourage tardiness and require supervisory review of an employee’s lateness.

In summary, on the 4^{the} unexcused lateness (within a rolling 12-month period from the first lateness), the immediate supervisor will meet with the employee to discuss the reason for the lateness, explain the lateness policy and seek possible remedies to avoid further instances of lateness. Documentation of a supervisor and employee conference is required after the 5th and 6th instances of lateness. These conferences will include formal warnings to the employee that the next unexcused lateness (the 7th) will result in disciplinary action. A lateness which occurred more than twelve (12) months prior to the occurrence of the next lateness should not be considered.

As with excused transit delays, allowance of “Forgot to Punch” transactions recorded in Citytime, are limited. No more than 6 such incidents can be approved during a rolling 12 month period.

Absence Control Program

Although the majority of employees use their sick leave appropriately, the City has an Absence Control Program to prevent abuse. The program is described below.

Time Element
The sick leave year is divided into two sick leave periods from January to June and July to December. During each of these periods, your supervisor will take corrective action for undocumented sick leave use. ***Supervisors can request documentation for sick leave at any time if an employee uses excessive undocumented leave.***

Absence Control Stepping Procedure
The steps that supervisors should follow are listed below:

1. Informal Discussion - Before starting formal stepping procedures
2. Step I - First Discussion
3. Step II - Second Discussion
4. Step III - Final Warning
5. Sanction Status – Referred to the Advocate

The number of points an employee accumulates will determine each step. Each undocumented sick leave instance during the week equals four (4) points; each undocumented sick leave instance before or after a scheduled day off equals five (5) points.

- **Informal Discussion – Before Formal Stepping Procedure**
  If an employee has accumulated 5-9 points, his or her supervisor will have an informal discussion with the employee. The supervisor will inquire about the employee's absence and remind the employee that after the next absence the formal absence investigation procedure will start. The supervisor will document this discussion.

- **Step I – *First Discussion***
  On the employee's return to work after reaching 10-14 points, usually after a second undocumented use of sick leave before or after a holiday or weekend, or a third undocumented use of sick leave on any day, the supervisor will conduct an interview with the employee, and prepare written details of the discussion.

- ***Step II – Second Discussion***
  If the employee's next sick leave absence is not documented, and he or she has accumulated 15-19 points, the supervisor is expected to review the case with the Department Advocate. When the employee returns to work, the supervisor must conduct an interview with the employee reviewing the points covered earlier at the first discussion and any other

Relevant information. The details of the discussion should be fully documented.

- ***Step III – Final Warning***
  Following the next undocumented sick leave absence, when the employee has accumulated 20-24 points, the supervisor must give the employee a warning that any future undocumented sick leave usage will not be paid. This warning statement and any pertinent points of the discussion will be documented by the supervisor.

- ***Sanction Status – Follow-up for Someone Required to Document All Sick Leave Absences***
  After Step III, if the employee requests undocumented sick leave, the supervisor must notify the Department Advocate.

An interview must be scheduled with a senior manager in the unit to discuss the employee's excessive undocumented absences. This interview will include appropriate warnings and a discussion of remedial steps such as counseling. The interview must be documented and will be filed in the employee's personnel file with a copy given to the employee. If the employee continues to use undocumented sick leave, the employee will be referred to the Department Advocate's Office for formal disciplinary action. If the employee is placed in "Sanction Status" during a sick leave period, the employee remains in that status until he or she has worked a complete period without using sick leave on more than two occasions (documented or not). Employees not in Sanction Status start each sick leave period with a clean slate.

Annual Leave

Employees earn an "annual leave" allowance, which may be used for vacation, personal business, or religious holidays.

Annual leave is accrued based on the employee's length of continuous eligible New York City service. To maintain continuous service, the employee must not have a break of more than thirty-one (31) days if he or she is a part-time hourly, provisional or full-time hourly employee, and one year if he or she is a civil service or labor class employee.

If an employee wishes to use their annual leave, he or she must submit a leave request through CityTime to his or her supervisor for approval. If the employee has a sufficient annual leave balance, he or she must use it before requesting leave without pay to cover an absence. Leave without pay is not granted for routine absences. Therefore, the employee should have a sufficient annual leave balance when he or she wants to use it.

Employees must take annual leave at a time convenient to the Department. In scheduling annual leave, employees and supervisors are expected to consider such factors as peak work-flow periods, office coverage, staffing for specialized functions and timeliness of the leave request. Supervisors may disapprove an employee's annual leave request or ask the employee to change the dates or the number of days requested if the absence would interfere with the unit's ability to carry out its role and sustain the work of the Department.

Newly hired New York City employees cannot use annual leave for the first four months (120 days) of employment. Once the employee has completed four months of service, he or she may be permitted to take annual leave once it is accrued. However, there is no minimum service requirement for using annual leave for religious observance. Managerial employees are not subject to the 120- day period at the start of their employment. Managers will be able to enter Leave Requests as soon as they are active in CityTime.

If an employee is out on annual leave and cannot return on the date originally indicated on the approved leave request, the employee must notify his or her supervisor immediately. If the employee wishes to return later than the scheduled date, approval must be obtained from the supervisor to extend the leave. If approval is not obtained, the employee will be considered AWOL.

Employees may take annual leave in units of one-quarter (1/4) hour. Employees who wish to use annual leave in units of one day or less should put in their request at least 24 hours in advance. The supervisor can approve annual leave for a personal emergency on shorter notice, but the employee may be required to provide documentation, for example, a doctor's note for an ill family member or, in the case of a household emergency, a dated receipt from a plumber or locksmith on official letterhead. If such documentation is required and not provided, the employee may be considered AWOL.

Employees must submit all other requests for annual leave at least one week in advance although their supervisor may request that employees submit vacation requests for peak operating or vacation periods at the beginning of the leave year (May 1 for non-managerial employees, and January 1 for managers).

The vacation schedule employees submit at the beginning of the leave year is for planning purposes only. Employees should not assume that any vacation request has been approved until a leave request is submitted and approved by their supervisor.

Annual Leave Accrual Rates
For non-managers (**35-hour** work week) hired **on or before June 30, 2004:**

1st—4th years	15 days per year = 105:00 hours per year = 8:45 hours per month
(**OSA**) 1st—3rd years	18 days per year = 126:00 hours per year = 10:30 hours per month

(**OSA**) 4th year	19 days per year = 133:00 hours per year = 11:08 hours per month
5th—7th years	20 days per year = 140:00 hours per year = 11:40 hours per month
8th—14th years	25 days per year = 175:00 hours per year = 14:35 hours per month
15the year	27 days per year = 189:00 hours per year = 15:45 hours per month

For non-managers (**35-hour** work week) hired **on or after July 1, 2004:**

1st—4th years	15 days per year = 105:00 hours per year = 8:45 hours per month
5th year	16 days per year = 112:00 hours per year =9:20 hours per month
6th year	17 days per year = 119:00 hours per year=9:55 per month
7th year	18 days per year = 126:00 hours per year = 10:30 hours per month
8th year	19 days per year = 133:00 hours per year = 11:05 hours per month
9th year	20 days per year = 140:00 hours per year = 11:40 hours per month
10th year	21 days per year = 147:00 hours per year = 12:15 hours per month
11th year	22 days per year = 154:00 hours per year = 12:50 hours per month
12th year	23 days per year = 161:00 hours per year = 13:25 hours per month
13th year	24 days per year = 168:00 hours per year = 14:00 hours per month
14th—16th years	25 days per year = 175:00 hours per year = 14:35 hours per month
17th year	27 days per year = 189:00 hours per year = 15:45 hours per month

For ***Organization of Staff Analysts*** (**OSA**) (**35-hour** work week) hired **on or after July 1, 2004**:

1st year	17 days per year = 119:00 hours per year = 9:55 hours per month
2nd—5th years	18 days per year = 126:00 hours per year = 10:30 hours per month
6th—8th years	19 days per year = 133:00 hours per year = 11:05 hours per month
9th year	20 days per year = 140:00 hours per year = 11:40 hours per month
10th year	21 days per year = 147:00 hours per year = 12:15 hours per month
11th year	22 days per year = 154:00 hours per year = 12:50 hours per month
12th—14th years	23 days per year = 161:00 hours per year = 13:25 hours per month
15th—16th years	25 days per year = 175:00 hours per year = 14:35 hours per month
17th year	27 days per year = 189:00 hours per year = 15:45 hours per month

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For non-managers (**40-hour** work week) hired **on or before June 30, 2004**:

1st—4th years	15 days per year = 120:00 hours per year = 10:00 hours per month
5th—7th years	20 days per year = 160:00 hours per year = 13:20 hours per month
8th—14th years	25 days per year = 200:00 hours per year = 16:40 hours per month
15th year	27 days per year = 216:00 hours per year = 18:00 hours per month

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For non-managers (**40-hour** work week) hired **on or after July 1, 2004**:

1st—4th years	15 days per year = 120:00 hours per year = 10:00 hours per month
5th year	16 days per year = 128:00 hours per year = 10:40 hours per month

6th year	17 days per year = 136:00 hours per year = 11:2 hours per month
7th year	18 days per year = 144:00 hours per year = 12:00 hours per month
8th year	19 days per year = 152:00 hours per year = 12:40 hours per month
9th year	20 days per year = 160:00 hours per year = 13:20 hours per month
10th year	21 days per year = 168:00 hours per year = 14:00 Hours per month
11th year	22 days per year = 176:00 hours per year = 14:40 hours per month
12th year	23 days per year = 184:00 hours per year = 15:20 hours per month
13th year	24 days per year = 192:00 hours per year = 16:00 hours per month
14th—16th years	25 days per year = 200:00 hours per year = 16:40 hours per month
17th year	27 days per year = 216:00 hours per year = 18:00 hours per month

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For ***Administrative Staff Analyst NM*** in title codes 1002D and 1002E, who were made non-managerial on **2/1/13** and **3/1/16**, and **hired on or before June 30, 2004**:

1st—7th years	20 days per year = 140:00 hours per year = 11:40 hours per month
8th—14th years	25 days per year = 175:00 hours per year = 14:35 hours per month
15th year	27 days per year = 189:00 hours per year = 15:45 hours per month

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For ***Administrative Staff Analyst NM*** in title codes 1002D and 1002E, who were made non-managerial on **2/1/13** and **3/1/16**, and **hired on or after July 1, 2004**:

1st—4th years	18 days per year = 126:00 hours per year = 10:30 hours per month
5th—6th years	19 days per year = 133:00 hours per year = 11:05 hours per month

7th—9th years	20 days per year = 140:00 hours per year = 11:40 hours per month
11th year	22 days per year = 154:00 hours per year = 12:50 hours per month
12th year	23 days per year = 161:00 hours per year = 13:25 hours per month
13th year	24 days per year = 168:00 hours per year = 14:00 hours per month
14th—16th years	25 days per year = 175:00 hours per year = 14:35 hours per month
17th	27 days per year = 189:00 hours per year = 15:45 hours per month

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For ***City Laborers***, **effective April 1, 2010:**

1st—4th years	5 days per year = 40:00 hours per year = 3:33 hours per month
5th—7th years	10 days per year = 80:00 hours per year = 6:66 hours per month
8th—14th years	15 days per year = 120:00 hours per year = 10:00 hours per month
15th year	17 days per year = 136:00 hours per year = 11:20 hours per month

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For ***Sheriff Titles*** (**40-hour** work week) hired **before January 1, 2006**:

1st—5th years	15 days per year = 120:00 hours per year = 10:00 hours per month
6th—7th years	20 days per year = 160:00 hours per year = 13:20 hours per month
8th—14th years	25 days per year = 200:00 hours per year = 16:40 hours per month
15th year	27 days per year = 216:00 hours per year = 18:00 Hours per month

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For ***Sheriff Titles*** (**40-hour** work week) hired **on or after January 1, 2006**:

1st—5th years	13 days per year = 104:00 hours per year = 8:66 hours per month

6^{th}—7^{th} years	18 days per year = 144:00 hours per year = 12:00 hours per month
8^{th}—14^{th} years	19 days per year = 152:00 hours per year = 12:40 hours per month
15^{th} year	25 days per year = 200:00 hours per year = 16:40 hours per month

Carryover of Annual Leave

Employees may carry up to two years' accrual of annual leave from one leave year into the next. (For example, if an employee accrues twenty (20) days per year, the employee may carry forty (40) days into the next year.) On April 30 of each year, annual leave balances in excess of two years' accrual are converted to sick leave.

Advanced Annual Leave

In exceptional and unusual circumstances, a Division Head may grant permission for an employee to use up to ten (10) days of annual leave before it is earned. Advanced annual leave cannot be requested for a vacation or personal business. The "*Request for Advanced Leave*" form may be found on FinanceNet at http://financenet/html/forms_timekeeping.html.

Please note*:* Any leave balance credits advanced to the employee will be reimbursed to the New York City Department of Finance through the employee's monthly future accruals of such leave balance credits. Should the employee leave City service prior to the full reimbursement of such leave balance credits, the employee will be responsible for remitting payment to the NYC Department of Finance in a dollar amount equal to the cash value (at the salary in effect at the time of the employee's separation) of the outstanding leave balance deficit.

Sick Leave

Sick leave is used for an employee's own personal illness. If the employee uses all of his or her sick leave as soon as it is earned, the employee may not have enough time available in the event of a serious illness.

Employees may use up to three (3) days of sick leave per year to care for an ill family member. Family members are defined as a spouse; natural, foster or step parent; child; brother or sister; father-in-law; mother-in-law; any relative residing in the household; and/or a registered domestic partner. The employee must provide a doctor's note, which includes the relationship to the person under care, and the fact that the employee had accompanied the family member to the doctor's office. The day may not be split into several partial days.

When the employee requests sick leave, the leave request must be submitted through CityTime to his or her supervisor for approval.

Medical documentation is required for more than three (3) consecutive days of sick leave and may not be waived under any circumstances. If the

employee does not bring in a doctor's note when he or she has been out for more than three (3) days, the employee will not be paid for the days, and the paycheck may be delayed. The doctor's note should indicate when the employee is able return to work.

If the employee is hospitalized while on scheduled annual leave, the annual leave charge may be changed to sick leave. If the employee becomes ill while on annual leave but not hospitalized, the employee may request approval to have the annual leave changed to sick leave. Employees on approved sick leave who have exhausted their sick leave balances will have the absence charged to annual leave unless otherwise requested in writing for the duration of that absence, subject to continued proof of disability satisfactory to the Agency. In all cases, you must provide medical documentation which is satisfactory to the Department.

Sick Leave Accrual Rates

For non-managers and **OSA** titles (**35-hour** work week) hired **on or before June 30, 2004:** 7 hours per month = 84:00 hours per year

For non-managers and **OSA** titles (**35-hour** work week) hired **on or after July 1, 2004:**

1st—5th years	Maximum 10 days per year
6th year	Maximum 12 days per year

For non-managers (**40-hour** work week) hired **on or before June 30, 2004:**
8 hours per month = 96:00 hours per year

For non-managers (**40-hour** work week) hired **on or after July 1, 2004:**

1st—5th years	Maximum 10 days per year
6th year	Maximum 12 days per year

For ***City Laborers***, effective **April 1, 2010:**
4 days, 1 hour and 20 minutes per year = 38:40 hours per year = 3:20 hours per month.

For ***Sheriff Titles*** (40-hour work week) hired **before to January 1, 2006:**
8 hours per month = 96:00 hours per year.

For ***Sheriff Titles*** (40-hour work week) hired **on or after January 1, 2006:**

1st thru 5th years	Maximum 10 days per year
6th year	Maximum 12 days per year

For All Employees*:* Effective July 1, 2004, employees may use three (3) days per year from their sick leave balances for the care of ill family members, see page V-15.

Sick Leave Documentation

The medical documentation the employee provides must:

- Be from a health practitioner licensed to diagnose and certify illness or disability by the State in which he or she practices

- Be prepared on letterhead that includes the date, name, address and phone number of the physician or other medical provider, and the signature of the preparer. The dates of absence and other information should be clearly legible. The Department Advocate has the right to verify any information in the documentation.

- Indicate the date and time of the examination or treatment

- Indicate approximately how long the employee will be incapacitated, the date the employee will return to work, or when the employee will be re-examined

- Indicate any work restrictions

- Be presented within five (5) working days of the employee’s return to work after short-term illnesses. If the employee will be out more than one week, the documentation should be forwarded within two weeks of the first day of absence.

If the employee is out for more than one month, a doctor’s note should be submitted monthly. In these circumstances, it is particularly important that the note states the approximate return-to-work date. If the doctor cannot estimate when the employee will be able to return, the doctor should indicate the minimum amount of time the employee will be out or when the employee’s condition will be evaluated again.

Exhaustion of Sick Leave Balance

Employees who are on approved sick leave and exhaust their sick leave balance, may request permission to use accrued annual leave or compensatory time, but must continue to provide medical documentation.

Advanced Sick Leave

Civil service employees who exhaust all their earned sick leave and annual leave balances due to a personal illness, may be permitted to use unearned sick leave allowance up to the amount they would earn in one year of service and charge it against future earned sick leave. A request for such an advance of time for exceptional and unusual circumstances must be made to the Director of Payroll, Time and Leave. The "*Request for Advanced Leave*" form may be found on FinanceNet at http://financenet/html/forms_timekeeping.html.

Please note: Any leave balance credits advanced to the employee will be reimbursed to the NYC Department of Finance through the employee's monthly future accruals of such leave balance credits. Should the employee leave City service prior to the full reimbursement of such leave balance credits, the employee will be responsible for remitting payment to the NYC Department of Finance in a dollar amount equal to the cash value (at the salary in effect at the time of the employee's separation) of the outstanding leave balance deficit.

Catastrophic Sick Leave Grant

Civil service employees with ten (10) years of City service may request a sick leave grant with pay for up to three months after all balances and advanced time has been used. The request should be sent to the Director of Payroll, Time and Leave. Final approval may only be granted by the Commissioner of Finance or a designee. Employees must first request an advance of ten (10) days of Annual Leave and twelve (12) days of Sick Leave before the Agency will review a Sick Leave Grant request.

If the employee has exhausted all leave balances and advances, and is not eligible for a sick leave grant, the employee may be granted a leave of absence without pay (see Leave of Absence Without Pay (LWOP) section).

Dedicated Sick Leave Program for Employees in Titles Eligible for Collective Bargaining in Mayoral Agencies

The Dedicated Sick Leave Program enables employees in titles eligible for collective bargaining, in Mayoral Agencies, to voluntarily donate sick leave and/or annual leave for use as sick leave by a seriously ill or injured eligible employee who has been designated by the donor. Eligible recipients may receive up to 180 days of paid sick leave in any one-year period. Covered employees may also donate leave to, or receive leave from, managers and other employees in titles not eligible for collective bargaining, who are covered by the Salary Continuation Program. Note that employees in the uniformed forces are not eligible to participate in this program.

More information on the program requirements; criteria for recipient eligibility; criteria for donating dedicate leave; and procedures for donating and receiving dedicated leave, go to: http://financenet/html/forms_timekeeping.html.

Absent Without Official Leave (AWOL)

Employees are considered absent without official leave (AWOL) if they fail to report to work, or leave their work location and fail to communicate with their supervisor to obtain approved leave, as required by the call-in and leave procedures in this handbook.

Employees are AWOL if they request a leave that is denied, but take the time off anyway. If required documentation is not submitted for a requested absence, the employee may also be considered AWOL.

If an employee is AWOL for more than one week, he or she must provide at least one week's notice to his or her supervisor before returning to work. Depending on the length of absence and other circumstances, the employee will be required to provide additional notice. If adequate notice is not provided, the employee may not be permitted to begin working again, or his or her paycheck may be delayed.

Transfers of Leave Balances

If an employee has worked in another City agency without a break in service, the employee may be able to transfer certain leave balances to the Department of Finance. A break in service is defined as more than one year for civil service employees and more than thirty-one (31) days for provisional, non-competitive, exempt, and full-time hourly employees.

The employee's former and new positions must fall under the Career and Salary Leave Regulations; almost all non-managerial positions in the Department of Finance fall under these regulations. If the employee's former title or agency did not fall under these regulations, the leave balances may still be transferred, but it is not mandatory. Any annual leave or compensatory time that is not transferred should be paid to the employee by the former agency.

Holidays

As a full-time employee of the City of New York, you are entitled to the following holidays with pay unless prohibited by your labor agreement:

New Year's Day	Independence Day	Veteran's Day
Martin Luther King, Jr. Day	Labor Day	Thanksgiving Day
Washington's Birthday	Columbus Day	Christmas Day
Memorial Day	Election Day	

When a holiday falls on a Saturday, it will ordinarily be observed on the preceding Friday. When a holiday falls on a Sunday, it will be observed on the following Monday.

Most Department of Finance employees hired before July 2004 and working continuously are entitled to a floating holiday every calendar year that they are actively employed before Lincoln's Birthday (February 12). The employee must request to use the floating holiday at least thirty (30) days in advance. The supervisor should advise the employee whether the request has been approved within ten (10) working days of the request. If the employee wishes to use the floating holiday to observe Lincoln's Birthday, the request must be made by January 12.

Please Note:

- There are no paid holidays for City Laborers.
- All employees hired on or after July 1, 2004 are not entitled to the floating holiday.
- Effective January 1, 2006, all Sheriff titled employees are not entitled to the floating holiday.

Leave Balance Summary

At the end of the leave year, employees will receive a summary of their leave balances for the year. For non-managerial employees, the leave year runs from May 1 through April 30. At any time, employees may check their leave balances in CityTime or on ESS at: http://cityshare.nycnet/ess.

Overtime *(section updated January 2020)*

Non-managerial employees who are authorized to work at least one hour more than the regular number of scheduled hours in a week may be entitled to overtime for, either cash or compensatory time based on their department needs. **Note: City Laborers are not entitled to earn compensatory time.**

All overtime must be authorized in advance and in writing by the employee's supervisor and manager prior to entry into Citytime. Paid holidays and paid leaves are counted as time worked in computing the number of hours worked.

Overtime is accumulated in 15-minute units after the first hour of overtime worked. The employee must work a total of at least one-hour overtime in any week to earn overtime for that week and fifteen minutes on any day to earn overtime for the day.

For an employee to be compensated for overtime the work hours entered on the timesheet must match the overtime requests in Citytime. For example; if your regular schedule is 9:00am – 5:00pm and you worked until 7:00pm your timesheet should reflect those hours. Your overtime request would then be entered for 5:00pm – 7:00pm. If the work hours are not correct or the overtime request is not entered the employee will not be compensated.

Voluntary Overtime

Voluntary overtime is defined as authorized overtime that employees are free to accept or decline. The employee will be compensated in compensatory time at the rate of straight time unless he or she is entitled to compensatory time calculated under the Fair Labor Standards Act. Employees who are covered under this Act earn compensatory time at straight time until they have worked 40 hours in the week. Above forty (40) hours, they earn time and one-half.

To use compensatory time, the employee must submit a leave request to the supervisor. Compensatory time may be used in 15-minutes increments.

Involuntary Overtime

There may be situations in which working overtime is unavoidable. In such situations the employee may be ordered to work. Ordered involuntary overtime is overtime which employees are directed, in writing, to work and which employees are required to work. Employees may be paid for involuntary overtime as straight time for hours they worked beyond their normal work week until they have worked forty (40) hours in the week, which runs from Sunday through Saturday, and time and one-half for time worked over forty (40) hours. If the employee requests it, and the request is approved in writing, he or she may instead be compensated for such overtime in compensatory time. If the employee's salary, plus overtime and any differential exceeds the maximum earnings permitted (the cap), he or she is ineligible for paid overtime and will be compensated in compensatory time only. The Payroll Unit keeps track of the overtime cap.

Meal Allowance

Employees who work more than two consecutive hours of compensatory time may be entitled to a meal allowance. Meal allowances are paid on a sliding scale according to the number of consecutive hours of comp time worked. To claim a meal allowance, the employee must submit a Supper Money Expenses form (which may be found at http://financenet/html/forms_procurement.html) detailing the number of consecutive hours worked and the reimbursement amount requested. The form must be signed by the supervisor and submitted to the Imprest Fund Unit.

Carry Over of Compensatory Time

Employees are expected to use compensatory time within four (4) months of earning it. If the employee does not take the time off within this time period, it may be converted to sick leave. If the employee is unable to take compensatory time off within the four months, the time may be carried over until it can be used. Authorization to carry over such time must be approved by the supervisor and the employee's Division Head in writing prior to the expiration of the time.

Authorized Absences with Pay

From time to time, employees may have to be absent from work due to circumstances beyond their control. Under the circumstances described below, employees may be away from work without charge to their leave balances. Requests for any of these absences must be submitted in writing.

Bereavement *(section updated January 2019)*
Employees are permitted leave with pay for up to four (4) work days or four-fifths (4/5) of their work week if on a compressed time schedule, in the case of a death in their immediate family for the purpose of mourning/grieving.
Per Citywide guidelines and clarification from the Department of Citywide Administrative Services (DCAS), bereavement leave must be taken <u>immediately</u> following the day of death and the days must be taken <u>consecutively</u>. Employees may take the leave intermittently (using hours or half days during the 4 day period) however, said leave must end by the 4^{th} day after the date of death or that time is forfeited.
<u>Immediate family</u> is defined as:

- Spouse
- Biological, foster or stepchild
- Grandchild
- Biological, foster or stepparent
- Biological, foster, half or stepsibling
- Father-in-law or mother-in-law
- Relative residing in the employee's household (proof of residence required)
- Registered domestic partner (proof of registration required) – also includes:
    - Parent of domestic partner, child of domestic partner, or relative of domestic partner residing in employee's household

Proof of death is required for bereavement leave and must specify the relationship of the deceased to the employee.

<u>Examples of acceptable documentation include</u>:

- Official Death Certificate
    - If it is from another country or in another language the certificate must be translated before submission to the Time & Leave Unit. Employees may send documentation to Michael Arroyo of External Affairs ArroyoM@finance.nyc.gov for this purpose.
    - If the employee's name is not on the certificate and the last names are different, supporting documentation must be provided
- Letter from Funeral Home
    - The letter must include the deceased name, the date of death and employee's name and relation to the deceased.
- Obituary or Funeral Program
    - Must include employee's name and relation to deceased.

Employees on a compressed work schedule have the following leave usage:

- Employees working a four-day, 7:45 hours per day work week are entitled to 7:00 hours per day of bereavement leave – and 45 minutes of personal time must be used to complete each day.
- Employees working a four-day, 10:00 hours per day work week are entitled to 8:00 hours per day of bereavement – and 2 hours of personal time must be used to complete each day.

Jury Duty
When an employee is called to jury duty and is selected to serve, the time served on jury duty is considered an excused absence. All employees who are covered under the Career and Salary Plan or the Leave Regulations for Managerial titles, who submit the required documentation, will be paid their salaries when they serve on jury duty during their regularly scheduled hours of work.

At the start of jury duty, the employee should submit a copy of the subpoena after posting the leave request form in CityTime. The timesheet will be marked "Excused jury duty" for the days the employee is out.

Employees who serve in Federal Court or a court outside New York State must pay the City, by personal check or money order payable to the NYC Department of Finance, an amount equal to the amount received for jury duty, less travel expenses, unless this amount exceeds their salary.

Court Attendance
Employees will be granted leave for court attendance including attendance at a City, State, or Federal agency only under the following conditions: (1) the employee is ordered to appear under subpoena or court order; (2) neither the employee nor anyone related to the employee has a personal interest in the case; and (3) the court or agency attendance is not connected to any outside employment of the employee's. The employee may also be granted leave for court attendance if he or she is a witness on behalf of the State in a criminal case.

Civil Service and Licensing Exams
Employees may be granted leave to take a New York City civil service examination if it is held during their normally scheduled work hours. If an exam is scheduled in the morning, the employee should report to work following the completion of the exam; if the exam is scheduled in the afternoon, the employee should be allowed to leave one hour prior to the scheduled time. The employee must submit DCAS documentation to his or her supervisor confirming attendance. Employees are expected to use their own time to prepare for the exam or to protest or appeal. Leave can also be granted for an official investigation or an appointment interview in relation to a civil service eligible list, or processing for appointment to a civil service position. Time taken to attend any other interviews, within the Department of Finance or outside, should be charged to the employee's annual or comp time leave balances. However, if the interview is within the employee's current division, the employee's time need not be charged.

Military Leave

Employees who are in the military reserve are entitled to a leave of absence for ordered military duty and traveling to and from such duty. Reservists are also entitled to be paid their regular City salary while on military leave for up to 30 calendar days or 22 regularly scheduled workdays per year. The Military Leave Coordinator is available to explain the details (see telephone number at the back of this handbook).

To be paid for military leave, the employee must forward the following materials to the Military Leave Coordinator:

- Enlistment Contract, Commission or Service Agreement
- Separation certificate, discharge or transfer orders
- Quarterly drill schedule
- Certificate of attendance or pay voucher (upon return from paid military leave)

In addition, each time the employee requests paid military leave, he or she must submit a copy of the military orders to the timekeeper.

Extended Military Benefits Program (EMBP)

The EMBP was established in 2001 as a voluntary benefit for City employees in the military reserves. It was created to ease, as much as reasonably possible, any financial disruption for City employees and their families which may be caused by long-term military duty connected with the events of September 11, 2001.

Under this differential pay program, employees receive the difference between their City salary and military pay when the military pay is less than the City salary, with no repayment required.

Employees of the City of New York are eligible for the EMBP if they are serving in Ordered Military Duty (for example, involuntary military duty performed as a member of the organized militia or reserve forces or reserve components of the armed forces of the United States with or without consent of that member) in a Covered Operation (for example, Operation Enduring Freedom, Operation Iraqi Freedom, Operation Noble Eagle or operations specifically connected with Homeland Security). Members of the National Guard or Reserves who have orders for voluntary deployment do not qualify for the EMBP, and enlisted military personnel are not eligible for participation in the EMBP, regardless of the language in their orders.

In order to participate in the EMBP, the employee must submit the following forms to the Military Leave Coordinator:

- Military Orders for a covered operation
- DP-2520: Enrollment In the Extended Military Benefits Package
- Recent Leave and Earnings Statements
- The employee’s contact information while deployed (page 3 of DP-2520)

Failure to submit any of the above will be deemed a declination to participate in the EMBP.

Employees who enroll in the program are entitled to remain on payroll in active pay status, receiving the difference in pay between their City salary and military pay (where the military pay is less than the City salary), accrue annual leave and sick leave, and continue their preexisting healthcare benefits.

Child-Care Leave of Absence (Maternity Leave)

Employees may be granted a child-care leave of absence without pay for a period of up to 48 months for one occurrence and up to 36 months for any other occurrence. A non-Civil Service employee may be terminated while on child-care leave of absence because of business necessity.

Child-care leave begins on the date the employee specifies. Reasonable notification must be given to the supervisor when requesting the leave. Official proof of birth or adoption must be provided when it becomes available.

If the employee initially requests less than the maximum time, up to two extensions for a minimum of six (6) months each may be requested. In no case may the initial child-care leave plus the extensions total more than 48 or 36 months, as applicable (see above). The employee must take the initial leave and extensions consecutively. Once the employee returns to work, she may not extend or resume the leave regardless of how much time was taken. All extension requests must be made in writing at least 45 days prior to the expiration of the current leave. The employee may begin the leave at any time prior to her child's fourth birthday.

If an employee is disabled by pregnancy or childbirth, she may use her sick leave as she would for any other illness or disability. Documentation is required in accordance with policies in the section on Sick Leave Documentation. At the request of the employee, the Department Head or designee may allow an employee to return from child-care leave before the full leave time has elapsed. The Department Head or designee may refuse to allow an employee to return from child care leave until the expiration of the period that an employee has requested and been granted.

Leave of Absence Without Pay (LWOP)

Under certain circumstances, employees may go on leave without pay when they have no leave balances to cover an authorized absence. Also, when an employee reaches "Sanction Status" under the Absence Control Program and requests undocumented sick leave, the only leave for which the employee is eligible is leave without pay. If the employee has an annual leave or compensatory time balance, he or she may not request leave without pay to cover an absence which would ordinarily fall under the annual leave provisions. Furthermore, the employee may not use leave without pay for a vacation if he or she has not accumulated sufficient annual leave to cover the time.

The Department of Finance is obligated to provide an employee with a leave without pay if he or she requests it for military leave, in accordance with State law, or for child care, in accordance with Career and Salary Leave Regulations, City-wide Contract, and Leave Regulations for Managerial Employees, or to comply with the Family and Medical Leave Act or EEO law. If possible, the employee should request any such leave at least one month in advance.

Before the employee returns from an extended leave without pay, he or she must contact the Personnel Office, in writing, four to six weeks before the scheduled return date to ensure that necessary arrangements are made for planning assignments and putting the employee back on payroll.

If an employee requires an extension of the leave, he or she must submit a written request to the Director of Payroll, Time & Leave, who will inform the supervisor.

Family and Medical Leave Act (FMLA)

The Department of Finance allows employees to take time off under the Federal Family and Medical Leave Act (FMLA). FMLA leave runs concurrently with the employee's paid sick and annual leave. Finance has the right to designate leave as FMLA-qualifying when it becomes aware of an FMLA-qualifying event. The Employee Services Division is responsible for processing FMLA requests. Under the FMLA, eligible employees are entitled to take up to twelve weeks of job-protected, unpaid leave (unless the employee has sufficient time balances) within a twelve-month period for specified family and medical reasons:

- For incapacitation due to pregnancy, prenatal medical care or child birth;
- To care for the employee's child after birth, or placement for adoption or foster care
- To care for the employee's spouse, son, daughter or parent who has a serious health condition
- For a serious health condition that makes the employee unable to perform his or her job

For information and a brief statement of rights and responsibilities under FMLA, go to: http://www.dol.gov/whd/regs/compliance/whdfs28.htm and http://www.dol.gov/whd/regs/compliance/posters/fmlaen.pdf.

Requests for Intermittent Leave or Reduced Schedule under FMLA

Employees may take leave intermittently or go on a reduced leave schedule to care for an immediate family member (as listed above) with a serious health condition or because of their own serious health condition, when "medically necessary." The employee must provide certification from a health care provider stating the medical necessity for leave on this basis and the duration and schedule of the leave. The employee must attempt to schedule leave so as not to disrupt the Agency's operations and must follow the Agency's call in procedures (see *Calling In to Report Unexpected Absences*). If granting the request for intermittent leave or leave on a reduced leave schedule would interfere with normal operations, the employee may be required to transfer temporarily to an available alternative position for which he or she is qualified and which better accommodates recurring periods of leave, providing that such transfer is consistent with collective bargaining agreements, and Federal or State law.

Procedure for Requesting FMLA Leave

The Employee Services Division is responsible for handling FMLA requests. Employees should contact the Benefits Coordinator (see telephone number at the back of this handbook).

- The employee is required to give thirty (30) days' notice in the event of a foreseeable leave. However, in an emergency, he or she is expected to provide as much notice as is possible, usually verbal notice within one or two business days after the need for leave becomes known, followed by a completed request form: http://www.dol.gov/whd/forms/WH-381.pdf. Failure to give thirty (30) day's notice for a foreseeable leave, with no reasonable excuse for the delay, may result in denial of the leave until thirty (30) days after notice is provided. Additionally, approval of an emergency leave request may be delayed if proper documentation is not provided promptly. In all cases, documentation must be provided within fifteen (15) calendar days of the Department's request.

- To request FMLA leave, the employee must complete a Notice of Eligibility of Rights and Responsibilities (Family and Medical Leave Act) http://www.dol.gov/whd/forms/WH-381.pdf and submit it to the Director of Time & Leave Support at 66 John Street, 9th floor, New York, New York, 10038, with appropriate documentation.

- If the employee is requesting leave for his or her own serious medical condition, the employee must submit a "Certification of Health Care Provider" http://www.dol.gov/whd/forms/WH-380-E.pdf.

- If an employee is requesting leave for the serious medical condition of a spouse, parent or child, he or she must submit a "Certification of Health Care Provider for Family Member's Serious Medical Condition" http://www.dol.gov/whd/forms/WH-380F.pdf.

- Once the Notice of Eligibility of Rights and Responsibilities has been submitted, the Department has five days to respond, indicating the disposition.

Returning from FMLA Leave

The employee must contact their supervisor at least two weeks before returning to work. If the employee has taken FMLA leave because of his or her own serious health condition, he or she will be required to provide medical documentation of fitness to return to work.

An employee who returns to work from FMLA leave must be restored to the same position or an equivalent position. An equivalent position is one in the same civil service title, with the same pay, benefits, and working conditions.

Benefits

FMLA leave is not considered a break in service for the purpose of pay and benefits; however, the time spent on unpaid leave is not counted as service for pension or other benefits. The employee's group health insurance will be maintained while he or she is on FMLA leave on the same terms as if he or she had continued to work. However, if the employee does not return to work after FMLA leave expires, the City may recover its share of health plan premiums for the period of time the employee was on unpaid leave. If the employee is unable to return to work as a result of the medical condition or another circumstance that is beyond his or her ability to control, the City may refrain from seeking to recover health plan premiums.

Time and Leave Questions

Whenever employees have a time and leave question, they should first try to resolve it with their supervisor. If the question cannot be answered or resolved at this level, the employee may then direct it to the Employee Services Helpline: at (212) 291-HELP or EmployeeHelp@finance.nyc.gov. If a representative of the Employee Services Helpline is unable to resolve the issue, he or she will then consult with the Time & Leave Support Section and get back to the employee with the appropriate answer.

EMPLOYEE BENEFITS

Employees are encouraged to use on-line resources to access information and make any changes to their health insurance coverage.

Employee Self-Service

The City's Employee Self-Service (ESS) Portal provides various self-service options. For general information and to log on to the ESS Portal please go to the ESS site at: http://cityshare.nycnet/ess.

Health Insurance

The New York City Office of Labor Relations Employee Health Benefits Program, in cooperation with the Department of Citywide Administrative Services (DCAS), has centralized the Health Benefits Enrollment process to New York City Automated Personnel System (NYCAPS) Central, a division of DCAS. Employees must contact NYCAPS Central to handle all of their health benefits needs including:

- Enrolling in New York City health benefits
- Updating your enrollment information after a qualifying event
- Updating your dependent information
- Inquiring about your health benefits enrollment status and eligibility
- Questions about your health benefits coverage

Contact NYCAPS Central, via phone, fax or email, for all questions regarding your health benefits.

Phone: (212) 487-0500 weekdays (9:00 a.m.–5:00 p.m.). Please have your seven-digit Employee ID number available (located in the "Reference # Box" on your pay stub).
Fax: (212) 313-3411
Email: EmployeeSupport@dcas.nyc.gov

Helpful information about your health benefits:

§ **NYC Health Benefit Program:** The NYC Summary Program Description (SPD) is a resource that provides complete information to assist employees in understanding their NYC health benefits. Employees may access the most current version of the SPD, as well as, links to other important information related to health benefits at: http://www.nyc.gov/html/olr/html/home/home.shtml in the Health Benefits Program section**.**

§ **Enrollment:** A newly hired City employee will automatically receive a personalized Enrollment Form and Confirmation Statement from NYCAPS Central when he or she is hired and may then make his or her health benefits elections.

- **The PICA Program** is a prescription drug benefit that is provided to all NYC employees, non-Medicare retirees and their eligible dependents that are enrolled in a health plan offered by the City's Health Benefits Program. It is made available through the joint efforts of the City of New York Office of Labor Relations and the Municipal Labor Committee. For more information, go to http://www.nyc.gov/html/olr/html/home/home.shtml.

Flexible Spending Accounts

The City of New York offers its employees a Flexible Spending Accounts (FSA) Program. The Program allows City employees to deposit a portion of their pre-tax Income into accounts maintained for certain health and dependent care expenses.

There are four components of the FSA Program:

- **Dependent Care Assistance Program (DeCap):** DeCAP is a way to pay for care for your child(ren) or other dependents with before-tax dollars, while you and your spouse work or attend school full time.

- **Health Care Flexible Spending Account Program (HCFSA):** HCFSA is a way to pay for eligible medical expenses (not covered by insurance), dental, vision, and hearing expenses (not covered by the Welfare Fund) with before-tax dollars.

- **Medical Spending Conversion (MSC) Buy-Out Waiver Program:** The MSC Buy-Out Waiver Program allows City employees covered by a non-City group health plan to waive their City health benefits and receive an annual incentive payment of up to $1,000 per year.

- **Medical Spending Conversion (MSC) Premium Conversion Program:** The MSC Premium Conversion Program enables eligible employees to pay for their health plan premium deductions on a before-tax basis, thereby reducing their gross income for tax purposes. Enrollment in the Premium Conversion Program is automatic. If you have a health plan premium deduction, it will automatically be taken on a pre-tax basis. However, you are able to choose post-tax payments if you wish. Employees may change from pre-tax to post-tax or vice-versa during the Health Benefits Fall Transfer Period.

For more information, including forms and brochures, please call the Flexible Spending Accounts Program at (212) 306-7760, or visit them online at http://www.nyc.gov/html/olr/html/home/home.shtml and click Flexible Spending Programs.

Greater New York Blood Program

To help our community maintain an adequate supply of blood, the Department of Finance sponsors several blood drives throughout the year.

An employee who donate at least one pint of blood annually and complete an enrollment card, become a member of the City Donor Corps and become eligible for services for them self and the following members of their family:

- Spouse
- Unmarried dependent children up to the age of 19 (or to age 23 if they are full-time students);
- Parents and grandparents; spouse's parents and grandparents

As a member, employees are covered for hospital bills for blood or blood processing. Employees should contact the Blood Program Coordinator as soon as possible if they are billed for blood or blood-processing fees.

Employees may join the New York City Employee Donor Corps at any time. An enrollment card may be obtained by contacting the Department of Finance's Employee and Labor Relations Office (see telephone number at the back of this handbook). Employees who donate blood at one of the Department of Finance's blood drives are granted time off to donate, plus three hours of compensatory time.

Social Security

Most employees pay Social Security and Medicare taxes. At retirement, or in the event of disability, employees who paid these taxes will be eligible to participate in the Social Security Plan. For more information about Social Security and FICA, go to: http://www.nyc.gov/html/opa/html/taxes/socialsecurity.shtml.

New York City Employees' Retirement System (NYCERS)

Complete information on retirement system benefits may be obtained by contacting the New York City Employees' Retirement System (NYCERS) (see telephone number at the back of this handbook), or by visiting their website at: http://www.nycers.org.

Deferred Compensation Plan

The Deferred Compensation Plan offers City employees a way to save with pre-tax dollars while deferring federal, state, and local income taxes. The Deferred Compensation Plan is a retirement savings program and therefore there are penalties for early withdrawal of funds (before age 59 ½).

The Deferred Compensation Plan consists of a 457 plan and a 401(k) plan. Both plans allow employees to put aside a portion of their pay before federal, state, and local income taxes are taken out. Taxes will be reduced as a result of the contributions the employee makes, and the employee's contributions and the earnings on them will accumulate tax-free until they are withdrawn. The Deferred Compensation Plan offers a number of professionally managed investment options and pre-arranged portfolios made up of those options.

Employees may contribute anywhere from 1% up to 50% of their gross income to each Plan. However, if you enroll in both the 457 Plan and the 401(k) Plan, the combined deferral percentage should not exceed 70%. There are annual limits on the dollar amount you can contribute to each plan, and these limits are adjusted each year. For information on enrollment procedures and plan specifics, employees may call the Deferred Compensation Plan at (212) 306-7760, or visit the Office of Labor Relations' website at http://www.nyc.gov/olr and click the link to the Deferred Compensation Plan section.

Commuter Benefits Program

The Commuter Benefits Program is administered by WageWorks and offers City employees a way to pay for their commutation costs while providing immediate tax advantages.

For further information on how to enroll and receive a WageWorks Commuter Card, contact your Commuter Benefits Coordinator or visit the WageWorks website: www.getwageworks.com/nyc or call the toll-free WageWorks Customer Service line at (877) 924-3967.

Municipal Credit Union

For information on the services that the Municipal Credit Union (MCU) provides visit MCU online: www.nymcu.org.

New York's College Savings Program

Learn more about New York's College Savings Program by visiting their website at www.nycsaves.org. You can get started with the program by opening an account online or downloading or requesting an enrollment kit.

Death Benefits Payment for Unused Leave

If an employee dies while employed by the City, his or her beneficiary would be entitled to a lump sum payment for up to 54 days of accrued annual leave and up to 200 hours of accrued compensatory time. In addition, there might be specific cash benefits in the event of accidental death.

The "*Designation of Beneficiary*" form, which all employees must complete upon hiring, provides the Agency with the information necessary to contact beneficiaries to inform them of the benefits due them and the steps they must take to obtain any payments.

Employees who wish to change their beneficiary due to changes in their personal circumstances such as, marriage, divorce, birth of a child, or death of a previous beneficiary, may contact the Employee Services' Personnel Office requesting a new "*Designation of Beneficiary"* form.

When you submit a new form, you effectively cancel all previously submitted forms. It is essential that you fill out the form completely. When you name a beneficiary, you must indicate the percentage of the benefits to be paid. All completed forms should be forwarded to the Personnel Office, at 66 John Street, 9th Floor, New York, New York, 10038.

Please note that this form does not designate your beneficiary for the union welfare fund, Management Benefits Fund life insurance or the accumulated salary deductions in the Retirement System.

Employee Assistance Program

Employees who have personal problems such as alcoholism, drug abuse, or family or financial difficulties that interfere with their ability to do their job, or who need help, may obtain counseling through the Citywide Employee Assistance Program *(*EAP*).* Employees may call EAP at (212) 306-7660 or visit the EAP section at www.nyc.gov/olr.

The Citywide EAP offers confidential counseling and referral services to all City employees. Employees, who wish to use these services, may attend the initial counseling session without charge to their leave balances with proof of attendance from EAP. This proof will not indicate the reason for the session or the issues discussed.

In addition, your supervisor may suggest that you seek help from EAP if you seem to have a problem that is affecting your work. All referrals to the EAP are kept strictly confidential.

Union Membership

Most non-managerial employees of the New York City Department of Finance are covered by one of the unions listed below. If you are in a covered title, union dues are automatically deducted from your bi-weekly paycheck, regardless of whether you have signed a union member authorization card. To obtain all the benefits of union membership, employees must officially join their union. Contact the union for information regarding membership, programs and benefits.

District Council 37
AFSCME
125 Barclay Street
New York, NY 10007
212-815-1000/1234 http://www.dc37.net

Local 1180
Communication Workers of America
6 Harrison Street
New York, NY 10013
212-226-6565 http://cwa1180.org

Local 237
International Brotherhood of Teamsters
216 West 14th Street
New York, NY 10011
212-924-1220 http://www.local237.org

Organization of Staff Analysts (OSA)
220 East 23rd Street
Room 707
New York, NY 10010
212-686-1229
212-686-1231(fax) http://www.osaunion.org

NYC Deputy Sheriff's Association
2753 Coney Island Avenue
Suite 222
Brooklyn, NY 11235
718-332-3363

Civil Service Bar Association
216 West 14th Street – 7th Floor
New York, NY 10011-7296
212-675-0519
212-675-0417 (fax) http://www.csbanyc.com

Additional Benefits

City employees are eligible for additional benefits through their union or the Management Benefits Fund (for managerial employees). These benefits vary and may include:

- Dental care insurance
- Prescription drug plan
- Vision care insurance
- Life insurance
- Disability insurance
- Educational benefits

To obtain more information and enroll in coverage, the employee must contact the appropriate union and request an enrollment card. The Employee and Labor Relations Office can assist you in identifying which union covers your title. Employees may also contact the Employee Benefits Unit (see telephone number at the back of this book).

Management Benefits Fund

Employees who are not eligible for union coverage are generally eligible for the Management Benefits Fund. You may contact the fund on the Office of Labor Relations website, under the Management Benefits Fund link, at: http://www.nyc.gov/html/olr/html/man_benefits/general_info.shtml.

ADMINISTRATIVE PROCEDURES

Personal Expenses

In the course of City business, employees may incur personal expenses for such items as carfare. If employees incur other reimbursable expenses, they will have to file an expense form for reimbursement. Employees may obtain personal expense forms from the Imprest Fund Unit (see telephone number at the back of this handbook) or from http://financenet/html/forms_procurement.html. If requests are not submitted within 120 days of the expense, the employee may not be reimbursed. Expenses are usually reimbursed within 30 days after the Financial Management/Imprest Fund Unit receives the request from their supervisor. If the employee is not reimbursed within 45 days after submitting their expenses, the employee should check with their Unit Head or the Imprest Fund Unit. When directly making a work-related purchase, advise the vendor that the Department of Finance is a New York City government agency and does not pay a sales tax. Sales Tax Exemption Certificates are obtained from the Imprest Fund Unit.

Employees must attach original receipts and supporting documentation to expense reports when filing a reimbursement claim. Receipts are required for parking fees, gasoline, minor repairs of city-owned cars and costs related to rental cars. Employees should also try to obtain receipts for tolls whenever practical. A written justification is required for all car rentals.

In an emergency, employees may also be reimbursed for purchases of supplies if prior approval is obtained from the Financial Management/Purchasing Unit. Emergency purchases are limited to $20.00. To request reimbursement for such purchases, employees must submit a miscellaneous expense form approved by their supervisor with a receipt and a written justification for the purchase.

Out-of-Town Travel

As part of their job, employees may occasionally be required to travel out of town for work. For example, auditors may be assigned to an audit of a major taxpayer headquartered outside of New York City. Employees must carefully follow the guidelines listed below to make certain that they are properly reimbursed for their expenses. Contact the Imprest Fund Unit if you have questions regarding the guidelines.

- Trips may have direct revenue consequences, such as an out-of-town audit or investigation. These are called “post-audit trips.”

- All other trips outside of New York City (to places like Albany and Washington, D.C.) must have prior approval from the Commissioner of the Department of Finance and the Mayor’s Office. Please note: This also includes any trips where an outside organization or group is paying for all or part of the entire trip.

- The employee's request must describe in detail how the City will benefit from the trip.

- If going to a conference to present a paper that will not directly benefit the City, employees are expected to take the trip at their own expense, and charge all time away from the office to annual leave or compensatory time balances.

- No more than two Agency representatives may attend the same conference or seminar.

- Any request for out-of-town training programs must include evidence that a similar course will not be available in New York City in the near future.

- Employees must submit an expense report detailing the cost of the trip to the Imprest Fund Unit within ten (10) working days of their return.

If expense reports and all other related documents are not submitted on a timely basis, the employee may jeopardize expense approval for future trips.

There are also strict limitations on the amount for which the employee may be reimbursed for hotel rooms, meals, and other expenses when traveling. Check with the Imprest Fund Office to determine these limits before making any reservations.

Supplies and Equipment

Bulk Supplies

Each unit should have a supply coordinator who is responsible for ordering supplies. Methods for ordering supplies vary according to what is needed. Bulk items, such as envelopes, copier paper, computer paper, and forms are ordered from the Agency's Warehouse. Other office supplies are ordered through Staples Inc. Requests for these supplies come from Division staff authorized to use the Staples Link web site.

All employees are reminded that City resources such as equipment, supplies, postage, and stationery are to be used for City business only. Employees may not use City resources for non-City purposes.

Purchase Requests

Employees must submit a purchase request for supplies, equipment and services that are not stocked by the Warehouse or provided for contractually. The Purchase Request Form may be accessed at http://financenet/html/forms_procurement.html. Employees should contact their Unit's Budget liaison with questions on how to complete the form. All blank fields in the Purchase Request Form must be filled completely and accurately, and approved and signed by the employee's manager/supervisor and the Division Head, or his or her designee. Be as specific as possible in describing the item or service requested, attaching detailed specifications, and, if available, a picture. Once completed, send the form to the Budget Unit. Depending on the source, purchases under $20K can take two to three weeks from receipt of purchase request to delivery.

FACILITIES AND OFFICE EQUIPMENT

Facilities

Facilities Management is responsible for the overall cleanliness and comfort of all Department of Finance locations. The unit performs facility walk-throughs and oversees, assigns, coordinates, supervises and inspects cleanings performed by Work Experience Program (WEP) workers at Department of Finance locations.

Staff will also be made available to dispose of approved salvage materials and relocate supplies, equipment and furniture for all Agency locations. The Site Manager assigned to your building has authorized certain employees to submit these requests through the Work Order System.

All major facilities problems (i.e., plumbing leaks/floods, heat or air conditioning failures, or other potential health and safety emergencies) should be reported immediately to Facilities (see telephone number in the back of this handbook).

All day-to-day facilities-related issues and repair requests should be reported to your unit's designated representative who will generate a computerized work order to arrange for the situation to be fixed. Facilities staff will then provide the designated representative with a plan of action and periodic updates until the situation is corrected.

Office Equipment

Computers, copiers, telephones and other equipment are City property provided to employees for work-related activities. Employees are expected to treat this property with care and professionalism. Department of Finance equipment should not be used to conduct personal business.

Security

Facilities Management oversees all aspects of security for the Agency. All security concerns and incidents should be reported immediately to your supervisor and to the DOF's Director of Security (see telephone number at the back of this handbook). In an emergency, please contact the NYC Police Department by dialing 911.
The Sheriff's Office oversees the security of the public areas at each borough Business Center.

Employees are expected to wear their identification cards at all times to ensure that they are easily identifiable as Department of Finance employees.

Employees are also reminded to secure personal items at all time. The Department of Finance is not responsible for lost or stolen personal items.

Security Incident Reports

In addition to calling for help from the police or other appropriate assistance, after a security incident is resolved, it should be documented and reported to the Director of Security by completing the Incident Report form, which may be found at http://financenet/html/forms_facilities_management.html.

Workplace Violence Prevention Program

The Department of Finance has implemented a Workplace Violence Prevention Program to prevent and/or minimize the hazard of workplace violence to its employees. All instances of physical violence, attempted assaults, and threats reasonably perceived to result in physical violence, or other conduct that would be reasonably expected to lead to an assault or homicide will be thoroughly investigated and appropriate action will be taken. A copy of written details of Workplace Violence Prevention Program may be found at: http://financenet/html/forms_facilities_management.html. Employees who have any questions may call the Director of Security (see telephone number at the back of this handbook).

Fire/Evacuation Drills

Facilities' staff work closely with the Department of Citywide Administrative Services (for City owned buildings) and with building management (for privately owned buildings) to instruct employees in fire-safety procedures and building evacuations in the event of an emergency.

Evacuation drills are held regularly to acquaint employees with proper routes and procedures. Employees are expected to cooperate fully during all drills. The names of Department of Finance designated fire wardens and emergency exit routes are posted prominently at all locations.

Employees who require assistance during a drill or actual emergency evacuation situation should contact the fire warden. (Each floor is assigned a fire warden. If you are not sure who your fire warden is, please ask your supervisor.) This notification should take place as soon as the employee is aware that assistance will be required.

Identification/Access Cards

When a new employee begins employment with the Department of Finance, he or she will be issued an Identification (ID) card which the employee is required to carry while at work. Employees may also be required to present their ID card when in the field on official Agency business. This ID/Access card allows entrance into DOF designated areas, based upon the hours that have been authorized by the employee's manager. All issues regarding an assigned access level should be discussed with the employee's manager.

All cardholders must adhere to the following:

1. The card is not to be loaned to anyone, not even a fellow employee.

2. The card should be safeguarded. If the card is lost or stolen, immediately contact the Facilities Management Security office. There is a $10 replacement fee for a lost or misplaced access card unless a police report is provided.

3. Upon termination of employment with the Department of Finance, the employee is required to return the access card to his or her supervisor.

4. The card may not be used to allow unauthorized individuals into the building lobby or into the employee's office area.

5. Do not write on or mark the card.

Please note: Access cards may be safely carried in a wallet, purse or coat pocket and will not adversely affect any ATM cards, credit cards or Metro Cards.

Employees who require a DOF badge should read and follow the Agency's Policy and Procedure #300-1, on Issuance and Replacement of Badges/Shields.

Right-To-Know

Under the Citywide Office of Safety and Health and the New York State Department of Labor guidelines, all City workers are entitled to information on the safe handling of chemicals in the workplace (such as copier toner), the safe use of PCs and other desktop equipment. Employees who have a specific concern should speak with their supervisor or the Agency's Health and Safety Coordinator (see telephone number at the back of this handbook).

Telephone Use

Department of Finance telephones are for conducting Department business. Each location has its own telephone system with unique features. A Citywide Quick Reference Training Guide, as well as, voice mail instructions specific to various DOF locations, may be found at: http://financenet/html/policy.html. Employees who have questions about the phone system in their office may contact the Employee Helpline.

Telecommunication devices should not be used for non-business related purposes.

However, limited, occasional, incidental, or emergency use of telecommunication devices for personal business is acceptable provided that such use does not disrupt or distract from the business of the Agency and does not involve illegal activities.

Long Distance/Cell Phone Calls
In accordance with City policy, DOF telephones are for City business calls and are generally restricted to local calls, except for those employees specifically authorized to place long distance calls for City business. In most locations, access to long distance is restricted. Employees may be required to use an authorization code to place long distance calls.

Employees who have been issued an authorization code to place long distance calls on Finance telephones must ensure the security of the authorization code. The authorization codes are for the exclusive use of the employee and should not be shared. Employees will be held responsible for calls made against their codes. Employees, who make excessive personal calls using their authorization code, will be required to pay the City for the cost of the telephone calls. If the employee thinks that the security of his or her code has been compromised, he or she should officially notify his or her manager requesting that the code be changed.

For more information about the Department's long distance telephone policy, see Policy and Procedure, #200-8, on Long Distance Telephone Calls.

Wireless Communication Devices

Some Finance employees are in positions that require them to be reached when they are not in the office. These employees may be required to carry a wireless communication device. Employees who are issued a wireless communication device are expected to take proper care in maintaining it, use it only for Department of Finance business, and not transfer it to any other person. If a wireless communication device is lost or stolen, the employee must report it immediately to their manager. To obtain a replacement, follow the procedure outlined in Policy and Procedure, #500-2, on Agency-Issued Wireless Communication Devices.

When an employee stops working for the Agency, takes a leave of absence, or changes positions within the Agency, he or she must turn in his or her wireless communication device.

COMPUTER POLICIES AND SECURITY GUIDELINES

Computers are an essential component of the way we work in the Department of Finance. Employees may be connected to:

- A Local Area Network (LAN)
- Mainframe systems such as Fairtax
- Electronic mail (e-mail) system, applications and other systems that may be implemented by the Department
- The Internet
- Wireless communication devices, such as cell phones and BlackBerrys.

The policies and procedures described below must be followed to ensure the integrity and usefulness of these systems. Employees must follow these procedures and policies and comply with applicable laws, rules and regulations. Links to published policies are also included in the References (see last page of this section).

Any computer system used by employees at the Department of Finance, including all related equipment, is the property of the Department of Finance and is solely for uses authorized by the Department of Finance. Employees have no right to privacy on the system, and all information and activity on the system may be monitored. Any unauthorized use of the system may result in disciplinary action, civil or criminal penalties. The employee's use of the system constitutes express consent to the Department of Finance's terms and conditions.

Internet Acceptable Use Protocol

Internet access is provided to City personnel to enhance their ability to conduct the City's business. Access is governed by Citywide Code of Conduct, and DoITT and DOF policies. Accordingly, Internet access must be used only in connection with conducting City business, and may not be used in connection with any personal or non-City business matters. City agencies reserve the right to monitor and delete Internet Access in the event of a violation of this Directive or other City policy or directive.

All users of DOF network resources have a responsibility to use their Internet access in an informed and professional manner. Failure to adhere to this policy exposes the Department of Finance to increased vulnerability to threats of unauthorized access, theft of information, theft of services, and malicious disruption of services.

The Department of Finance's Internet Usage Policy outlines the topic of personal use of the City's technology resources, what is considered acceptable, and what is not. To access the policy, go to http://financenet/html/policy.html.

Computer Security

Security of information is an Agency-wide responsibility. The steps employees take to keep and enhance security are vital both to the Department and to the public. Much of the information employees have access to is confidential and may not be accessed or disclosed without permission (see Section II, *Policies and Employee Conduct* regarding confidential information).

It is very important that employees do **NOT** share their login credentials and passwords with anyone.

Login credentials (user ID and password) may be obtained by authorized requestors completing on-line form at link http://fitforms.finance.nycnet. This link may also be used for Mainframe Fairtax and STARS IDs as well as NYCSERV and Adjudication application IDs.

Software Protection

Unauthorized copying and/or installation of unlicensed software is considered software piracy and is strictly prohibited for any unit or individual. All software on Department of Finance personal computers must be licensed copies of purchased software as recorded on the FIT inventory of hardware, software and network components. Periodically FIT audits computers within the Department of assure compliance. Following this policy will also reduce the likelihood of viruses.

All personal computers are equipped with software to check for known viruses on both removable storage devices and the hard drive. Whenever employees boot up their PC at the beginning of the day, this software should check the hard drive automatically. Do not abort this procedure. If you get a virus warning on the screen, contact the DoITT CityWide Service Desk at 212-692-4357 or at CityWideServiceDesk@doitt.nyc.gov immediately.

E-Mail Procedures

Most DOF employees are linked together by a local area network (LAN). A major component of the network is electronic mail (e-mail). E-mail is used Agency-wide for transmitting important information quickly. Employees with email should regularly check their messages when in the office. Employees should also respond to e-mail messages promptly, even if they do not have the information requested.

E-mail may not contain unencrypted data subject to Tax Secrecy. Tax secret data must be encrypted to be transmitted as well as stored.

To ensure that all messages are received, and to save space on the network, employees should regularly delete messages that are no longer needed.

To prevent misuse of an ID, password and someone reading an employee's e-mail, the employee should sign off when leaving their workstation.

Expectation of Privacy

At any time and without prior notice, the City reserves the right to examine e-mail, personal file directories, and other information stored on City computers and other Department and City equipment. Internet access is stored on the City's network servers and is monitored on a regular basis; accordingly, Internet users may not assume a right to privacy in electronic communications at their City agency. In addition, users must be aware that voice mail, City Internet Access and other City electronic communications, including e-mail may be subject to the New York State Freedom of Information Law and can be obtained in discovery by a party suing the City and then used at trial. Therefore employees should take care to avoid writing something in an e-mail that they would not include in a carefully considered memorandum. Similar care should be taken when employees leave someone a voice mail.

A City agency's system administrator and certain other City agency staff have access to records, files and data belonging to City personnel. The system administrator and staff shall take reasonable precautions to avoid invading the privacy of individuals without their knowledge; they shall not divulge or disclose any such information to others, unless disclosure is required by Department policy or City, State and Federal law.

Passwords

The employee's user ID identifies him or her for Department of Finance systems. **Password complexity requirements are defined in Policy #500-1.** The employee's password authenticates his or her identity for these systems. Please follow the password security rules below:

1. **Do not tell** anyone your password. If you need to share data that resides on a computer, use electronic mailboxes, local area network server directories, and other mechanisms.
2. **Do not write** your password down anywhere without proper protection. If you must write it down, store the paper in a secure, locked place, and destroy it properly when no longer needed.
3. Make sure your password **cannot be guessed** by any human or program in a reasonable time.
4. If you think there's even a chance someone else might know your password, **change it**. It is good practice to change passwords every 30 days even without cause.

References

Link to Annual Employee Tax Secrecy Form:
http://financenet/html/policy.html

Link to Citywide data classification policy:
http://cityshare.nycnet/html/cityshare/downloads/it_wireless/info_security_policies/Data_Classification.pdf

Two links to Citywide data classification standard and encryption policy as applicable to Finance data subject to Tax Secrecy:
http://cityshare.nycnet/html/cityshare/downloads/it_wireless/info_security_policies/data_classification_standard.pdf

http://cityshare.nycnet/html/cityshare/downloads/it_wireless/info_security_policies/Encryption.pdf

Link to forms to request Finance network, Mainframe (Fairtax and STARS), and NYCServ and ALJ ID's and passwords:
http://fitforms.finance.nycnet

Link to Finance's password policy:
http://issdof/PDF/DOF%20Security%20Policies%20and%20Guidelines.pdf

Contact Information for DoITT Citywide Service Desk:
CityWideServiceDesk@doitt.nyc.gov
212-692-4357
212-NYC-HELP

Link to DOF's Internet Usage Policy
http://financenet/html/policy.html

Computer Security Policy #500-1

MANAGERIAL EMPLOYEES

This chapter of the Department of Finance Employee Handbook is devoted to those policies, procedures and practices that only affect employees in managerial (M-level) positions.

Prior City Service

Employees who have worked in another City Mayoral agency and have not had a break in service retain their original City start date. (Service in Health and Hospitals Corporation or an Authority may not count. Please check with the Personnel Office.)

A break in service for a provisional, exempt or non-competitive employee, who is not on an approved sick, childcare or military leave of absence, occurs when that employee has been in an unpaid status for more than thirty-one (31) consecutive calendar days.

A break in service for a civil service employee who is not on an approved leave of absence occurs when that employee has been in an unpaid status for more than one calendar year.

Please contact the Employee Helpline if you have any questions regarding your City start date.

Time and Leave Policies

Hours of Work

Managers are expected to work whatever hours and days are reasonably required to carry out their responsibilities. The regular workweek shall not be less than 35 hours and five days. Work schedules shall be consistent with the needs of the Department of Finance.

Managers are expected to be present each day they are scheduled to work. However, in establishing reasonable hours for a particular day on which they are working, consideration may be given to unusually long hours worked in a previous period, usually one week.

Timesheets

Every manager in the Department of Finance must submit a timesheet via CityTime indicating the hours worked for the week. Managers are required to use the DCD hand scanner or Web Clock to record their time. Both methods are acceptable and may be used interchangeably. Lunch hours should not be included in calculating the number of hours worked each day.

If, at any time during the workday, a manager leaves their work location to go to the field or to another Agency location, the manager's office should know where he or she is going. Managers may be expected to carry a wireless communication device such as an iPhone when out of their office.

Annual Leave Accrual Rates

For Managerial and Original Jurisdiction (**OJ**) (titles that are not eligible for collective bargaining) hired **on or before June 30, 2004**:

1^{st}—7^{th} years	20 days per year = 140:00 hours per year = 11:40 hours per month
8^{th}—14^{th} years	25 days per year = 175:00 hours per year = 14:35 hours per month

For Managerial and Original Jurisdiction (**OJ**) (titles that are not eligible for collective bargaining) **hired on or after July 1, 2004**:

1^{st}—4^{th} years	18 days per year = 126:00 hours per year = 10:30 hours per month
5^{th}—6^{th} years	19 days per year = 133:00 hours per year = 11:05 hours per month
7^{th}—9^{th} years	20 days per year = 140:00 hours per year = 11:40 hours per month
10^{th} year	21 days per year = 147:00 hours per year = 12:15 hours per month
11^{th} year	22 days per year = 154:00 hours per year = 12:50 hours per month
12^{th} year	23 days per year = 161:00 hours per year = 13:25 hours per month
13^{th} year	24 days per year = 168:00 hours per year = 14:00 hours per month
14^{th} year	25 days per year = 175:00 hours per year = 14:35 hours per month

Carry Over of Annual Leave

Managers may carry up to two (2) years accrual of annual leave from one calendar year into the next (for example, if you accrue 20 days per year, you may carry up to 40 annual leave days into the next year). It is the manager's responsibility to request annual leave before the end of the year in order to stay below the maximum accumulation permitted. However, the manager may be permitted to carry additional leave if he or she is ordered in writing by the Commissioner to forego the use of annual leave. Annual leave that exceeds the maximum will be converted to sick leave. If any leave is converted to sick leave, the leave that the manager earned first is converted first, and the manager retains the most recently earned leave. Managers will be notified before the end of the leave year if their balance is projected to be over the two-year limit. It is then the manager’s responsibility to attempt to liquidate the excess annual leave, or request an excess carryover for extenuating circumstances. If neither occurs, the time will be converted into sick leave.

Paid Parental Leave (PPL)

Effective December 22, 2015, the City implemented a Paid Parental Leave (PPL) a new benefit available to employees serving in Managerial and Original Jurisdiction titles. The PPL Program provides up to thirty (30) work days of paid time off for maternity, paternity, adoption, and foster care leave, at full salary. For complete program description and request for PPL form, please go to http://financenet/html/forms_timekeeping.html.

Authorized Managerial Leave Days

In exceptional cases, managers may be granted “authorized managerial leave” days in recognition of exemplary managerial performance. Such authorized managerial leave days may be granted based upon the completion of a complex or difficult project, achievement of a result or goal beneficial to the interest of the City, or unusually long hours worked. Agencies use only the following criteria to grant “authorized leave” days:

- Authorized leave days are rewards for exemplary managerial performance.
- The granting of authorized leave days is a discretionary act.
- There is no entitlement to authorized leave days based on unusually long hours worked or for any other reason.

Authorized leave days will be granted on a calendar-year basis. From January 1 to December 31 of each year, a manager may be granted no more than four authorized leave days and may use no more than four authorized leave days. Authorized leave days not used by the end of the calendar year may be carried over to the next calendar year, provided that less than one year has elapsed since the authorized leave day was granted.

When granting authorized leave days, the “*Certificate of Exemplary Managerial Performance*” must be submitted to the Timekeeping section of the Employee Services Division after approval by the Agency Head.

Managers may be granted authorized leave days subject to the following stipulations:

1. Authorized leave days shall be granted solely at the discretion of the Agency Head and may be approved only by the Agency Head or his/her designees at the level of Deputy Commissioner.

2. Authorized leave may not exceed four (4) days per calendar year, and must be used within one year of the date it is granted. Authorized leave days that have not been used within one year are forfeited.

3. Only one day of authorized leave may be granted for each instance of exemplary managerial performance.

4. Authorized leave may be used only in full-day increments.

5. Authorized leave days may not be used consecutively, or combined with annual leave, sick leave, or vested or sub- managerial compensatory balances.

6. No more than one authorized leave day may be used during a pay period.

7. Managers are not entitled to be paid for authorized leave upon final separation from City service or at any other time.

Sick Leave

In the event that a manager is unable to work due to personal illness or injury, the manager's leave balances should be charged as follows:

- Charges should be made to the manager's current sick leave balance until his/her balance is exhausted.
- Charges should next be made to the manager's vested/banked sick leave balance until this balance is exhausted.
- Charges should next be made to the manager's current annual leave balance.
- Charges to vest compensatory time.

When a manager requests sick leave, he or she must submit a leave request to his or her supervisor for approval. If a manager is out for more than three (3) days, the manager must provide medical documentation. If the manager does not provide documentation after being out sick for more than three (3) days, the manager may not be paid for the days and the paycheck may be withheld until appropriate documentation is provided. The Absence Control procedures do not apply to managers.

Sick Leave Accrual Rates

For Managerial and Original Jurisdiction (OJ) titles (titles that are not eligible for collective bargaining) hired **on or before June 30, 2004**:

7 hours per month = 12 days per year (84:00 hours per year)

For Managerial and Original Jurisdiction titles **hired on or after July 1, 2004**:

1st—5th years	Maximum 10 days per year (70:00 hours per year)
6th year	Maximum 12 days per year (84:00 hours per year)

For All Employees: Effective July 1, 2004, employees may use up to three (3) days per year from their sick leave balances for the care of ill family members. Family members are defined as a spouse; natural, foster or step parent; child; brother or sister; father-in-law; mother-in-law; any relative residing in the household; and/or a registered domestic partner. The employee must provide a doctor’s note, which includes the relationship to the person under care, and the fact that the employee had accompanied the family member to the doctor’s office. The day may not be split into several partial days.

If You Have No Sick Leave Balances

- Managers who are on approved sick leave and exhaust their sick leave balance may request permission to use accrued annual leave or vested compensatory time in their leave bank, but must continue to provide proof of disability.

- Managers who have exhausted all earned sick leave and annual leave balances due to personal illness may be permitted to use unearned sick leave allowance up to the amount they would earn in one year of service and charge it against future earned sick leave. A request for such an advance must be recommended by their supervisor and approved by the Deputy Commissioner of their division.

- In exceptional and unusual circumstances, a Division Head may grant permission for the manager to use up to 10 days of annual leave before it is earned.

- Civil service employees with at least 10 years of City service may be granted sick leave with pay for three months after all leave credits and advances have been used. The Director of Payroll, Time and Leave, in recommending such leave will be guided by the nature and extent of illness and the length and character of service. Final approval may only be granted by the Commissioner of the Department of Finance.

- Managers who have exhausted all leave balances and advances, and are not eligible for a grant of sick leave, may, at the Agency Head's discretion, be granted a leave of absence without pay.

Salary Continuation Program

The Salary Continuation Program, which consists of the Catastrophic Sick Leave Bank and the Dedicated Sick Leave Program, was established by the Mayor to enable managers and other employees in titles not eligible for collective bargaining in Mayoral agencies, to donate sick leave and/or annual leave to seriously ill or injured covered employees in need, as well as to receive sick leave when needed.

The Catastrophic Sick Leave Bank is a pool of sick leave and annual leave voluntarily donated by managers and other employees in titles not eligible for collective bargaining for potential use as sick leave by eligible employees who are also donors to the bank. Eligible recipients may receive up to 90 days of paid sick leave in any one-year period.

The Dedicated Sick Leave Program enables managers and other employees in titles not eligible for collective bargaining to voluntarily donate sick leave and/or annual leave for use as sick leave by an eligible employee who has been designated by the donor. Eligible recipients may receive up to 180 days of paid sick leave in any one-year period.

For the complete program description, criteria for recipient eligibility and for donating leave, and program requirements for both the Catastrophic Sick Leave Bank and the Dedicated Sick Leave Program, go to: : http://financenet/html/forms_timekeeping.html.

Transfer of Leave Balances

Managers who have worked in another City agency may be able to transfer their unpaid leave balances to the Department of Finance, subject to the following limitations:

- Annual leave–two year's accrual
- Vested Annual Leave–two years accrual
- Sick Leave– no limit
- Vested Sick Leave– no limit
- Compensatory Time–50 hours
- Vested Compensatory Time–50 hours

In order to transfer time, the manager must have no break in service between the date he or she left his or her former agency and the date he or she began working in the Department of Finance (see **Prior City Service**). If the former and current positions are both in the Management Pay Plan, the manager's balances will be transferred intact, provided they conform to the above limitations. If the former position was non managerial, the manager's balances will be placed in a vested leave bank.

Leave Balance Summary

The leave year for managers coincides with the calendar year (January–December). Employee Leave Statements may be viewed from Employee Self-Service at http://cityshare.nycnet/ess.

Vested Benefits

If an employee became a manager before December 31, 1977, all of the employee's leave balances as of that date are considered vested leave. For purposes of lump sum payment upon separation, this leave is paid at the rate earned on December 31, 1977, the current minimum rate for the managerial level the employee held at that time, or the current rate of pay the employee would be earning in the permanent title held before becoming a manager if the employee had not been appointed or promoted to a managerial position, whichever is greatest. If all current leave balances are exhausted, the employee may use his or her vested leave balances.

Non-Managerial Leave Balances

For employees who were promoted or appointed to a managerial position from a non-managerial position after December 31, 1977, their non-managerial leave balances are kept in a separate leave bank. If the managerial leave accruals are exhausted, the employee may use the non-managerial leave as current leave. For purposes of lump sum payment on separation, the non-managerial leave balances are paid at the rate of pay the employee was earning before becoming a manager or the current rate of pay the employee would have been earning in the non-managerial title had the employee not been promoted or assigned to a managerial position, whichever is greater.

Managerial Performance Evaluations

Managerial employees are rated annually for the period from January 1 to December 31 (calendar year). Performance is evaluated according to two equally important criteria of managerial effectiveness: key position-specific responsibilities and performance expectations which turn Agency plans and priorities into results, and Citywide managerial performance requirements that must be met in all agencies.

The Agency also incorporates an approach that is widely used in the private sector and increasingly in government: the 360-degree assessment. As its name suggests, the "360" allows a manager to receive feedback from the entire "circle" of coworkers with whom a manager works—boss, peers, self-appraisal and direct reports.

Managers and leaders within organizations use 360 feedback surveys to get a better understanding of their strengths and weaknesses. The 360 feedback system automatically tabulates the results and presents those in a format that helps the feedback recipient create a development plan. Individual responses are always combined with responses from other people in the same rater category (e.g., peer, direct report) in order to preserve anonymity and to give the employee a clear picture of his/her overall strengths and weaknesses.

During the year, your manager should meet with you periodically to review progress, provide feedback and when necessary, adjust key responsibilities and performance expectations to assure that they reflect current issues and priorities.

At the end of the evaluation period, or if your position changes, you will receive an evaluation based on the key responsibilities and performance expectations of the position. You should receive a rating on each of your key responsibilities as well as an overall rating (see **Rating Categories** below). Your manager should meet with you to discuss achievements during the evaluation period, reasons performance expectations were or were not reached, to develop a plan for your further development, and if necessary, to develop plans for improvement.

Rating Categories:

- **Exceptional** – Performance that consistently and significantly exceeds the requirements of the position.

- **Greatly Exceeds Requirements** – Performance that usually and importantly exceeds the requirements of the position.

- **Fully Meets Requirements** – Performance that consistently and generally meets, and sometimes exceeds, the requirements of the position.

- **Needs Improvement** – Performance that is generally below what is normally expected in the position and requires improvement.

- **Unsatisfactory** – Performance that does not meet the requirements of the position and the necessary improvements have not been forthcoming.

- **Not Rated or Not Applicable** – Employee is too new to task for a meaningful rating, or the task did not occur during the evaluation period.

Appeal Process:

1. A manager who has been unable to resolve a disputed evaluation or Agency action through discussion with his or her supervisor may appeal (in writing) to the individual who is one level above the manager's supervisor.

2. If the dispute is not resolved by this initial appeal, the manager is permitted to appeal to his or her Agency Head (Commissioner). However, if the Agency Head (Commissioner) is also the individual one level above the manager's supervisor as stated above, then the manager may appeal to the Commissioner of the Department of Citywide Administrative Services.

Resignation

When a manager intends to resign, he or she should complete the *Resignation Form found* under Personnel Forms at http://financenet/html/forms_misc.htm. The manager should submit the original to his or her supervisor for signature and then forward it to the Assistant Commissioner of Employee Services at least two weeks prior to the last day of work.

If the manager is on a leave of absence without pay and does not plan to return, the manager must still submit a formal letter of resignation. Otherwise, the manager's employment record may show an absence without leave at the end of an authorized leave.

Retirement

When a manager decides to retire, there are a series of steps the manager should follow to make certain everything goes smoothly. They are:

- Select a target date for your last day of work.
- Contact the Deputy Director of Employee Benefits (see telephone number at the back of this book) to set up a pre-retirement interview.
- Submit the application for retirement to NYC Employees Retirement System (NYCERS) 30 to 90 days before you retire; NYCERS is located at: 335 Adams Street, Suite 2300, Brooklyn, NY 11201-3751, http://www.nycers.org.
- Complete the *Intent to Retire Form* found under Personnel Forms at http://financenet/html/forms_misc.htm and forward it to the Director of Payroll, Time & Leave Support and Employee Benefits, at 66 John Street, 9th floor. NY, at least two weeks prior to your final day of work.

Lump Sum Payment on Separation

When a manager resigns or retires from the City of New York, the manager will be paid a lump sum for his or her accrued leave as follows:

Years of Service	**Maximum annual leave payable**	**Maximum sick leave payable**	**Vested/Banked leave**
Up to 5	3 years accrual	None	All vested or non-managerial Annual Leave
More than 5, less than 10	4 years accrual	None	All vested or non-managerial Annual Leave
More than 10	5 years accrual	One-third of balance of 60 days or more	All vested Annual Leave and compensatory time and one-half vested sick leave (not to exceed 120 days paid for vested and current sick leave)

Current leave earned during the six (6) years preceding the date of final separation will be paid at the salary rate at which it was earned. Current annual leave earned more than six years prior to the date of final separation will be paid at the average weighted salary rate received or receivable during the year ending six years prior to the date of final separation.

Please note that leave regulations for Management employees under Personnel Order No. 88/5, dated April 28, 1988, and as amended, state that upon separation from City service, payment of all leave balances (current, vested, and change in status) shall not exceed a maximum payment of the salary earned during the last twelve (12) months of service.

Please note that a manager may be paid for all vested annual leave earned in a non-managerial title. If the manager has a balance of non-managerial annual leave of more than two (2) years accrual, the manager may be paid for it as long as he or she had approval to carry excess annual leave as a non-managerial employee. However, the total maximum lump sum payment allowed, for all types of leave, is the salary earned or earnable during the last twelve (12) months of service.

It is important to keep accurate records of all your leave accruals, usage and balances to ensure that there are no questions or outstanding issues when you are ready to leave City service.

POLICIES AND PROCEDURES TABLE OF CONTENTS

Department of Finance

NEW YORK CITY DEPARTMENT OF FINANCE POLICY
AND PROCEDURE

Equal Employment Opportunity EQUAL Section 100	COMMISSIONER'S POLICY STATEMENT ON EMPLOYMENT OPPORTUNITY

POLICY STATEMENT

Policy Statement

The Department of Finance encourages a respectful work environment in which all employees know and understand their rights and obligations under the City's Equal Employment Opportunity (EEO) Policy. We are committed to fostering a discrimination-free workplace through education and dialogue, and to developing and retaining a diverse and inclusive workforce that reflects our City's population. Understanding and appreciating one another's differences drives stronger performance and makes the workplace a more effective, interesting and respectful place. All personnel at every level within our Agency should strive to create a work environment of inclusion and fairness so that we can all be proud to be Department of Finance employees.

All Department of Finance employees are directed to comply with the New York City Equal Employment Opportunity Policy (the "EEO Policy"). The EEO Policy can be accessed on the Agency Intranet under EEO at http://financenet/html/eeo.html. In addition, The EEO Policy Handbook, "About EEO: What You May Not Know" can be accessed on DCAS website at http://www.nyc.gov/html/dcas/html/about/eeobooklet.shtml.

The EEO Policy prohibits discriminatory employment actions against, and treatment of, City employees and applicants for employment based on actual or perceived race, color, national origin, alienage or citizenship status, religion. or creed, gender (including "gender identity," which refers to a person's actual or perceived gender, and includes self-image, appearance, behavior or expression, whether or not different from that traditionally associated with the legal gender assigned to the person at birth), disability, age (18 and over), military status, prior record of arrest or conviction, marital status, partnership status, genetic information or predisposing genetic characteristic, sexual orientation, status as a victim or witness of domestic violence, sex offenses or stalking, unemployment status, or pregnancy. In addition, the EEO Policy contains special sections on Sexual Harassment, Disabilities, Retaliation and Requests for Reasonable Accommodations (for people with disabilities; religious observances, beliefs or practices; victims of domestic violence, sexual offenses or stalking; or pregnancy, childbirth and related medical condition).

I am pleased with our accomplishments. Let me remind you that our Agency EEO program requires the following:

- Managers and supervisors must conduct documented meeting with staff, at least twice a year, to affirm their commitment to the agency's EEO Policy and to discuss the right of employees to file EEO complaints with Finance's EEO Officer and/or EEO Counselors. Documentation should be forwarded to the EEO Office to be kept on file.

- All managers, supervisors and staff involved in conducting employment interviews should receive Structured Interview Training. Managers and supervisors are encouraged to contact the Employee Services' Training Unit for information regarding structured interview training.

- The Agency's Career Counselor will provide career counseling to employees who request it.

- The Department of Finance provides Diversity & Inclusion and EEO computer-based training to all employees, which includes a discussion of the City's EEO Policies and the employee's rights and responsibilities under this policy.

- DOF's EEO programs are periodically audited by the New York City Equal Employment Practices Commission (EEPC). Upon completion of each audit, the Department of Finance will implement all recommended corrective actions pursuant to the EEPC audit compliance procedures. All Finance employees will be notified of the EEPC audit findings.

I encourage all employees to access the resources available within the Department of Finance and to address any concerns you have to William Marshall the Agency's EEO Officer, at (718) 488-2032.

Sincerely,

Jacque Jiha, Ph.D.
Commissioner

Inquiries: EEO Officer (718) 488-2032

Date Issued: March 2016

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Equal Employment Opportunity Section 100	SEXUAL HARASSMENT POLICY STATEMENT
Policy #100-3	

POLICY STATEMENT

Policy Statement
The Department of Finance encourages a respectful work environment in which all employees know and understand their rights and obligations under the City's Equal Employment Opportunity (EEO) Policy. We are committed to fostering a discrimination-free workplace through education and dialogue, and to developing and retaining a diverse and inclusive workforce that reflects our City's population. Understanding and appreciating one another's differences drives stronger performance and makes the workplace a more interesting and respectful place. All personnel at every level within our Agency should strive to create a work environment of inclusion and fairness so that we can all be proud to be Department of Finance employees.

Sexual Harassment

What is sexual harassment?
Sexual harassment is a form of discrimination prohibited by federal, state and city laws. The federal government has created guidelines that describe sexual harassment as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when submission to or rejection of this conduct explicitly or implicitly affects an individual's employment, unreasonably interferes with an individual's work performance, or creates an intimidating, hostile or offensive work environment.

What conduct is unwelcome?
The conduct is unwelcome if you did not initiate it, encourage it, provoke it or request it, and you feel that you are being ridiculed or that the conduct is demeaning, insulting, offensive, undesirable, hostile, intimidating or threatening.

What are some behaviors that violate the City's sexual harassment policy?
Telling sexual jokes or making sexual innuendos that cause embarrassment and discomfort to an individual may violate the City's sexual harassment policy. Also, repeatedly asking a co-worker for a date may be sexual harassment if this causes negative job consequences or an uncomfortable work environment. Asking for or pressuring a person into granting sexual favors in exchange for a job benefit, or threatening a person with negative employment decisions for rejecting sexual advances, violates the City's sexual harassment policy. Using office equipment, interoffice mail, email, voice mail or bulletin boards to send or display sexually suggestive messages, pictures, cartoons, posters or objects, or making sexually suggestive comments or propositions, or leering, squeezing, pinching, grabbing or other touching an employee may be sexual harassment.

Does sexual harassment have to involve sexual advances or other conduct that is sexual in nature?

The City's EEO Policy prohibits not only harassment of a sexual nature—that is, involving sexual activity or language—but also harassment that involves vulgar language, abusive acts or language, hostility, physical aggression, intimidation, or unequal treatment that is related to a person's gender.

Is everyone in the City's workplaces entitled to be free of sexual and gender-based harassment?

Yes. Some people think that sexual harassment happens only to women and that all harassers are men, but anyone can be sexually harassed, including men, and people of the same sex can be the harasser. You may complain regardless of whether the harasser is a manager, supervisor or co-worker. You may complain about harassment even if you are a manager or supervisor or if someone other than yourself is the target of the offensive conduct. Sexual harassment violates the City's policy even when the harasser is from another division or agency, or when the harasser is a client, customer, consultant, intern, volunteer, vendor, or other person who is not a City employee.

What if I don't mean to sexually harass anyone?

Even social relationships or behaviors that are not intended to hurt others may be unwelcome, offensive, intimidating or hostile, and therefore potentially sexually harassing. A good rule to follow is: Be sensitive to how others are reacting to your behavior, and always try to treat your fellow employees, men and women alike, with consideration, courtesy and respect.

Other Forms of Harassment

The City's EEO Policy prohibits any harassment based on your race, color, religion, national origin, age, disability, sexual orientation, etc. Harassing behavior includes, but is not limited to: slurs or abusive language, denigrating jokes, display or circulation of derogatory written or graphic materials, abusive acts, hostility, physical aggression, intimidation, or other unequal treatment. Any such conduct creates an intimidating, hostile or offensive work environment and could violate the City's EEO Policy. As in the case of sexual harassment, if you are subjected to such unwelcome conduct, you may complain regardless of whether the harasser is a manager, supervisor, co-worker, client, customer, consultant, intern, volunteer, vendor, or other person who is not a City employee. You may complain about harassment if you are an employee, a manager or supervisor or if someone other than yourself is the target of the offensive conduct.

Any Department of Finance employee who feels that he or she has been or is being subjected to sexual harassment may obtain a confidential personal conference by contacting:

William Marshall, EEO Officer
New York City Department of Finance
345 Adams Street, 3rd Floor
Brooklyn, N.Y.11201
(718) 488-2032

NYC Department of Finance

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Workplace Ethics Section 200	**OUTSIDE ACTIVITIES**
Policy #200-1	

POLICY STATEMENT

Employees who wish to engage in outside activities in addition to their departmental employment must obtain official Agency approval prior to starting such work. Outside employment and other outside activities for purposes of this policy and procedure include, but are not limited to:

- Paid or unpaid work with a secondary employer
- Self-employment (if you, your spouse or domestic partner, or your unemancipated child own a business)
- Pro-bono work
- Participation on a board
- Paid work for a non-profit organization
- Volunteer activities at a not-for-profit organization, where the employee has policy-making or administrative authority

The Department will make a determination regarding whether to approve or disapprove a request on a case-by-case basis. Factors which may be considered to determine if the request for outside activities will be granted include, but are not limited to, whether such outside activity constitutes a conflict of interest, an appearance of impropriety, or may negatively impact the employee's work performance or attendance. In addition, permissible outside activities must not reflect adversely upon the integrity and reputation of the Department.

Employees do not need to obtain official Agency approval to perform volunteer activities that do not constitute leadership at their religious organization, child's school, or local library. Official Agency approval is required, however, if employees have policy-making or administrative authority at that not-for-profit organization or a position on the not-for-profit's board. For example, if you volunteer in the soup kitchen of a homeless shelter, no official Agency approval is required. On the other hand, if you volunteer to prepare grant papers on behalf of the shelter, then official Agency approval is required. Any activity as an attorney, broker, agent, officer or director for a not- for-profit organization requires prior Agency approval.

Employees are expected to adhere to the provisions of this policy and procedure while on active duty, as well as when on a leave of absence. Employees are prohibited from engaging in outside activities that interfere with their assigned duties or participating in them during scheduled work hours. In addition, employees are reminded that Department of Finance premises, supplies, and equipment such as telephones, fax machines, copiers, supplies, and computers, are not to be used for any outside employment and other outside activities or any other non-City business activity, at any time.

All approvals for outside activities are valid for one year from the date of approval indicated on the request form unless otherwise stated. Employees who wish to continue outside activities beyond the assigned expiration date must submit a new request form, at least sixty (60) days in advance of the expiration date. Approval must be obtained prior to continuing outside activities.

Requests for continued outside activities must be re-submitted annually to ensure that they remain within the specifications of this policy. If the circumstances of a previously approved outside activity changes, or there is a change in the employee's DOF position and/or responsibilities, or if the employee wishes to engage in a different outside activity, he or she must seek approval by submitting a new request form during the current approval year. An employee may not engage in new or changed outside activity until he or she obtains approval.

SPECIFIC PROHIBITIONS

1. Chapter 68 of the NYC Charter, section 2604 (b) (6), states that no public servant shall represent private interests before any City agency or appear directly or indirectly on behalf of private interests in matters involving the city for compensation. Therefore, the following types of outside activities will not be approved for any Department of Finance employee:

    a. Engaging in any Federal, New York State, or New York City tax-related legal or accounting practice, tax consultation, and/or tax preparation. This does not include providing tax preparation assistance to immediate family members (such as parents, siblings, children, spouse, and in-laws) at no charge.

    b. Any tax-related appearance before any Federal, New York State, or New York City authority and/or any Federal, New York State, or New York City court or the rendering of any tax advice in relation thereto.

    c. The preparation of returns or reports involving any taxes administered by the City of New York, State of New York, or Internal Revenue Service for an individual or entity. This includes, but is not limited to, Sales Tax, Personal Income Tax, and Non- Resident Earnings Tax.

2. The following outside activity will not be approved for Deputy Sheriffs, employees in the Marshal's Enforcement Unit and employees in Investigator titles: participation in judgment collection work, employment with towing companies, employment as a process server anywhere or work for the NYC Marshals.

3. The following outside activity will not be approved for personnel employed in the City Register Office: participation in title industry activities, including, but not limited to, title research, title abstraction and document recording in New York City.

4. The following outside activity will not be approved for any employees working in Property Valuation who start employment at the Department of Finance on or after June 5, 2013:

    a. During the first two years of employment, such employees are prohibited from participating in real estate activities, including brokerage, sales and appraisals, anywhere <u>within or outside</u> New York City. Requests for such activity will not be approved.

b. Employees with two or more years of employment with Property Valuation may request to participate in real estate activities, including brokerage, sales and appraisals, <u>outside NYC only.</u>

5. Employees who are designated peace officers or special patrol persons and who are contemplating off-duty employment in the private security field are advised that:

    a. Peace officers may not use their duty weapons or City-owned firearms for outside employment and are prohibited from wearing or using their uniforms or shield in any manner in any off-duty employment.

    b. Employees who accept unarmed or armed private security employment must be aware that they will not, in most instances, be entitled to or receive legal representation and/or indemnification from the City of New York. These benefits of City employment are afforded to municipal employees only when they act within the scope of their employment and in discharge of official duties.

    c. An off-duty employee employed in the private security field does not, by virtue of that employment, relinquish the law enforcement power and authority conferred by the laws of the State of New York. However, when such an employee affects an arrest in furtherance of the private employer's interest, he is acting solely on behalf of that employer, not in discharge of his duties as a City employee.

    d. City employees in their private capacity may not investigate crimes for private employers and ordinarily should be the complainant and not the arresting officer for off-duty situations which arise (for example: trespass and burglaries) unless the exigencies of the circumstances require that they act in an arresting capacity.

    e. Because the City will not ordinarily indemnify such employees against claims brought by individuals for action taken in connection with their off-duty employment, it is recommended that these employees ascertain whether their private employer maintains liability insurance covering the off-duty employment and in furtherance of employer's interests.

    f. All court time, both arraignment and follow-up appearances, directly related to any duties and responsibilities of the off-duty employment may not be performed on the Department of Finance's time nor may an employee receive overtime compensation from the City for such time.

    g. Employees may not engage in off-duty employment as security guards at a location where a strike, labor dispute or demonstration is ongoing.

PROCEDURES FOR REQUESTING OUTSIDE ACTIVITY APPROVAL

To request approval to engage in an outside activity, an employee must report the details of the prospective employment to his or her immediate supervisor or manager, as follows:

1. An employee must request authorization to engage in outside employment and other outside activities, including volunteer activities that require prior Agency approval, on the DOF Request for Outside Activities Form. The employee must obtain DOF approval and, if necessary, the Conflict of Interest Board opinion, before engaging in the outside activities.

2. Please note that Conflict of Interest Board attorneys give guidance on Citywide conflict-of-interest questions. You may contact them confidentially at 2 Lafayette St., Suite 1010, New York, N.Y. 10003 and at (212) 442-1400. Press "2" and ask for the "Attorney of the Day."

3. If an employee wants to engage in any secondary employment with an organization that does business with *any* City agency, the employee must also complete a "***Request for a Moonlighting Waiver***." In order to determine whether the organization holds contracts with *any* City agency, the employee should visit the NYC Comptroller's Office website at: http://comptroller.nyc.gov/ and click on *Checkbook NYC – Contracts* link to view a complete list of organizations that hold contracts with city agencies. If the organization does hold contracts with the City, the ***Request for a Moonlight Waiver*** form must be completed. A copy of the Moonlighting waiver form may be obtained from the Department of Finance Intranet http://financenet and should be completed as instructed. All completed forms must be attached to the ***Request for Outside Activities*** form when submitting to your supervisor or manager for approval.

4. If the outside activity is for another City agency, such activity requires the approval of both the Department of Finance and the other agency. Contact the Employee Services Unit for the required form.

5. The employee's supervisor or manager shall forward the completed forms with his or her recommendation to their Deputy Commissioner. The Deputy Commissioner shall provide a written recommendation and forward it to the Commissioner's designee, Corinne Dickey, Assistant Commissioner of Employee Services, 66 John Street, 9th Floor, New York, NY 10038 for approval or disapproval. The recommendation as to whether or not to approve the outside activity is based on a number of factors, including, but not limited to, whether the proposed outside activity might interfere with the employee's work performance or attendance.

6. In deciding whether to approve the requested outside activity, the Commissioner or designee may request additional information from the employee, the supervisor, or the Deputy Commissioner.

7. The Commissioner or designee will transmit his/her decision to the employee's Deputy Commissioner, the employee's supervisor or manager and the employee. A copy will also be included in the employee's personnel file.

NOTE: This policy and procedure does not supersede the City's Conflict of Interest Law (COIL). Employees are required to adhere to both Finance Policy #200 and the COIL.

NOTE: Employees who are on a leave of absence from the Department are required to adhere to the rules and regulations outlined in this policy and procedure.

The Request for Outside Activities form can be obtained from the Department of Finance Employee Intranet: http://financenet.

Inquiries: Employee Helpline
(212) 291-HELP (4357)

Date Issued: March 2016

NYC Department of Finance

REQUEST FOR OUTSIDE ACTIVITIES

Instructions: Complete the information about yourself and your proposed outside activity and sign the agreement/certification. The form must be signed by your supervisor for preliminary approval. When your request gets final approval, you will be notified by Employee Services. Any approval is valid for one year and a new Request for Outside Activities form must be completed on an annual basis if you wish to continue in that activity.

EMPLOYEE INFORMATION

Employee's Name: ______________________________

PRINT FIRST NAME PRINT LAST NAME

Division and Unit: ______________________________

DIVISION UNIT

Office Title: ____________ Civil Service Title: ____________ DOF Work Schedule: ____________

in addition to my full-time employment for the NYC Department of Finance, I plan to conduct outside activity on the following basis:

Outside Employer/Organization/Self-employed: ______________________ EIN: ____________

Address: ______________________________

NUMBER AND STREET CITY STATE ZIP CODE

Describe nature of the organization: ______________________________

____

____

____

Requested Start Date: ____________ End Date: ____________ Your Title: ____________

Proposed Outside Work Schedule: ______________________ ☐ Paid ☐ Unpaid

DAYS HOURS

Does the employer/organization have any business with the City? ☐ YES ☐ NO Please visit the NYC Comptroller website at: http://comptroller.nyc.gov/ and click on the *Checkbook NYC - Contracts* link to determine if the employer/organization hold contracts with **any** city agency. If the organization has business dealings with the city, you must also complete a Moonlighting Waiver Request form which can be obtained from the Department of Finance Intranet: http://FinanceNet. All forms must be attached to this request when submitting for supervisor or manager approval.

Detailed description of your proposed outside activity: ______________________________

____

____

Please read the attached Policy and Procedure #200-1: Outside Activities before signing this form:

I understand the provisions of Policy and Procedure on Outside Activities 200-1. I understand that I must obtain DOF approval, and if necessary COIB approval prior to starting any outside activity. Approval for any outside activity is valid for one year. After that period, I understand that I must re-apply if I intend to continue engaging in that outside activity. Also, if there are changes to my previously approved outside activity, or my Finance job responsibilities or hours of employment, I understand that I must re-submit my request form for approval. This includes any changes to my Finance job function or hours of employment. Request for initial approval or pursuant to changes in circumstances should be submitted at least 60 days in advance. I am aware that violation of this Policy and Procedure may subject me to disciplinary action, including dismissal. I also understand that approval will be withdrawn if my outside activity negatively impacts my work performance or attendance.

Employee's Signature: ______________________________ Date: ______/______/______

☐ Approved
☐ Disapproved
Signature: ______________________________ Date: ______/______/______

RECOMMENDATION OF DIVISION HEAD

☐ Approved
☐ Disapproved
Signature: ______________________________ Date: ______/______/______

☐ Approved
☐ Disapproved
Signature: ______________________________ Date: ______/______/______

☐ Approved
☐ Disapproved
Signature: ______________________________ Date: ______/______/______

Approval is valid for one year only, based on the specific facts as described above. Expiration Date: ______/______/______

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Workplace Ethics Section 200	REAL ESTATE OWNERSHIP FOR INVESTMENT PURPOSES (Property Division)
Policy #: 200-2	

POLICY STATEMENT

If you work for the City of New York, you have a special obligation to maintain the public trust. You are expected to follow the rules of ethical conduct set forth in Chapter 68 of the City Charter–the Conflicts of Interest Law (COIL). The COIL regulates conflicts between your public duties and private interests. These rules of ethical conduct were enacted in order to assure the public that City workers are performing their jobs with integrity. Not only do the rules assure the public that City employees act fairly and impartially, but that their actions appear fair and impartial as well. The COIL sets minimum standards, and violation of the rules may result in serious penalties.

Please be aware that the Department of Finance reserves the right to set standards in addition to and stricter than those set by the Conflict of Interest Board (COIB). Employees are expected to follow both the COIB and Department of Finance rules.

Some City employees may seek to own real estate for investment purposes. Generally, such activities are permissible, but you must be certain that if you, your spouse, domestic partner, or unemancipated child, own an income-producing property it does not cause a conflict of interest with your City job responsibilities. Employees in Assessment-related titles and positions, and employees in other titles or positions, as designated by the Commissioner, must notify the Department of Finance of the full extent of their ownership of real estate on an annual basis.

In general, the following is permissible for all staff in the Property Division and any other employees designated by the Commissioner:

Real estate ownership or investments in New York City, directly or indirectly, in any real estate up to and including six units of primarily residential property characterized as Tax Class 1, or Tax class 2A or Tax Class 2C. The six units may be in a combination of Tax Class 1, 2A or 2C. In order to be considered primarily residential, each individual property owned must have at least 51% of its square footage used for residential purposes.

Please note that employees are expected to adhere to the provisions of this policy and procedure while on active duty, as well as on a leave of absence. Previously disclosed real estate ownership for investment purposes may be reviewed periodically to ensure that it remains within the specifications of this policy. If the circumstances of a previously disclosed real estate ownership change or if the employee wishes to engage in a different real estate ownership for investment purposes, he or she must file a new disclosure form which lists all of the properties currently owned regardless of previous disclosure.

Please note that under NYC Chapter 68, section 2606, no public servant shall represent private interests before any City agency or appear directly on behalf of private interests in matters involving the City for compensation.

PROCEDURE TO DISCLOSE REAL ESTATE OWNERSHIP FOR INVESTMENT PURPOSES

1. To disclose ownership of real property, an employee must report the details of such ownership on a Department the Finance Disclosure of Real Estate Ownership for Investment Purposes Form. Each Tax Class category must be listed separately.

   Note: If you do not own an income-producing property, please complete the top portion of the form by checking the appropriate box then sign and date the form.

   The employee shall forward the completed form to the Employee Services/Employee Relations Unit, for verification and distribution as follows:

2. The Assistant Commissioner of the Property Division will review the form for compliance and management controls. A copy will be sent to the Personnel Office for distribution to the Inspector General's Office and inclusion in the employee's personnel file. The Property Division will also maintain a copy.

   Any disclosure that is not within the scope of this policy will not be approved.

Note: This policy and procedure supersedes all previously issued interpretive memorandum, however, it does NOT supersede the City's Conflict of Interest Law (COIL). Employees are required to adhere to both the DOF Policy #200-2 and the COIL. For information on "Outside Activities" please refer to DOF's Policy & Procedure Workplace Ethics, Policy # 200-1.

Note: Employees, who are on a leave of absence from the Department, are required to adhere to the rules and regulations outlined in this policy and procedure.

Inquiries: Property Division
Employee Helpline
(212) 291-HELP (4357)

Date Issued: March 2016

Department of Finance

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Workplace Ethics Section 200	PROHIBITION AGAINST ACCEPTING GIFTS
Policy #200-3	

POLICY STATEMENT

Chapter 68 of the New York City Charter, the Conflicts of Interest Law (COIL), provides standards of ethical conduct for City workers to prevent circumstances which create the possibility or appearance of:

- Using one's office for private gain,
- Giving preferential treatment to any person or entity,
- Losing independence or impartiality, or
- Accepting gifts, gratuities or favors, for performing official duties.

These rules are intended to protect employees from abuses and improper pressure to commit unethical acts, and assure the public that City employees perform their jobs with integrity.

New York City Department of Finance (DOF) employees may not:

- Accept <u>anything</u> of value from <u>anyone</u> for performing your City duties. This may be in the form of gifts, favors, entertainment, meals, tips, travel, or in any other form**.**

- Accept <u>any</u> <u>gift</u> from a person or firm that you know or should know is engaged in business dealings with the City. It is the employee's responsibility to determine if the person or firm does business with the City.

  In this instance, the Department of Finance has stricter rules than the COIL provision (which allows a gift up to a maximum value of $50). Due to the unique nature of DOF's business dealings with taxpayers, respondents, vendors, title searchers and other members of the public, the Department's policy is that employees may not accept any gift of any value. A "gift" in the form of money, service, loan, travel, entertainment, hospitality, thing, or promise or in any other form is prohibited.

- Accept a gratuity from any person.

- Give a gift to or receive a gift from a supervisor or subordinate, if the gift is worth more than a negligible amount. No one should pressure another employee into buying a gift with the expectation of receiving a reward/favor in return.

The Department has adopted a "no gift" policy. However, under certain circumstances, the COIL "exceptions" may be applicable.

- A small donation for a collective gift by the office for birthdays, holidays, baby showers, etc., is permitted as long as it is consistent with the limited terms presented above.

- A gift for customary family or social occasions may be permitted, provided it is clear that the reason for the gift is family relationship or a close personal friendship. In addition, it is important that receipt of the gift does not result in the *appearance* of a conflict or impropriety.

For further information or clarification on specific items, employees should seek an opinion from the DOF's COIB Liaison at the Legal Affairs Division:

Department of Finance
COIB Liaison
Legal Affairs Division
345 Adams Street, 3rd Floor
Brooklyn, N.Y. 11201

PROCEDURE

Except in the two limited exceptions described above, all DOF employees must adhere to the following procedures regarding the offering and receiving of gifts:

1. **The offer of a gift:**
   If an employee is offered a gift, the employee cannot accept the gift but should advise the person making the offer that giving and accepting gifts constitutes a violation of Department of Finance policy.

2. **Receiving a gift:**
   Any employee who receives a gift must take immediate steps to return the gift. In addition, the employee must advise the person who made the offer that the acceptance of gifts is a violation of Finance policy.

3. **Returning a gift:**
   If the gift is not returned immediately upon receipt to the individual who offered it, the gift should be forwarded <u>immediately</u> to the employee's supervisor.

   a. If the person who offered the gift is known, such gift must be returned to him or her with a letter. (**Please refer to sample letter - Attachment A**).

   b. Gifts that cannot be returned to the donor, i.e. perishable gifts, must be donated to a not-for-profit entity. If a gift is donated to a not-for-profit organization, the person determining which organization receives the gift should have no affiliation with that organization. (**Please refer to sample letter - Attachment B.**)

   c. Monetary gifts that cannot be returned shall be forwarded to the Treasury Division along with **Attachment C – sample memo**.

Whenever there is an offer or receipt of a gift, the employee must advise his or her supervisor of the particular circumstances involved in the offer or receipt of the gift.

All offices open to the public must clearly display signs advising that it is a violation of the Department of Finance policy for employees to receive gifts or gratuities of any kind. Please refer to the sample posting—Attachment D—for suggested language for such signs.

Inquiries:	Department Advocate's Office (718) 488-2173 Legal Affairs Division COIB Liaison	**Date Issued:**	March 2016

ATTACHMENT A
(Sample Letter)

Date:

____

____

____

Dear:

Please be advised that in accordance with the New York City Department of Finance (DOF) Policy and Procedure, #200-3, and the New York City Conflicts of Interest Board, DOF employees are prohibited from accepting gifts or gratuities of any kind from anyone engaging in business dealings with the City. We are therefore returning to you the enclosed item (item description) you left with an employee in our office (give address and location) on (give date).

If you wish to acknowledge the excellent customer service provided by a DOF employee, please feel free to write a letter of appreciation to his or her supervisor. We will make certain that the employee is recognized, as well as place a copy of the letter in his or her personnel file.

Sincerely,

Unit Manager

cc: Inspector General
Department Advocate
Department COIB Liaison

ATTACHMENT B
(Sample Letter)

Date:

____

____

____

Dear:

Please be advised that in accordance with the New York City Department of Finance (DOF) Policy and Procedure, #200-3, and the New York City Conflicts of Interest Board, DOF employees are prohibited from accepting gifts or gratuities of any kind from anyone engaging in business dealings with the City.

One of our employees received an inappropriate gift from such a person or entity. We are unable to return the gift to its sender and, therefore, are donating the following item(s) to your organization.

Description of Item(s) Donated: ____

____

____

Sincerely,

Unit Manager

cc: Inspector General
Department Advocate
Department COIB Liaison

ATTACHMENT C
(Sample memo)

TO: Treasury Division

FROM: Unit Manager

RE: Unaccepted Gratuities

DATE:

In accordance with the New York City Department of Finance (DOF) Policy and Procedure, #200-3 and the New York City Conflicts of Interest Board, DOF employees are prohibited from accepting gifts or gratuities of any kind from anyone engaged in business dealings with the City. Attempts have been made to return the gratuity to the sender however we have been unable to identify/locate him or her.

I am, therefore, forwarding $ (amount) received by (employee's name and location) on (date received).

cc: Inspector General
Department Advocate
Department COIB Liaison

ATTACHMENT D

(SAMPLE POSTING)

New York City Department of Finance employees may **NOT** accept any gifts or tips for doing their job.

Please do **NOT** offer any gifts or tips to a Finance employee.

Thank you

Department of Finance

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Workplace Ethics Section 200	**EMPLOYMENT OF RELATIVES AND OTHER PERSONAL BUSINESS OR FINANCIAL RELATIONSHIPS**
Policy # 200-4	

POLICY STATEMENT

It is the policy of the Department of Finance (DOF) to avoid any appearance of impropriety or conflict of interest that may result when immediate or extended family members or a person with whom an employee has a business, personal or other financial relationship are employed by this Department. Employment includes interns, consultants and volunteers.

This policy does not supersede the laws, rules, or any collective bargaining agreement(s) relating to the transfer of employees.

1. For purposes of this policy, "family member" is defined as an employee's parent, spouse, child, sister, brother, niece, nephew, aunt, uncle, cousin, grandparent, grandchild, domestic partner, or the spouse or child of any of the foregoing or any person bearing the same relationship to the employee's spouse or domestic partner. Employees in a "business, personal, or other financial relationship" include a romantic relationship, roommates, business partners or any other relationships that may include a financial interest.

2. For purposes of this policy, "employment" is defined as paid and non-paid work, including volunteers and non-paid Interns.

3. No employee shall be involved in or responsible for the hiring of a family member or other person with whom the employee has a personal, business, or financial relationship. Department of Finance employees may advise such individuals of job postings within the agency for which the person may be qualified.

4. No DOF employee shall directly or indirectly supervise a family member or person with whom the employee has a personal, business or financial relationship.

5. Family members and employees in personal, business or financial relationships will be reviewed to determine if there is any appearance of impropriety or conflict of interest. These situations must be reviewed on a case-by-case basis.

6. You can refer to Chapter 68 of the Conflicts of Interest Law for further information.

PROCEDURES

1. All new employees are required to inform the Agency's Personnel Office of the name(s), title(s), and work location(s) of any family member or personal, business or financial relationship who is employed by the Department.

2. All current employees who have not already informed the Department of family members and those in personal, business or financial relationships working in any capacity at the Department shall do so by completing the attached "*Applicant/Employee Disclosure Statement*" form and submitting it to their manager within 30 days of the issuance of this policy and procedure.

   All completed forms will be checked by the Personnel Office to ensure that the family members and personal, business or financial relationships listed on the form have completed and submitted an "*Applicant/Employee Disclosure Statement*" form.

3. Employees are responsible for notifying their manager, by submitting a new form, within 30 days of any event (e.g., marriage, divorce, adoption, death, transfer, reassignment, reorganization, termination of a personal, business or financial relationship, etc.) that may create an appearance of impropriety or change the working relationship with any other employee in the Department.

4. The Employee must then forward the completed "*Applicant/Employee Disclosure Statement*" form to his or her manager. Next, the Deputy Commissioners will review and make their recommendations. The Assistant Commissioner of Employee Services will then review and make a determination, after consultation with the Department of Finance Legal Affairs as appropriate.

5. If it is determined that there is no appearance of impropriety or potential conflict of interest, the form will be approved, the impacted employees notified, and the form will be placed in the employees' personnel files.

Inquiries: Employee Helpline
(212) 291-HELP (4357)

Date Issued: March 2016

Department of Finance

NEW YORK CITY DEPARTMENT OF FINANCE
APPLICANT/EMPLOYEE DISCLOSURE STATEMENT

NAME: ____**TITLE:** _________________________________

DIVISION: ____ **UNIT:** ________________________________

WORK LOCATION: ____

Do you have any family member or a personal, business or financial relationship with a person employed by the New York City Department of Finance, including interns, consultants and volunteers? **YES** _____**NO** _____

"Family member" is defined as an employee's parent, spouse, child, sister, brother, niece, nephew, aunt, uncle, cousin, grandparent, grandchild, domestic partner, or the spouse or child of any of the foregoing or any person bearing the same relationship to the employee's spouse or domestic partner. "Personal, business or financial relationship" includes a romantic relationship, roommates, business partners or any relationships in which employees share a financial interest. Please refer to Policy 200-4 for additional details.

If you answered "**YES**" above, please complete the following:

Name	Relationship	Job Title/Function	Division & Unit	Work Location

(Please complete a separate form for any additional instances)

____ _____________________________

Signature of Applicant/Employee Date

Current Employees - Please submit completed form to your Supervisor
Applicants - Please submit completed form to Personnel staff.

____ _____________________________

Signature of Supervisor Date

Recommendation of Deputy Commissioner **(**for Division **of applicant/employee):** ____

____

Signature: ____ Date: ____________________________

Recommendation of Deputy Commissioner (for Division of **"family member or personal, business or financial relationship"**): ____________

____

Signature: Date:

Reviewed By**:** _______________________________________ Date: ___________________________

☐ Assistant Commissioner of Employee Services ☐

____

Comments:

Request Approved Request Denied Date Waiver Issued: ____________________

Revised: June 2013

Department of Finance

Office of the Commissioner
1 Centre Street- Suite 500
New York, NY 10007
Tel. 212.669.4855
Fax 212.669.2275

Jacques Jiha, Ph.D.
Commissioner

MEMORANDUM

TO: Department of Finance Employees, Contractors and Other Persons

FROM: Jacques Jiha, Ph.D.

DATE: February 18, 2016

RE: Access, Inspection, Use and Disposal of Tax Secret & Confidential Information

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This memorandum provides guidance to Finance Employees, Contractors and Other Persons regarding the access, inspection, use, and disposal of tax secret and other financial and/or privacy protected information ("confidential" information). If you have specific questions regarding anything contained in this memo please contact the Legal Affairs Division.

Finance routinely receives tax secret and confidential information from many sources, including individual and business taxpayers, private entities, and credit reporting agencies. Finance also receives tax secret and confidential information from the Internal Revenue Service ("IRS"), the New York State Department of Taxation and Finance, the New York State Department of Motor Vehicles ("DMV"), and other taxing authorities, pursuant to Information Exchange Agreements ("Agreements"). These Agreements, as well as specific federal, state and city statutes, prohibit the unauthorized access, inspection, use or disposal of tax secret and confidential information, and specify penalties for violations. This information remains protected even when incorporated into a new document or file created by Finance.

Finance policy prohibits the access, inspection, use or disclosure of tax secret or confidential information absent an official tax administration or legitimate business purpose. The unauthorized access, use disclosure or disposal of such information may result in disciplinary action, termination from employment, criminal prosecution, civil proceedings, and the imposition of criminal or civil penalties.

Safeguarding tax secret confidential information is critically important. Tax secret and confidential information should be stored in locked files or drawers, and should not be left on your desk or in your work area. When leaving your work area, you should log off of your machine, or minimize any screens containing confidential information. Visitors to Finance should always be escorted by an employee when on Finance premises. Employees should never discuss confidential information or projects outside of work.

I. FEDERAL TAX INFORMATION

Finance receives federal tax information ("FTI") from the IRS pursuant to the Internal Revenue Code. FTI, which includes tax returns and return information, is confidential under Federal law. Return information is very broad, encompassing a taxpayer's identity, the nature, source, or amount of the taxpayer's income, payments, receipts, deductions, exemptions, credits, assets, liabilities, net worth, tax liability, taxes withheld, deficiencies, overassessments, payments, or even whether the taxpayer's return was, is, or will be examined or subject to review. Federal returns attached to City returns are not FTI, but are subject to the City's secrecy provisions.

UNAX: Federal law prohibits the unauthorized willful access, inspection or disclosure of FTI without an official tax administration purpose. The relevant Internal Revenue Code ("IRC") provisions are known collectively as "UNAX".

IRC § 7213: Prohibits the unauthorized willful disclosure of FTI. Violations are felonies punishable by a maximum $5,000 fine and/or five years' imprisonment, plus the cost of prosecution. Employees will immediately be terminated from employment upon conviction under this section.

IRC § 7213A: Prohibits the unauthorized willful access and inspection of FTI. Violations are misdemeanors punishable by a maximum $1,000 fine and/or one year imprisonment, plus the cost of prosecution.

IRC § 7431: Provides for a private cause of action in federal court by a taxpayer against an employee who knowingly or negligently inspects or discloses such taxpayer's FTI. The taxpayer may be entitled an award for damages, plus the costs of the action (which may include attorneys' fees).

Incident Reporting: The IRS requires agencies receiving FTI to notify them if there are any Incidents of Unauthorized Inspection or Disclosure of Federal Tax Information. Any unauthorized access, inspection, use or disposal of FTI and/or breach in the confidentiality of FTIis called an "incident" and must be reported to the IRS and the Treasury Inspector General for Tax Administration ("TIGTA") as soon as possible. If you discover that an "incident" has occurred, you must immediately notify a supervisor or manager and provide as much information as possible.

Post-Employment: Disclosure restrictions and penalties associated with unauthorized actions apply even after employment or contract with the agency has ended. You should be aware that you can still be prosecuted under federal law for violations committed while employed by or under contract with Finance.

Internet/Intranet and Electronic Mail: Finance policy prohibits the transmission of FTI and documents containing FTI over the Internet/intranet unless the material is contained within an attachment to an email (not in the body) and all attached files are encrypted.

If FTI is included in an email, the sender must ensure the transmission is sent only to an authorized recipient(s). Emails that contain FTI should be properly labeled to ensure the recipient is aware the message also includes FTI. For example, the sender should add something to the effect: "This message contains FTI".

Wherever possible, for security, transmit only the last four digits of a TIN, i.e., SSN or EIN.

Fax Machines: Finance policy requires documents containing FTI to be protected when transmitted via fax. FTI must only be transmitted to authorized persons. As a result, Finance recommends the following practices when faxing FTI:

1. Have a trusted staff member at the sending and receiving fax machines;
2. Call the recipient before faxing;
3. Place fax machines in secure locations;
4. Maintain accurate broadcast lists and use preset numbers of frequent recipients of FTI;
5. Include cover sheets that explicitly provide guidance to fax recipients concerning sensitivity of the data and need for protection, notice to unintended recipients to telephone the sender and report the disclosure and confirm disposition of the faxed information.

Labeling & Tracking the Movement of FTI: All FTI, including paper and electronic files and documents (such as audit work papers, reports and calculations) must be labeled as such so that anyone coming into contact with the material becomes aware that the contents includes FIT. This label may include the following inscription: "IRS Federal Tax Information-Access Restricted". This wording may be added to the front side of your documents, work papers, reports, files, folders, and media storage devices, electronically, rubber-stamped, or by hand.

The movement of FTI must be tracked within the agency from receipt through destruction through the use of logs. When using information received from the IRS, you must create a log and keep the log with your case file. It is required that you create and maintain a record identifying what kind of information was used, how was it used, where did it go within the agency and where did it eventually end up.

Disposal of Federal Tax Information: All documents containing FTI must be shredded when no longer needed. It should not be placed in wastepaper cans or recycle bins.

Access to Restricted Areas: To maintain secrecy, security and safety, Finance policy requires all employees and contractors to use their DOF-issued card key every time they access restricted areas where FTI is available. In addition, when entering or exiting through an entrance way to a restricted area, do not permit an unauthorized person to enter before the doors close.

II. STATE AND CITY TAX SECRET INFORMATION

The following taxes contain their own secrecy provisions: Franchise Corporation Tax, Personal Income Tax, Sales Tax, the General Corporation Tax, the Bank Tax, the Unincorporated Business Tax, the Commercial Rent Tax, the Utility Tax, the Hotel Room Occupancy Tax, the Tax on Owners of Motor Vehicles, and Real Property Transfer Tax returns filed before January **1,** 2003. In addition, Real Property Income and Expense ("RPIE") Statements and portions of Applications for Tax Exemption or Abatement are confidential.

The New York State Tax Law and New York City Administrative Code ("Code") prohibit the unauthorized access, inspection or use of tax secret information. Under Adm. Code § 11-4017, and New York State Tax Law § 1825, violations of these tax secrecy provisions are misdemeanors.

III. OTHER TAX SECRET AND CONFIDENTIAL INFORMATION

Social Security Numbers:

Social Security Numbers ("SSN's") are protected by personal privacy laws. SSN's may only be disclosed when specifically authorized by the Legal Affairs Division.

Finance Databases:

Finance's FAIRTAX, Revenue Information Database ("RID"), Professional Audit Support System ("PASS"), FileNet, BTS and their successors and other computer data processing systems contain tax secret and confidential information. Accordingly, printouts of FAIRTAX, RID, PASS and BTS screens should not be disclosed unless specifically authorized in writing by the Legal Affairs Division. This prohibition does not apply to portions of the FAIRTAX Real Property Tax file that do not contain RPIE data.

Financial Crimes Enforcement Network ("FinCEN")

FinCEN is a bureau of the U.S. Department of the Treasury whose mission is to enhance the integrity of financial systems by facilitating the detection and deterrence of financial crime. Finance receives information from FinCEN pursuant to a Memorandum of Understanding with the U.S. Department of Treasury. All such information should be considered confidential, and is subject to strict rules regarding use and access and may not be redisclosed except as provided in the Memorandum of Understanding.

Vehicle Owners Private Information

Finance receives confidential and personally identifying driver information from the DMV in connection with parking violation administration. This information is maintained on the Summons Tracking Accounts Receivable System ("STARS") database, and may only be accessed or disclosed for legitimate business purposes, as authorized under federal law. STARS screens containing such information are privacy protected, and may only be disclosed when authorized by the Legal Affairs Division.

In addition, the Code requires city agencies to immediately report the unauthorized disclosure of personal identifying information such as driver's license numbers, SSN's, and bank account numbers, to the New York City Police Department and to persons who might have had their personal identifying information breached as well. If you believe there has been security breach involving personally identifying information, please notify your supervisor immediately.

IV. OTHER **IMPORTANT CONFIDENTIALITY OBLIGATIONS**

Litigation

Employees are prohibited from disclosing tax secret or privacy protected personal information in connection with any private legal action. This prohibition extends to communications with your attorney. If you believe that you must disclose confidential information in connection with a private legal action, have your attorney call the Legal Affairs Division.

Tax Administration and Enforcement Information

Employees are prohibited from disclosing information related to tax administration or enforcement by Finance. This specifically includes information related to audit selection methods, but extends to any information related to Finance's internal operations, policies, or procedures. Employees may only disclose such information when specifically authorized by the Legal Affairs Division. Any violation of this policy will be referred to the Department Advocate for imposition of disciplinary action.

Confidentiality Out Of the Office

Employees are required to maintain the confidentiality of tax secret and privacy protected personal information at all times, including when authorized to remove such information from Finance premises. Employees authorized to remove such information from Finance premises, whether in hard copy or electronic format, should safeguard such information against unauthorized access, loss or theft. Where possible, confidential information should be kept on your person, or locked in a secure area in which only you have access.

The obligation to maintain the confidentiality of tax secret or other privacy protected personal information continues after you have left employment at Finance.

CERTIFICATION

I hereby certify that I have read and understand Finance's 2016 "Access, Inspection Use and Disposal of Tax Secret and Privacy Protected Personal Information" Memorandum. I hereby agree to abide by the provisions therein.

PRINT NAME DIVISION/ORGANIZATION

SIGNATURE DATE

Department of Finance

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Workplace Ethics Section 200	**OFFICIAL BUSINESS DEFENSE TO PARKING TICKETS**
Policy #: 200-6	

POLICY STATEMENT

New York City Department of Finance (DOF) employees designated as "authorized drivers" must drive and park in compliance with the rules and regulations provided in the *Regulations for City Vehicle Drivers* while on official business. For purposes of the procedures outlined in this Policy and Procedure, an "authorized driver" is an employee of the DOF who has been notified in writing by the Operational Services' Fleet Unit that he or she is authorized to operate a City-owned vehicle or specified private vehicle to conduct approved city business.

PROCEDURES FOR AN "AUTHORIZED DRIVER" WHO RECEIVES A NYC PARKING VIOLATIONS SUMMONS

1. If an "authorized driver" receives a New York City parking violation summons on a *City-owned* vehicle or his or her private vehicle during the course of official city business, the employee must notify the Department's Official Business Defense (OBD) liaison by **completing a notarized Official Business Affidavit within 7 days.** The affidavit can be found on the DOF's Intranet at http://financenet/html/forms_facilities_management.html.

2. The following documents must be submitted with the Official Business Affidavit for Parking Violation Summons application.

   a) **Parking Violations Summons**–The summons "hard copy" with its reverse side completed according to instructions on the summons. If the "hard copy" is unavailable, an employee may obtain an image of the summons, after twenty-one (21) days of issuance, by contacting the Parking Violations Help line at 311, visiting any one of the Payment Centers throughout the City, or by visiting the DOF website at www.nyc.gov/finance.

   b) **The Official Business Affidavit for Parking Violation Summons Application**–This application must be completed by the employee operating the vehicle at the time the summons was issued. In addition, the following information must be submitted with the application:

      - Detailed circumstances surrounding the issuance of the summons and the nature of the official business or emergency in which the employee was engaged.

- Entries such as “official business,” “attending a meeting,” “unable to find legal parking space,” “all authorized spaces taken,” etc., are not sufficient to warrant a dismissal. Additional supporting facts describing the nature of the official business must be provided.

- Parking sign claims should consist of photo evidence showing the arrow, if any, on the sign(s), as well as the location of the vehicle, the street sign and the building, as indicated on the summons.

- Agency forms and letterheads must not be submitted in lieu of the Official Business Affidavit for Parking Violation Summons application.

- All Official Business Affidavit for Parking Violation Summons applications must be notarized. The stamp and seal used by the notary must be valid. Outdated stamps or seals with crossed-out dates will not be accepted.

- The “authorized driver’s” supervisor must attest to his or her claim that the summons was issued during the course of performing approved City business by signing the Official Business Affidavit for Parking Violation Summons application.

c) **The Official Permit** (where applicable)–Copies of both sides of the on-street parking permit must be submitted along with the Official Business Affidavit for Parking Violation Summons application.

The Official Business Affidavit for Parking Violation Summons application and any supporting documentation must be submitted to:

New York City Department of Finance
Official Business Defense (OBD) Liaison
Attention: Fleet Unit
345 Adams Street, 11th floor
Brooklyn, N. Y. 11201
(718) 488-2302

The Department’s Official Business Defense (OBD) liaison reviews and certifies that the submitted Official Business Affidavit for Parking Violation Summons application is in compliance with the guidelines outlined in the Regulations for City Vehicle Drivers. The application and any supporting documents are then forwarded to the Adjudication Division.

Based on the results of the adjudication process, a Notice of Determination is generated and forwarded to the OBD liaison for notification to the “authorized driver.” If found guilty, the “authorized driver” is responsible for paying the amount indicated on the notice. The OBD liaison will follow up to ensure that “authorized drivers” comply with the disposition of the Notice of Determination. Failure to comply with the disposition could jeopardize the employee’s City parking permit and driving privileges, and may result in removal from the Authorized Driver’s list.

Inquiries: Operational Services
Fleet Unit (718) 488-2302

Date Issued: March 2016

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Workplace Ethics Section 200	PROCESSING TRANSACTIONS FOR FAMILY, FRIENDS, AND BUSINESS ASSOCIATES AND FOR EMPLOYEES CONTESTING PARKING SUMMONS
Policy #: 200-7	

POLICY STATEMENT

Department of Finance employees who wish to contest a New York City parking violation summons issued in relation to a privately owned vehicle, operated or registered by such employee, should submit their defense in writing to the Special Employee Summons Panel by sending all documentation to:

New York City Department of Finance
Attn: Appeal Adjudications Unit
66 John Street, 3rd Floor
New York, N.Y. 10038

EMPLOYEES' RESPONSIBILITIES

If a Department of Finance employee determines that a transaction is for a relative, friend, personal acquaintance, co-worker, friend/relative of a co-worker, or business associate, or may indirectly impact such person, it is his or her responsibility to:

1. Immediately advise his or her immediate supervisor of the situation; and

2. Recuse himself or herself from processing the transaction.

Inquiries: Adjudications Division **Date Issued:** March 2016

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Workplace Ethics Section 200	LONG DISTANCE TELEPHONE CALLS
Policy #200-8	

POLICY STATEMENT

In accordance with City policy, Department of Finance (DOF) telephones are for City business calls and are restricted to local calls, except for those employees specifically authorized to place long distance calls for City business. In most locations, access to long distance is restricted. Employees may be required to use an authorization code to place long distance calls.

PROCEDURES

Depending on the type of phone system at the work location, DOF employees may have long distance access either by using an authorization code or in rare cases by using an unrestricted individual line.

When it is necessary to make a personal long distance call, DOF employees should:

1. Use a cell phone
2. Charge the call to a calling card

- Where an individual line is unrestricted, the manager or supervisor of the office is responsible for controlling access to this telephone.

- DOF employees who have been issued authorization codes to place long distance calls must ensure the security of these authorization codes.

- Authorization codes are for the exclusive use of the employees to whom they are assigned and should not be shared. Employees will be held responsible for all calls made with their authorization codes.

- Any employee who thinks that the security of his or her code has been compromised should officially notify his or her supervisor requesting that the code be changed.

Employees who find that their authorization codes are not working should notify their supervisors. If long distance access is still required, the supervisor should submit a request to the Telecommunications Coordinator (telephone number listed below) to have the problem corrected or to have a new code issued.

- If an employee who had been assigned an authorization code leaves City employment, transfers to another unit or agency, or is reassigned to a function, that does not require long distance access the manager must notify the Telecommunications Coordinator to have the authorization code canceled. Authorization codes must not be passed from one employee to another. A new code must be requested if the position is backfilled by a new employee.

- Each employee with long distance access through an unrestricted telephone line must maintain a log of all long distance calls placed. The log should include the date of the call, name of the employee placing the call, the number called, the party called, and the reason for the call. This log must be submitted monthly to the unit supervisor who will retain these records for future audit.

- DOF phone systems provide detailed reports on long distance calls. The Telecommunications Coordinator will provide divisions with monthly records of long distance phone calls so that the unit heads can monitor phone usage. Employees will be required to certify that their long distance calls are business-related.

Employees will be expected to pay for the cost of any personal long distance calls charged to DOF telephones. Failure to pay for calls or repeated unauthorized use of DOF telephones for personal long distance calls will result in the code being revoked. It may result in referral for disciplinary action and may lead to a penalty greater than the cost of the call(s).

Each employee is responsible for submitting a personal check or money order payable to DOF along with the signed Call Accounting Report. Supervisors are responsible for ensuring that employees comply with the reimbursement policy.

Inquiries: Operational Services
Telecommunications Coordinator
(718) 488-2306

Date Issued: March 2016

Department of Finance

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Workplace Ethics Section 200	SMOKE–FREE WORKPLACE
Policy #200-9	

POLICY STATEMENT

In compliance with the New York City and New York State Clean Indoor Air Act and to protect Department of Finance employees and visitors from secondhand smoke and the health risks it presents, the Department of Finance (DOF) has adopted a smoke-free workplace policy. The City Council has approved legislation to include electronic cigarettes (e-cigarettes) in the Smoke-Free Air Act. The policy set forth applies to all Department of Finance locations.

PROCEDURE

State and City laws require that this Agency implement a smoke-free work environment. The following specifics apply throughout the Agency:

1. Smoking (including the use of e-cigarettes) is prohibited in all DOF locations. Smoking is not permitted anywhere in the workplace, including all indoor facilities, such as private offices, conference or meeting rooms, cafeterias, lunchrooms, restrooms and Department vehicles.

2. Smoking “breaks” are not permitted.

3. Any complaints concerning smoking will be handled as any other work-related issue, through the employee’s supervisor. If the problem persists, the complainant may file a formal complaint, using the procedures presented below in this document.

4. All persons visiting one of the Agency’s facilities are required to comply with the “No Smoking” policy herein.

SMOKING COMPLAINT PROCEDURES

For the purposes of this policy and procedure, complaint is defined as “any dispute, controversy or claim arising from the implementation of the Department of Finance’s No Smoking Policy.”

Employees should try to resolve any dispute related to smoking amongst the effected parties. If necessary, a supervisor may also be involved. However, if no agreement is reached in this matter, employees may file a formal complaint about smoking pollution with the Smoking Policy Coordinator.

The complaint procedures differ somewhat for employees who are under collective bargaining agreements, managers and employees who are in confidential positions, and original jurisdiction employees. However, both procedures require complainants to submit their complaint to the Agency’s Smoking Policy Coordinator. In addition, both procedures include levels of appeal if the complainant is not satisfied with the decision rendered.

To obtain information on the complaint procedure employees should contact the DOF Smoking Policy Coordinator.

Inquiries: Operational Services
Smoking Policy Coordinator
(718) 488-2313

Date Issued: March 2016

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Employee Services Section 300	ISSUANCE AND REPLACEMENT OF BADGES/SHIELDS
Policy #300-1	

POLICY STATEMENT

Badges and shields are issued to certain Department of Finance (DOF) employees as needed for the performance of their jobs, as well as those whose job requires them to be quickly identified in the field. This policy and procedure will ensure the proper use and replacement of badges/shields.

Badges and shields are the property of the DOF and are intended solely as official identification to the public and others while performing official duties. Under no circumstance is a badge or a shield to be used to gain access to public transportation or to be misused in any other manner. Badges and shields **must not** be transferred or loaned to any other person or employee for private or City agency use. Furthermore, all DOF employees are prohibited from using an unauthorized badge or shield. Employees who misuse authorized badges/shields or use unauthorized badges/shields may be subject to disciplinary action.

Upon the issuance of a badge/shield, the employee must complete and sign the attached Badge/Shield Receipt Acknowledgement Form. Upon separation (e.g., resignation, retirement, extended leave of absence) from the Unit that issued the badge/shield or upon demand, the badge/shield is to be surrendered to the employee’s supervisor.

PROCEDURES

Upon theft or loss of a badge/shield, the employee must:

1. Notify the Police Department immediately

2. Notify his or her Supervisor/Unit Head and the Department Advocate within 24 hours of incident, or knowledge thereof; and complete and submit a *Notification & Request for Replacement of Lost or Stolen Badge/Shield Form* (see below) and submit to the Assistant Commissioner of Employee Services.

If the badge/shield is lost, stolen or damaged, the Agency, at the discretion of the Division Head or designee, reserves the right to hold the employee responsible for the replacement cost of the badge/shield.

In Units where there is a supply of badges/shields, the badge or shield may be replaced immediately upon presentation of the proper documentation by the employee. Where there are no badges or shields in stock, within one week of the incident, the division will initiate a Purchase Request for a replacement badge or shield. Upon issuance of the replacement badge/shield to the employee, a new Badge/shield Receipt/Acknowledgement form must be completed.

Inquiries: Employee Helpline (212) 291-HELP (4357)

Date Issued: March 2016

BADGE/SHIELD RECEIPT/ACKNOWLEDGMENT FORM

I hereby acknowledge receipt of Badge/Shield Number _______________, entitled ____. I understand that this badge/shield is issued solely for use in carrying out my assigned duties and responsibilities as an employee of The Department of Finance; ______________________________________ Unit.

I further acknowledge that the badge/shield issued to me is not to be transferred to any other person for private or City/Agency use.

This badge/shield is the sole property of the City of New York, Department of Finance and must be surrendered to my supervisor upon demand, when commencing an extended leave of absence, transfer from the _______________________________________ Unit, change in duties, or upon separation from the Department of Finance.

Unauthorized use or misrepresentation of authority may result in disciplinary action. Badge/shield theft, loss and/or damage must be reported to the Police Department immediately and to my supervisor or Unit Head within 24 hours of incident. I may be required to provide reimbursement for badge/shield replacement.

____
Employee's Name (please print)

____
Employee's Signature

____
Date

Department of Finance

Notification & Request for Replacement of Lost or Stolen Badge/Shield

Employee's Name ____

Division ________________________________ Unit __________________________________

Title ___________________________________ Telephone # _______________________

Please be advised that my badge/shield has been **Lost Stolen.** (Circle one).

Explanation of Circumstances:
(Indicate how your badge/shield was lost or stolen and when and where the incident occurred)

____

____

When was the incident reported to the Police Department? ______________________________

Please indicate Precinct # __________________ and attach a copy of the Police Report.

____ __________________________
Employee's Signature Date

Recommendation: ____

____ _________________

Supervisor's Signature Date

Resolution/Action Taken (if any)

____

____

Assistant Commissioner Approval

Approve/Disapprove ____

Signature ____ Date _____________

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Employee Services **Section 300**	**TRANSIT DELAYS**
Policy #300-2	

POLICY STATEMENT

In accordance with the Citywide Agreement, lateness caused by a verified major failure of public transportation can be excused. Employees on a fixed time schedule, such as staggered hours, can submit up to six (6) transit delay verification requests to excuse lateness during each six-month period of January 1 through June 30 or July 1 through December 31. This Policy and Procedure is intended to clarify the procedure for excusing lateness based on transportation delays.

The following situations are not covered under Transit Delays:

1. Employees who are on a flex-time schedule are not eligible to request that lateness be excused due to transit delays.

2. Delays that do not occur on public transportation (i.e., traffic delays for private vehicles) are not covered.

PROCEDURES

1. Every employee is obligated to report for work as scheduled. Employees should be at their work locations ready to work at their scheduled arrival time. All employees are expected to allow sufficient time for unexpected travel delays to prevent late arrivals at the work location. Employees who frequently experience minor transit delays should allow extra time for travel in order to prevent late arrivals.

2. Lateness may be excused if it was caused by a verified public transportation delay of 15 minutes or more, or a series of transportation delays on the same day totaling 15 minutes or more.

3. The employee must submit a letter from the appropriate transportation carrier verifying the delay. Employees are encouraged to request verification of delays within one week of the occurrence to ensure availability of verification records.

4. Whenever possible, employees who encounter unforeseen delays en route to work should attempt to contact their supervisors to advise them of the delay.

5. Nothing in this policy and procedure will prevent an excused lateness in the event of a major transportation disruption affecting large numbers of employees, which is declared eligible to be excused by the Department of Finance, Mayor’s Office of Labor Relations, or other oversight agency.

TRANSIT DELAY VERIFICATION PROCESS

1. If an employee intends to request to be excused for lateness due to a transit delay, the employee must indicate “Late–Transit Delay” in CityTime for the week in which the delay occurred. The occurrence will be recorded as late. If the lateness is subsequently excused, timekeeping records will be revised accordingly.

2. The employee must request verification of the delay from the transportation carrier. In the case of the NYC Transit Authority, the employee must contact the NYC Transit Authority as soon as possible after experiencing the delay. Please visit the Transit Authority’s website at http://enterprise.mtanyct.info/delayverify/ to access the delay verification request form; please print or forward the confirmed response to your manager or supervisor immediately upon receipt.

3. When the employee receives verification from the transportation carrier on the carrier’s letterhead or via email, the employee must attach the original delay verification letter or printed email to the completed Request for Excused Lateness Due to Transit Delay Form and present it to the employee’s supervisor. The employee should keep a copy of the form and verification.

4. The Supervisor will review the form and verification documentation, determine the employee’s eligibility to submit a transit delay request and indicate approval or disapproval on the request form.

5. The Supervisor will forward one copy of the completed Transit Delay request form to the employee and one to the Timekeeping Unit with documentation attached to update the appropriate personnel records.

Inquiries: Employee Helpline
(212) 291-HELP (4357)

Date Issued: March 2016

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Employee Services Section 300	**EMPLOYEE PERSONNEL FILES**
Policy #300-3	

POLICY STATEMENT

The Department of Finance, in accordance with City policy, is required to ensure that evaluatory material placed in personnel files has been reviewed and signed by the employee, or appropriately witnessed by a third party. An employee has the right to submit a written response to any evaluatory materials for inclusion in his/her personnel file. Once an employee leaves the Agency, no documents may be added to the employee's personnel file, except for documents concerning unemployment insurance or signed releases submitted by prospective employers.

Documents are periodically submitted to the Deputy Director of Personnel for inclusion in an employee's personnel file. These documents may not always be appropriate or authorized for inclusion. This policy and procedure is intended to:

1. Define the types of documents that can be placed in the personnel file.

2. Establish an Agency-wide procedure to ensure that documents, forms, and evaluatory or disciplinary materials placed in a personnel file are properly reviewed by senior staff and adhere to City and departmental requirements.

3. Protect the employee's rights regarding evaluatory statements placed in the file.

4. Ensure that file documentation meets legal requirements and can be used as evidence in disciplinary proceedings, when necessary.

Materials that <u>may</u> be found in a personnel file:

- Records of employment (e.g., Department of Citywide Administrative Services and Department of Finance application forms) and records of commendations;

- Completed performance evaluations;

- Supervisory conference documentation, disciplinary memoranda, evaluatory memoranda, documentation of time and leave violations, and responses to evaluatory and disciplinary memoranda, notices, or charges;

- Records of participation in Agency-sponsored or approved training and education programs;

- Fully executed copies of disciplinary and labor relations Stipulations of Settlement, reprimand letters, etc.

Materials that <u>may</u> <u>not</u> be placed in a personnel file:

- Information of a personal nature, particularly from one employee to another, which is not related to work performance;

- Employee Assistance Program (EAP) referral memoranda, which are used specifically to refer the employee to the Employee Assistance Program;

  Note: The EAP referral memorandum is a confidential document and separate from a supervisory conference memorandum. It is permissible for the supervisory conference memorandum to include a reminder that help is available through either the EAP or union counseling service.

- Supervisory conference records, disciplinary or evaluatory correspondence which has not been signed by the employee or by a third party indicating that the employee received a copy of the document but refused to sign acknowledgement of receipt;

- Human rights complaints filed by a current or former employee and other documents pertaining to employment-related litigation, i.e., EEO, labor relations complaints unless authorized by consultation with Legal Affairs;

- Any document (other than routine administrative documents and forms described below), which has not been submitted in accordance with this policy;

- Medical documentation;

- Requests for accommodation or related forms and correspondences.

PROCEDURE

Referral of Documents

1. Employees, supervisors, and other Agency personnel must forward all documents requiring referral to their Division Head, or designee for review and transmittal to the Employee Services' Personnel Office. Please contact your manager to determine the designated reviewer in your division.

2. The designated reviewer will review the documents for adherence to City and Departmental policy and will forward the documents to the Personnel Office at 66 John Street, 9th floor, New York, N.Y. 10038.

3. The documents will be filed in the employee's personnel file.

Materials routinely included in an employee’s personnel file as part of his/her employment history with the department are not required to be reviewed and submitted according to this procedure. Routine documents include, but are not limited to:

- Administrative documents, forms, and approvals (e.g., performance evaluations, and oversight agency approvals and disapprovals);
- Employment processing application forms;
- Performance evaluation forms;
- Time and leave forms and documents;
- Absence control and lateness warning forms.

Employee Access to Files

- An employee may view his or her file once a year, and when an adverse personnel action is taken.
- A current employee may contact the Deputy Director of Personnel to schedule an appointment to view his or her personnel file.
- An employee must present an employee ID card and a written request to view the file at the time of the appointment.
- An employee may not remove any documents from his or her personnel file; however, the employee may request copies of documents in the file. Employees are charged 25 cents per page for copies of documents exceeding ten (10) pages.
- Former employees may request to review their personnel files by contacting the Records Access Officer, at (718) 488-2026.

Supervisor/Manager Access to File Information

- A supervisor may request a copy of file information, previously submitted by him/her, that pertains to the employee’s work performance; lateness and absence control warnings; and disciplinary write-ups. A supervisor may not request to review an employee’s file nor information from an employee’s previous work unit/division.
- A supervisor may contact the Deputy Director of Personnel to request such information.

Inquiries: Employee Helpline (212) 291-HELP (4357)

Date Issued: March 2016

Department of Finance

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Employee Services Section 300	**NURSING MOTHERS IN THE WORKPLACE**
Policy #300-4	*(updated January 2020)*

POLICY STATEMENT

New York State Labor Law was amended by the addition of Section 206-c, which requires employers to permit nursing mothers to express breast milk on site for up to three years following the birth of the nursing child.

Existing policy allows a nursing mother who wishes to express breast milk to use:

1. Reasonable unpaid break time; and/or
2. Meal time

PROCEDURE

Using Existing Meal Periods

You will be permitted to express breast milk during your meal periods if you elect to use meal periods for this purpose. However, you cannot be required to use meal periods for this and may elect to express breast milk at other reasonable times during the work shift.

The legislation does not authorize the granting of additional paid break time beyond that already provided by the employer, if any. Accordingly, if an agency does not provide paid breaks now, there is no obligation to create paid breaks solely to permit an employee to express breast milk.

Using Unpaid Break Time

You may elect to use the unpaid break time instead of, or in combination with, meal periods. You will be permitted to charge your annual leave and compensatory time balances during the unpaid breaks. Leave time for this purpose is to be entered into Citytime the same as other types of leave, in 15 minute increments.

The statutory benefit is available to you within your basic workweek as well as during any additional time worked, including overtime shifts.

Eligibility to Earn Leave Accruals

Please be advised that if you use unpaid break time, and do not charge your leave balances during this unpaid break time, that this may affect your ability to earn monthly annual and sick leave accruals. Since employees returning from child care leave may have low leave balances, it is essential that you understand the impact on eligibility to earn leave accruals if you elect to use unpaid break time and not charge your leave balances.

Location to Express Breast Milk

In accordance with Section 206-c, the Department of Finance will make reasonable efforts to identify a location that is both private and in close proximity to your work area. This may necessitate a balancing of the need for privacy and the proximity of the location to the work area. In some work environments it may be necessary for the designated location to be farther from the work area in order to ensure privacy.

Possible locations might include an office or conference room where steps can be taken to ensure that you can express breast milk in privacy. In many work locations, space is at a premium and is used for multiple purposes. In such cases scheduling your access to a particular location may be necessary in order to comply with both the legislation and the Agency's space needs.

An employee who wishes to use this benefit is expected to give the Agency's program coordinator reasonable notice so that a schedule can be arranged and a location identified. Normally, this consultation should take place prior to your return to work from child care leave. The program coordinator will consult with your supervisor to arrange for the use of this benefit. It is also expected that you will provide the program coordinator notice when time for expressing breast milk is no longer required. In no event is the benefit available beyond three years from the date of birth of the child.

If you would like to participate in this benefit upon returning to work from maternity leave, please send a written request to:

Employee Services Program Coordinator
NYC Department of Finance
66 John Street, 9th Floor
New York, N.Y. 10038

Upon receipt of your written request, steps will be taken to designate an area for the purpose of expressing breast milk that is both private and as close to your work area as is reasonably possible.

Inquiries: Employee Services
Program Coordinator
(212) 291-4776

Date Issued: January 6, 2020

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Employee Services **Section 300**	**PART-TIME WORK SCHEDULE – RETURNING FROM A MATERNITY, PATERNITY OR ADOPTION LEAVE**
Policy #300-5	*(updated January 2020)*

POLICY STATEMENT

Employees returning from a leave for maternity, paternity or adoption may return to work on a part-time basis anytime within the approved child-care period (36 or 48 months). For more information about child care leave, please see DOF Employee Handbook page VI-26.

A part-time schedule may be requested in six-month intervals. Employees must work a minimum of 21 hours per week and must maintain the established schedule during the duration of the part-time work schedule period. Employees may request additional six-month extensions until the expiration of the childcare period. All extensions must be approved by the Time & Leave Administration (TLA) unit in advance of the expiration of current schedule.

Part-time work schedules impact benefits. For example:

- Reduced benefits and/or the elimination of Welfare Fund contribution and benefits.
- Elimination of service increments.
- Pro-rated salary, longevity, assignment differentials and pension contributions.
- No paid holidays.
- Annual and sick leave accruals will be prorated.

INITIAL REQUEST FOR PART-TIME WORK SCHEDULE STATUS

1. Employee must notify OES TLA in writing via email at: DOFTime&LeaveAdmin@finance.nyc.gov or letter mailed to 66 John Street 9th Floor, New York, NY 10038 at least 30 days prior to the employee's anticipated return to work date from child care leave. At that time the employee must indicate if they intend to request a part-time work schedule.
2. OES TLA will send employee the *Part-time Work Schedule Request* Form, which must be completed and returned to TLA two weeks prior to the employee's intended return to work date.
3. If the request has been approved, a copy will be forwarded to the employee's personal email address, the employee's supervisor and Division Head.

REQUEST FOR EXTENSION PROCEDURE

1. Employees who wish to extend their part-time work schedule must complete the *Part-time Work Schedule Extension Request* section of their original request form and submit it to the Time & Leave Administration at least 30 days prior to the expiration of the initial 18 months or last extension.
2. TLA will confer with employee's division management. An employee's time & leave history and performance record will be considered and must be in good standing.

3. If the request is approved, a copy will be forwarded to the employee, the employee's division supervisor and Division Head.

APPEAL PROCESS

If a request for a part-time work schedule or extension of part-time work schedule is denied the employee may appeal the decision to the Part-Time Work Schedule Appeal Panel. The appeals panel is comprised of representatives from the OES Employee and Labor Relations Unit, EEO and Legal Affairs.

1. Employees who wish to appeal a decision must notify OES TLA in writing via email at: DOFTime&LeaveAdmin@finance.nyc.gov or letter mailed to 66 John Street 9th Floor, New York, NY 10038 within 5 business days of receipt of the denied request and prior to the employee's anticipated return to work date from child care leave.
2. The appeal must include specific reasons why the employee's request should be re-evaluated.
3. The appeal will be reviewed by the Part-Time Work Schedule Appeal Panel and the employee will be notified within two weeks regarding a decision.

Inquiries: Office of Employee Services
Time & Leave Administration
DOFTime&LeaveAdmin@finance.nyc.gov

Date Issued: January 6, 2020

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Performance Management Section 400	NON-MANAGERIAL PERFORMANCE EVALUATIONS
Policy #400-1	

POLICY STATEMENT

All non-managerial employees are to be evaluated at least once during a twelve-month period. Non-managerial employees who are appointed or promoted from a civil service list, appointed to a labor, non-competitive, or exempt title covered by collective bargaining, or receive a level change, should be evaluated more than once a year.

PROCEDURES

At the beginning of the evaluation period, upon appointment or upon a change of assignment or duties, employees will be given their Tasks and Standards to review and sign. The employee's Tasks and Standards will provide a basis for rating the employee's performance. Tasks and Standards and annual evaluations are prepared electronically through the ePerformance Module available in NYCAPS at www.nyc.gov/ESS. For a complete step-by- step guide to the ePerformance process, go to http://financenet/html/forms_tasks.html to access the Job Aid.

Evaluation Period

Non-managerial employees who have completed their civil service probationary period or their probationary period for a non-competitive, labor or exempt class position appointment or who have three (3) years continuous service at a level above Level I, are on the full-annual evaluation cycle, which is July1 through June 30.

Employees serving probation are evaluated at different intervals throughout the year (see Policy & Procedure #400-3, Non-Managerial Performance Evaluations for Employees on Probation, for more information).

Evaluation Process

Managers and supervisors evaluate employees based on key responsibilities and performance expectations. Key responsibilities are the major tasks or activities of the job. Performance expectations are the standards for measuring the performance of those activities. Tasks and Standards should be jointly developed and agreed upon by the employee and his or her supervisor upon appointment and at the beginning of each rating period.

Appraisal Conference

The Appraisal Conference is a meeting between the employee and his or her supervisor to evaluate the employee's job performance during the prior 12-month period and to establish and review Tasks and Standards for the next 12-month period. The employee is also informed of the Appeal Procedure during the appraisal conference (see below).

If an employee receives a “Marginal” or “Unsatisfactory” overall rating, a three-month follow-up evaluation is required. The supervisor should contact the Employee Services’ Performance Evaluation Coordinator for further instructions.

TYPES OF RATINGS

Task Ratings
The following ratings are used in the performance evaluation. Supervisors determine the task rating by comparing the standards for satisfactory performance with the actual performance as observed by the supervisor during the year. The task ratings are:

- **Outstanding**
  The employee far exceeded the standards while overcoming extraordinary difficulties.

- **Very Good**
  The employee significantly exceeded the standards or met standards despite significant difficulties.

- **Good**
  The employee, because of his/her own efforts, basically met all of the achievable standards.

- **Marginal**
  Although employee’s performance did not meet one or more achievable standards, it is considered possible that the employee will meet standards in the future. (The Marginal rating may not be used in two consecutive evaluations.)

- **Unsatisfactory**
  Employee’s lack of effort, or skill deficiency resulted in performance which consistently did not meet one or more of the critical standards despite appropriate attempts by the supervisor to correct performance.

- **Unratable**
  Employee is too new to the task for a meaningful rating, or the task did not occur during the evaluation period.

APPEAL PROCEDURE

What Can Be Appealed
Employees on the full-annual evaluation cycle may appeal an overall rating of “Good,” “Marginal,” or “Unsatisfactory.” Individual task ratings cannot be appealed unless the overall rating is appealed. To appeal, the employee should follow the procedure outlined below, and use the Appeal form found at http://financenet/html/forms_tasks.html.

1. The employee should first try to resolve the disputed issue through discussion with his/her immediate supervisor. If an agreement is reached, no further steps in the appeal process are necessary.

2. If the discussion of the complaint with the immediate supervisor fails to resolve the issue, the employee may request in writing, within ten (10) working days of this discussion, that the complaint be reviewed by the reviewer (usually the supervisor's supervisor). The reviewer has twenty (20) working days in which to provide the employee with a written response. If the employee is satisfied with the response, the process is complete. The reviewer will send a copy of the signed Performance Evaluation Appeal Determination form (also available at http://financenet/html/forms_tasks.html) to the Performance Evaluation Coordinator. If a change is recommended, the employee, supervisor, and reviewer must sign the revised performance evaluation. The supervisor must contact the Performance Evaluation Coordinator to reset the document in NYCAPS; otherwise the changes will not appear.

3. If the complaint is not resolved at the previous level, of if the reviewer does not respond within the prescribed time frame, the employee has ten (10) working days to request that the complaint be reviewed by the division head. The division head or designee must provide the employee with a written response within twenty (20) working days of receiving the complaint. If the employee is satisfied with the response, the process is complete. The division head or designee will send a copy of the signed Performance Evaluation Appeal Determination form to the Performance Evaluation Coordinator. If a change is recommended, the employee, supervisor, and reviewer must sign the revised performance evaluation. The supervisor must contact the Performance Evaluation Coordinator to reset the document in NYCAPS; otherwise the changes will not appear.

4. If the complaint is still not resolved, the employee may submit, within ten (10) working days, the written appeal form along with a copy of the Performance Evaluation to the Director of Employee and Labor Relations for review by the Department's Performance Evaluation Appeal Board. The Board will review each case and issue a written determination with twenty (20) days from the date the appeal is received.

5. If the Performance Evaluation Review Board fails to resolve the issue, or does not respond with the established time frame, the employee then has ten (10) working days to appeal in writing to the Commissioner. The Commissioner, or designee, has final review authority in all cases of unresolved complaints.

Inquiries: Employee Services Helpline
(212) 291-Help (4357)

Date Issued: March 2016

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Performance Management Section 400	USE OF PROBATIONARY PERIOD
Policy #400-3	

POLICY STATEMENT

Employees appointed from an open-competitive civil service list are required to serve a probationary period. Employees who are promoted from a civil service promotion list are also required to serve probation unless the probationary period has been waived. Employees will be notified of the applicable civil service, non-competitive, labor or exempt probationary period. An employee appointed from an open-competitive civil service list may be terminated at any time after completing two months of the probationary period. An employee promoted from a civil service promotion list may be demoted back to his/her former title after serving four months in the new title.

Employees appointed to a title in the exempt, labor, or non-competitive class are also required to serve a probationary period. Employees appointed to a title in the non-competitive or exempt class do not gain permanent status upon completing probation but gain disciplinary hearing rights.

The probationary period should be used to make certain that an employee performs the job satisfactorily before the employee becomes permanent or gains disciplinary hearing rights. Once employees appointed from a civil service list complete their probationary period, they become permanent civil service employees with all the rights and privileges of that status. Those who complete their labor class probationary period also gain tenure. Other employees gain grievance or disciplinary hearing rights upon completion of their probationary period. Employees who are promoted to a level above level I shall gain grievance procedure rights with regard to their salary after thirty-six months of continuous service at the assignment level. Supervisors should exercise caution and good judgment before approving an employee's final probationary report.

PROCEDURES

Evaluation Period

- Employees appointed from a civil service list and employees in labor class titles, complete probation after one year of service in the new title. Employees will be evaluated after the 3rd, 6th, 9th, and 11th month.

- Deputy City Sheriffs, City Assessors and those appointed to trainee titles from a civil service list have a two-year probationary period and are evaluated after the 6th, 12th, 18th, and 23rd month.

- The probationary period for an exempt class position is 6 months, and evaluations are due after the 3rd and 5th month.

- Most non-competitive class appointments have a six-month probationary period and follow the 3rd and 5th month schedule. Some non-competitive class appointments have a five-year probationary period and are evaluated twice a year for five years. Employees who receive a
level change are evaluated after the 6th, 12th, 18th, 24th, 30th, and 35th month.

Evaluation Process
Employee Services will notify the division when a probationary evaluation is to be prepared for an employee. The evaluation is to be submitted to Employee Services within two weeks of the end of the period covered by the evaluation.

- At the beginning of the evaluation process, the supervisor prepares a Task and Standards form and sends it to the employee for signature. (The form is prepared electronically using the ePerformance Module available in NYCAPS at www.nyc.gov/ESS.)

- When a probationary period evaluation is due, the supervisor prepares the Probationary Performance Evaluation fill-in form found on http://financenet/html/forms_tasks.html. The supervisor must also print the Task and Standards form found in NYCAPS and manually complete the ratings on the Performance Evaluation form. Probationary evaluations cannot be completed in NYCAPS at this time.

- Prior to giving the performance evaluation to the employee, the performance evaluation is given to the reviewer. The reviewer, after review and approval, signs the evaluation.

- The supervisor meets with the employee to discuss the evaluation. Both the supervisor and the employee sign and date the evaluation.

- If the employee refuses to sign the evaluation, the supervisor must obtain a witness who will sign and date the evaluation that the employee has seen the evaluation.

- The supervisor completes the Probationary Performance Evaluation Determination Form (also found at http://financenet/html/forms_tasks.html), indicates his/her recommendations, and ensures signatures are obtained from the reviewer, the Division Head and Deputy Commissioner. The Performance Evaluation, Tasks and Standards and Determination form are then submitted to Employee Services.

- Probationary employees do not have the right to appeal their performance evaluations.

Final Evaluations
- Final Probationary Evaluations are prepared electronically in NYCAPS at www.nyc.gov/ESS. Since the Department of Finance requires a review of all final probationary evaluations which may lead to a termination and demotion, final evaluations are to be submitted to Employee Services one month prior to the date the employee's probationary period ends.

- Based on the employee's performance, the Division may recommend that the employee be retained, terminated or demoted, or if a civil service probation, that the employee's probationary period be extended.

Extending Probation
For a civil service list appointment or promotion, or an appointment to a labor, non-competitive or exempt position, the probationary period will be extended by the amount of time the employee is on an approved leave of absence and by the amount of time the employee is on annual leave, sick leave

or other approved leave with or without pay. If an extension is warranted, the Division should consult with the Employee Services Performance Evaluation Coordinator to determine leave usage during the evaluation period. The employee must be informed of any such extension before the original probationary period ends. Although the employee's consent is not required for this type of extension, the employee will receive notification from his/her supervisor that the civil service probationary period has been extended. The employee should sign the notification.

At the discretion of the Agency, a civil service list probationary period may also be extended for up to six months with the employee's consent and the consent of the Department of Citywide Administrative Services. The purpose of the extension is to give the Agency additional time to evaluate the employee's performance and to give the employee additional time to meet the standards for their tasks. Employees are ordinarily evaluated once every three months during this extension of probation. The Agency has the right to terminate the employee's employment at any time during a probation period extension.

Terminations and Demotions
Requests for terminations and demotions, along with supporting documentation should be submitted at least one month prior to the requested date.

Waiver of Probation
A civil service probationary period may be waived only when an employee is appointed from a civil service promotion list. A civil service probationary period for someone appointed from a civil service promotion list may be waived anytime during the probationary period only with the approval of the Division's Deputy Commissioner. Employees who have served in title on a provisional or temporary basis for a continuous period equal to greater than the probationary period for that title immediately prior to being appointed from a civil service promotion list for the title, are not required to serve probation.

The probationary period for employees appointed from an Open Competitive list cannot be waived.

Inquiries: Employee Services Helpline **Date Issued:** March 2016
(212) 291-HELP (4357)

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Technology & Communications Section 500	COMPUTER SECURITY
Policy #500-1	

POLICY STATEMENT

The Department of Finance maintains extensive banks of confidential and sensitive information. It is therefore essential that we adhere to a policy, which safeguards the confidentiality and security of all information on the Department's computer systems. It is also essential that employees clearly understand their security responsibilities regarding information they have access to and/or store for additional review or processing.

POLICY

I. Tax Information–All tax disclosure, security and confidentiality rules as defined in the Commissioner of Finance memorandum on Access to and Disclosure of Tax Information apply to the categories listed below:

A. **Mainframe–**This category includes information from screen, tape, disk, file transfer, any removable media or printed report.

B. **Personal Computer–**This category includes information from screen, hard drive, file transfer, diskette, USB Drive, any removable media, or printed report.

Note: This category also includes ALL confidential data transferred from any file/document/table/report to any software (e.g., spreadsheet, word processing, database, graphics/presentation, email, etc.)

C. **IRS Data–**Access to IRS data is governed by an additional set of IRS controls and is coordinated by the DOF IRS Disclosure Officer. Please contact the IRS Disclosure Officer for further information.

II. DOI–The Department of Information Technology and Telecommunications (DoITT) is responsible for the enforcement of secure computing solutions. Where DoITT policies and procedures are in conflict with DoITT's Citywide Information Security Policy, DoITT's policy shall rule.

III. IDs (Mainframe and LAN)

a) An employee will be issued only one (1) LAN and/or Mainframe ID, if necessary for the employee's job function. Multiple IDs on the LAN or Mainframe will not be allowed. Exceptions for FIT support personnel may be allowed were required if approved by the FIT Commissioner. .

b) A password must NEVER be given to or shared with another person for any reason.

IV. RACF ID

A. ID & Password

1. The system will prompt a password change every 30 days. If a password is not used after 30 days, it will be revoked.

2. A password can be reused after 12 password changes.

3. Password complexity rule has to be followed. For mainframe account ID’s, the passwords must be:

   Eight (8) characters in length; and
   Include at least one (1) numeric character, and
   Have at least one (1) of these special characters: @ # $

4. After three (3) consecutive unsuccessful password attempts, the RACF ID will be revoked. To re-activate the ID, the FIT Security Administrator must be contacted IN WRITING using the FIT 001 Computer Security Authorization Request form (please access FinanceNet, FIT Security Forms) faxed with an authorized signature.

5. Do not write down your USERID or password.

6. Do not pick an easily guessed password. The most common of these to be avoided are the names of your spouse, children or pets.

Examples:

***<u>Condense a phrase</u>*:** For shoppers: Ham at $2.50 a pound ham@250# or ham@$250	For baseball fans: Hit 1 for me, yeah hit14em# (reverse me) For other subjects: Make one of your own up ***<u>Change the order of characters on some familiar word:</u>*** HOMERUN might become HMERUNO$ Change alphabetic E, I and O to numeric 3, 1 and 0 respectively or vice versa).

7. Unused ID's will be suspended after 30 days of inactivity. To reactivate the ID, the MIS Security Administrator must be contacted IN WRITING using the FIT-001 Computer Security Authorization Request form signed with an authorized signature that has been registered with RACF Security Administration in ISS.

a) **Audit Trail–**To facilitate researching unresolved data issues, all transactions (ADD, UPDATE, and DELETE) on the Mainframe are tracked by RACF ID.

V. Mainframe Session

a) An employee must not leave a Mainframe screen (an active session) unattended. An unattended screen presents an opportunity for any person walking by to make an unauthorized change in the system. The owner of the RACF ID will be held responsible for all additions, updates, or data copied from the screen or printed out.

b) An active CICS session that, has not had any activity for more than 30 minutes, will be automatically locked. An active TSO session, which has not had any activity for over 30 minutes, will be cancelled. When the terminal is locked, an employee will have to reenter the employee's password to return to the system. Locking does not replace an employee's responsibility to lock or sign off when leaving the terminal.

VI. Local Area Network (LAN)

A. ID & Password

1. The system should prompt a Password change every 90 days. Password change warnings appear 14 days prior to the 90 days.

2. A password can be reused after 6 password changes.

3. Initial passwords on any account ID should be set to expire upon first logon.

4. Account ID will be disabled after three (3) consecutive failed logins.

5. Account ID will be disabled if it has been inactive for the last 30 days. To reactivate an account ID, supervisor's written approval must be submitted to the City Wide Service Desk ((718) 403-8888).

6. Password complexity rule have to be followed.
   For PC account ID's, passwords must follow at least 3 out of the following 4 rules:
   - be at least eight (8) characters in length,
   - include at least one (1) uppercase character,
   - include at least one (1) special character (!@#$%^&*),
   - include at least one (1) numeric character.

7. Do not write down your password.

8. Do not pick an easily guessed password. The most common of these to be avoided are the names of your spouse, children or pets. The hardest passwords to guess and the best to use are pass phases described in Section IV RACF ID and Password #6 or a combination of two words, characters, and numbers like: Wet$now6 or *Dry8@ice.*

B. LAN Session

1. An employee must not leave a LAN screen (an active session) unattended. An unattended screen presents an opportunity for any person walking by to make an unauthorized change or gain access. The owner of the LAN ID will be held responsible for all additions, updates, or data copied from the screen and/or printed out.

VII. Compliance

Please be aware that by accessing and using this computer system provided, you are consenting to system monitoring for law enforcement and other statutory purposes. Unauthorized use of, or access to this computer system may subject you to criminal prosecution and penalties.

Inquiries: EmployeeHelp **Date Issued:** March 2016

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Technology & Communications Section 500	AGENCY ISSUED WIRELESS COMMUNICATION DEVICES
Policy #500-2	

POLICY STATEMENT

1. Wireless communication devices, including Blackberry and cell phones, are important ways to communicate with employees, whose work may take them away from their offices.

2. Employees authorized to carry agency – issued wireless communication devices are expected to exercise reasonable care and take all necessary precautions to safeguard the equipment. Wireless communication devices should be used for authorized business purposes only.

3. This policy is designed to track such electronic devices to ensure that employees assigned such equipment use them only to carry out authorized work-related functions and every reasonable precaution is taken to minimize agency replacement costs.

PROCEDURES

- An employee is assigned device if his or her manager sends a written justification and authorization for the user's wireless device and describes what type of service is required. The Operational Services Division reviews the request and determines if the justification is valid or if further information is needed. Once the request is approved, the user signs/returns a receipt acknowledgement and keeps a copy of their records/

- Wireless communication devices are issued to Department of Finance employees solely for the use of the employee to whom it is assigned during the employee's workday. These devices must not be transferred to any other person.

- When an employee leaves the Department of Finance, takes an extended leave of absence, or transfers to a job where wireless communication is not required, he or she must return the equipment to the Unit's supervisor.

- Wireless communication devices are the property of the Department of Finance and must be returned as directed by Agency management.

- Managers and supervisors are responsible for monitoring and maintaining a record of wireless communication devices issued to employees in their Units/Divisions.

- It is the responsibility of the employee to report any damage or loss due to misplacement or theft within one (1) business day. Upon any instance of loss, damage, or theft, the Agency reserves the right to hold the employee responsible for the replacement cost of the wireless communication device.

- To report loss or damage, employees must submit a completed *Wireless Incident Report* (see below) along with any supporting documentation to the Security Office at 345 Adams Street, 11th floor, Brooklyn.

- The employee must send a copy of the *Wireless Incident Report* to the Telecommunications Unit (for BlackBerry and cell phones) to ensure prompt cessation of services.

- Within two (2) weeks of the incident, the employee will forward the following documents to either the Purchasing Unit or Telecommunications Unit depending on the type of equipment, for processing:

    1. A request for wireless communication device replacement
    2. Original *Wireless Incident Report* form (including the supervisor's recommendation and Division Head's approval
    3. Payment (personal check or money order) unless waived
    4. Supporting documentation (such as police report, or a witness report to support the employee's "no fault" claim)

Once the Purchasing Unit or Telecommunications Unit receives the above documents, and approval is granted, a replacement wireless communication device will be sent to the manager for issuance to the employee.

Inquiries: Operational Services
Telecommunications Unit
(718) 488-2313

Date Issued: March 2016

NYC Department of Finance

NYC Department of Finance
Wireless Incident Report

DATE OF INCIDENT: ______________________ TIME: ____________ a.m./p.m.:_________

NAME: ______________________ DIVISION/UNIT: ______________________

WIRELESS COMMUNICATION TYPE: ____________ WIRELESS COMM. DEVICE SERIAL#: ____________

LOCATION OF INCIDENT: ____

DETAILED DESCRIPTION OF INCIDENT: ____

____

REPORTED TO: ______________________ DATE OF REPORT: ____________

WAS INCIDENT REPORTED TO NYPD? (Y / N): _______ IF YES, PLEASE INDICATE PRECINCT#: ____________
(***Please attach copy of Police report***)

EMPLOYEE'S SIGNATURE: ______________________ DATE: ____________

SUPERVISOR'S SIGNATURE: ______________________ DATE: ____________

RESOLUTION/ACTION TAKEN (If any)

____

____

____

SUPERVISOR'S RECOMMENDATION

FAULT / NO FAULT:

____

SUPERVISOR SIGNATURE: ______________________ DATE: ____________

DIVISION HEAD'S RECOMMENDATION

APPROVE / DISAPPROVE:

____

DIVISION HEAD'S SIGNATURE: ______________________ DATE: ____________

PLEASE RETURN THIS FORM TO: ____

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Workplace Ethics Section 500	EMPLOYEE USE OF SOCIAL MEDIA
Policy #500-3	

POLICY STATEMENT

Purpose:

The Department of Finance recognizes that its employees use social media such as Facebook, Twitter, LinkedIn, YouTube and other forms of user-generated media, such as wikis, blogs and other on-line journals and diaries, as well as chat rooms and bulletin boards. This policy was developed to help employees identify and avoid potential issues, and provide guidance to employees in the use of social media in their personal capacities. Employees who engage in social media as part of their job assignment should refer to DoITT's Policy for Official Use of Social Media. http://cityshare.nycnet/html/cityshare/html/social_media_policy.html

Separate Personal and Professional Roles:

Employees should never use their City e-mail addresses when participating in social media. Employees should adhere to the Internet Acceptable Use Protocol as set forth on page IX-1 of the Employee Handbook with respect to use of social media during business hours. Be aware that the Department of Finance monitors employee internet use. Employees have no right to privacy with respect to any information transmitted, received, created, accessed, obtained, viewed, stored or otherwise found at any time on the Department of Finance's computer system.

While employees may identify themselves as agency employees and use their titles on professional sites, such as LinkedIn, employees providing references, recommendations or referrals through a professional social media site must indicate that the opinion and views provided are personal and not the opinion or recommendation of the Department of Finance.

Employees may not use any City or agency logo or name in any postings or on any web page for a commercial purpose.

Be Aware of Your Department of Finance Position:

If you identify yourself as an employee of the Department of Finance or hold a position with the Department of Finance that is known to the general public, make sure that your on-line profile, comments and other postings are consistent with how you want to present yourself publicly. Make it clear through use of a disclaimer that the statements and views expressed are yours and do not reflect the views of DOF. Managers and others with leadership responsibilities must, in particular, consider whether their personal thoughts and views may be misconstrued by virtue of their position as expressing DOF's view.

Understand Your Personal Responsibility:

You are responsible for what you write or post on social media. Do not use any social media tool unless you understand how it works. Whether you intend it to be private or not, what you write and post will be available on the web for a long time and may spread to large audiences, even if it was not your intent. Before posting, think about whether you will be embarrassed, if your supervisor, other employees, or members of the general public see your post. If the content of your post would not be acceptable in a face-to-face conversation, it is probably not acceptable content for a post. Also, it is not advisable to disclose personal or contact information or post photographs or "tag" photographs of coworkers without their prior permission.

Employees participating in social media are subject to the Department of Finance's Code of Conduct and City policies even when engaging in social media while off duty. For example, be aware that being uncivil or discourteous or engaging in conduct tending to bring the City or the Department of Finance into disrepute or engaging in harassing or discriminatory conduct are prohibited by the Code of Conduct and City policy. Engaging in such behavior on-line, even in a personal capacity, may subject an employee to disciplinary action. In addition, all postings on social media must comply with all the laws and agency rules and policies regarding the confidentiality of information.

NOTE: This policy and procedures does not supersede the City's Conflict of Interest Law (COIL). Employees are required to adhere to both Finance Policy #500 and the COIL.

NOTE: Employees who are on a leave of absence from the Department are required to adhere to the rules and regulations outlined in this policy and procedure.

Inquiries:
Employee Services Helpline
(212) 291-HELP (4357)
EmployeeHelp@finance.nyc.gov

Date Issued: October 27, 2017

NEW YORK CITY DEPARTMENT OF FINANCE
POLICY AND PROCEDURE

Technology & Communications Section 500	Policy on Limited Personal Use of City Office and Technology Resources
Policy # 500-4	

POLICY STATEMENT

This Policy, which has been approved by the Department of Information Technology & Telecommunications, the Department of Investigation, the Conflicts of Interest Board, and the Law Department, governs the limited personal use of the City of New York's ("City") office and technology resources by City employees. An agency may adopt agency-specific standards and procedures that are stricter, but not less strict, than this Policy. Agencies shall use a rule of reason when interpreting and applying this Policy.

POLICY

I. GENERAL POLICY

City employees are permitted limited personal use of the City's office and technology resources if the use is not prohibited pursuant to this or another applicable agency policy, does not interfere with or otherwise impede the City's operations or employee productivity, and involves no more than a minimal additional expense to the City. City employees may engage in the personal use of the City's office and technology resources permitted by this Policy only at times that do not conflict with the employee's official duties and responsibilities and the employee is not required to perform services for the City.

The opportunity that the City is extending to its employees to make limited personal use of the City's office and technology resources is only a privilege and may be revoked or limited at any time. Moreover, this privilege is subject to monitoring and other restrictions that may from time to time be announced. This privilege does not create a right for any person to use any City property or resources for non-City purposes. Limited personal use of the City's office and technology resources is at the sole risk of the employee, and the City is not responsible for any loss or damages resulting from such personal use.

II. DEFINITIONS

1. "Office and technology resources" includes but is not limited to: information technology, personal computers and related peripheral equipment, software, library resources, telephones, mobile telephones, pagers and other wireless communications devices, facsimile machines, photocopiers, Internet connectivity and access to Internet services, and email.

2. "Information technology " means any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information.

3. "Minimal additional expense" means that an employee’s personal use of the City's office and technology resources is limited to those situations where the City is already providing equipment or services and (1) the employee’s use of such equipment or
services will not result in any additional expense to the City or; (2) the use will result in only normal wear and tear and will employ only small amounts of electricity, ink, toner or paper or; (3) the City has created mechanisms for employees to reimburse the City for the costs associated with their personal use and the employee makes such a reimbursement for his or her personal use. Examples of minimal additional expenses include occasionally making a photocopy, using a computer printer to print out a few pages of material, making a brief personal telephone call, sending a personal email message, or limited use of the Internet for personal reasons. Examples of mechanisms created for employees to reimburse the City include applicable agency policies regarding employees' reimbursement of the City for personal use of mobile phones and of long distance telephone services.

4. "Personal use" means activity that is conducted for purposes other than accomplishing official work related activity. Personal use under this Policy does not include any use that is unlawful, violates the City’s Conflicts of Interest law or rules or other applicable rules and regulations, or is specifically prohibited by this Policy or another applicable agency policy.

III. UNAUTHORIZED PERSONAL USES

Employees are required to conduct themselves appropriately in the workplace and to refrain from using the City's office and technology resources for activities that are unauthorized by this Policy, another applicable agency policy, or other applicable law, rule or regulation. Unauthorized personal use of the City's office and technology resources includes, but is not limited to, the following uses, all of which are prohibited:

- Any personal use of the City's office and technology resources that could cause congestion, delay, or disruption of service to any of the City's office and technology resources. For example, electronic greeting cards, video, sound, digital images or other large computer file attachments can degrade the performance of the entire network. "Push" technology on the Internet and other continuous data streams can also degrade the performance of the entire network.

- Any personal use of City-issued email addresses or internet browsers for subscribing to or registering for online personal accounts, including but not limited to, social media websites or applications (e.g., Facebook, Twitter, Instagram or E-Harmony), personal interest subscriptions (e.g., newsletters, online community groups, or Tumblr), or personal online sales accounts (e.g., Amazon, shopping websites or personal billing online accounts). City-issued email addresses may only be used for official, professional, City job-related websites. The foregoing shall not be construed as prohibiting employees from subscribing to job-related websites or newsletters, such as LinkedIn, or those hosted by professional associations, or from using office resources to pay dues for job-related organizations.

- Any personal use of the City's office and technology resources as a staging ground or platform to gain unauthorized access to other systems or in furtherance of unauthorized computer use.

- Any personal use of the City's office and technology resources in the creation, copying, transmission, or retransmission of chain letters, petitions or other unauthorized mass mailings regardless of the subject matter.

- Any personal use of the City's office and technology resources for activities that are inappropriate to the workplace or are prohibited by applicable law, rule, regulation or agency policy.

- Any personal use of the City's office and technology resources for the creation, downloading, viewing, storage, copying, or transmission of any material that is: obscene, sexually explicit or sexually oriented; hate speech; threatening; defamatory; known to be fraudulent; or ridicules others on the basis of race, creed, religion, color, gender, disability, national origin, or sexual orientation.

- Any personal use of the City's office and technology resources for furtherance of a non-City business or non-City employment, including, without limitation, consulting for pay, sales or administration of business transactions (not including personal finances), or sale of goods or services, including assisting relatives, friends or other persons in such activities.

- Any personal use of the City's office and technology resources to engage in any outside fund-raising activity, endorse any product or service, participate in any lobbying activity, or engage in any prohibited political activity.

- Any personal use of the City's office and technology resources to post agency information to external newsgroups, chat rooms, bulletin boards or other forums without explicit authorization.

- Any personal use of the City's office and technology resources in the unauthorized acquisition, use, reproduction, transmission, or distribution of any information, computer software or data, including, without limitation: private or confidential information about any individual, business or other entity including, but not limited to, medical information; copyrighted, patented or trademarked material or material with otherwise legally protected intellectual property rights; proprietary data; or export controlled software or data.

- Any unauthorized modification of the City's office and technology resources, including, but not limited to, loading personal software or making configuration changes.

- Any personal use of City office supplies, including, but not limited to, paper, pens and postage, other than a minimal use of supplies incident to the limited use of photocopiers, computers, telephones and facsimile machines allowed by this Policy.

IV. PROPER REPRESENTATION

It is the responsibility of employees to ensure that they are not giving the false impression that they are acting in their official capacities as City employees when they are using the City's office and technology resources for non-City purposes. If there is a possibility that such a personal use could be reasonably interpreted to be made on behalf of the City, the employee may not use the City's office and technology resources.

V. PRIVACY EXPECTATIONS

City employees do not have a right of privacy while using any of the City’s office and technology resources, whether for official of personal purposes, at any time, including while accessing the Internet or using email. Any use of the City’s office and technology resources is made with the understanding that such use is generally not secure, is not private, and is not anonymous. To the extent that employees wish that their personal activities remain private, they should not use the City’s office and technology resources for such activities.

By using the City’s office and technology resources, whether for official or other purposes, City employees consent to the disclosure of the contents of any files of information maintained on or passing through the

City’s office and technology resources and of any logs or other records of the use of such equipment, including, without limitation, billing records.

By using the City’s office and technology resources, whether of official or other purposes, City employees consent to the monitoring and recording of any such use with or without cause, including, but not limited to, records of access to the Internet and email usage.

Individual agencies may employ monitoring tools approved by agency senior management to ensure the proper use by their employees of the City’s office and technology resources. Agency heads or their designees may access any electronic communications that are made using the City’s office and technology resources.

VI. SANCTIONS FOR UNAUTHORIZED USE

Unauthorized use of the City's office and technology resources may result in: (1) loss of use or limitations on use of office and technology resources; (2) financial liability for the cost of such use; (3) disciplinary or other adverse personnel actions, up to and including dismissal; and/or (4) civil and/or criminal penalties.

VII. REIMBURSEMENT PROCEDURES

Employees are required to follow their respective agency's applicable reimbursement procedures for personal use of the City's office and technology resources.

Inquiries: Employee Services Helpline
212.291.4357
EmployeeHelp@finance.nyc.gov

Date Issued: May 16, 2018

TELEPHONE NUMBERS

Citywide Service Desk (DoITT)	(212) 692-4357
Commuter Benefits Coordinator	(212) 291-4775
Deferred Compensation Plan	(212) 306-7760
Department Advocate	(718) 488-2173
Department of Investigation/Inspector General's Office	(212) 825-5904
EEO Officer	(718) 488-2032
Employee & Labor Relations	(212) 291-4751
Employee Assistance Program (EAP)	(212) 306-7660
Employee Benefits Deputy Director	(212) 291-4770
Employee Helpline	(212) 291-4357
File Room Coordinator	(212) 291-4762
Health & Safety Coordinator	(718) 488-2313
Imprest Fund	(212) 602-7008
Management Benefits Fund	(212) 306-7290
Military Leave Coordinator	(212) 291-4770
NYC Employee's Retirement System	(347) 643-3000
Office of Payroll Administration (OPA) Service Line	(212) 669-8555
Payroll Deputy Director	(212) 291-4772
Performance Evaluation Coordinator	(212) 291-4754
Personnel Deputy Director	(212) 291-4764
Press Office	(212) 602-7032
Professional Development, Training & Career Counseling	(212) 291-4786
Records Access Officer	(718) 488-2026
Security & Fleet Director	(718) 488-2302
Smoking Policy Coordinator	(718) 488-2313
Telecommunications Coordinator	(718) 488-2306
Time & Leave, Payroll & Employee Benefits Director	(212) 291-4765
Time & Leave Support Deputy Director	(212) 291-4766