

BIENNIAL AGENCY REPORT

INSTRUCTIONS

The Identifying Information Law requires City agencies to submit comprehensive biennial agency reports related to their collection, retention, and disclosure of identifying information and their privacy protection practices.

To complete the 2024 biennial agency report:

- Review Form 2s ([APO Designation of Collection and Disclosures as “Routine”](#)) made since the 2022 compliance cycle;
- Review Form 5s ([Agency Privacy Officer Approval of Collections and Disclosures on a “Non-Routine” Basis](#)) made since the 2022 compliance cycle;
- Use Forms 2 & 5 to complete [Worksheet 1](#) for all new and existing **collections** between 2022-2024;
- Use Forms 2 & 5 to complete [Worksheet 2](#) for all new and existing **disclosures** between 2022-2024.
- Complete the Biennial Agency Workbook;
- Submit the biennial agency report by **July 31, 2024**.

Submit the biennial agency report to:

- Mayor at MOReports@cityhall.nyc.gov
- City Council Speaker at reports@council.nyc.gov
- Chief Privacy Officer and the Citywide Privacy Protection Committee at ojp@oti.nyc.gov
- Department of Records and Information Services (DORIS) online submission portal at <https://a860-gpp.nyc.gov>

THIS REPORT IS PUBLIC. PREPARERS SHOULD CONSULT AGENCY COUNSEL OR THE CHIEF PRIVACY OFFICER TO ENSURE THE RESPONSES ARE PROVIDED ACCORDING TO APPLICABLE LAW AND CITY POLICY.

VERSION CONTROL

Version	Description of Change	Approver	Date
4.0	New design for ease of use and technological enhancements, and miscellaneous clarifying revisions.	Michael Fitzpatrick Chief Privacy Officer, City of New York	April 2024
3.0	Updated completion date; miscellaneous clarifying revisions.	Aaron Friedman Principal Senior Counsel Office of Information Privacy	April 2022
2.0	Updated completion date; miscellaneous clarifying revisions.	Laura Negrón Chief Privacy Officer, City of New York	April 2020
1.0	First Version	Laura Negrón Chief Privacy Officer, City of New York	April 2018

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**BIENNIAL AGENCY REPORT
(Due on or before July 31, 2024)**

1. Agency: Office of the Comptroller

2. APO Contact Details
 - a. Name: Brittainia Stewart
 - b. Title: Senior Associate General Counsel/Data Privacy Officer
 - c. Email: bstewar@comptroller.nyc.gov
 - d. Telephone: 2126692053

COLLECTIONS

3. How many collections does the agency have to describe?
30

4. **COLLECTIONS.** Upload worksheet 1.



- Proceed to the next page -

5. For all **collections**, select the types of identifying information collected (check all that apply). See [Citywide Privacy Protection Policies and Protocols § 3.1](#).

<input type="checkbox"/> Name <input type="checkbox"/> Social security number (full or last 4 digits)* <input type="checkbox"/> Taxpayer ID number (full or last 4 digits)*	<u>Work-Related Information</u> <input type="checkbox"/> Employer information <input type="checkbox"/> Employment address
<u>Biometric Information</u> <input type="checkbox"/> Fingerprints <input type="checkbox"/> Photographs <input type="checkbox"/> Palm and handprints* <input type="checkbox"/> Retina and iris patterns* <input type="checkbox"/> Facial geometry* <input type="checkbox"/> Gait or movement patterns* <input type="checkbox"/> Voiceprints* <input type="checkbox"/> DNA sequences* <input type="checkbox"/> Height <input type="checkbox"/> Weight	<u>Government Program Information</u> <input type="checkbox"/> Any scheduled appointments with any employee, contractor, or subcontractor <input type="checkbox"/> Any scheduled court appearances <input type="checkbox"/> Eligibility for or receipt of public assistance or City services <input type="checkbox"/> Income tax information <input type="checkbox"/> Motor vehicle information
<u>Contact Information</u> <input type="checkbox"/> Current and/or previous home address <input type="checkbox"/> Email address <input type="checkbox"/> Phone number	<u>Law Enforcement Information</u> <input type="checkbox"/> Arrest record or criminal conviction <input type="checkbox"/> Date and/or time of release from custody of ACS, DOCS, or NYPD <input type="checkbox"/> Information obtained from any surveillance system operated by, for the benefit of, or at the direction of the NYPD
<u>Demographic Information</u> <input type="checkbox"/> Country of origin <input type="checkbox"/> Date of birth* <input type="checkbox"/> Gender identity <input type="checkbox"/> Languages spoken <input type="checkbox"/> Marital or partnership status <input type="checkbox"/> Nationality <input type="checkbox"/> Race <input type="checkbox"/> Religion <input type="checkbox"/> Sexual orientation	<u>Technology-Related Information</u> <input type="checkbox"/> Device identifier including media access control (MAC) address or Internet mobile equipment identity (IMEI)* <input type="checkbox"/> GPS-based location obtained or derived from a device that can be used to track or locate an individual* <input type="checkbox"/> Internet protocol (IP) address* <input type="checkbox"/> Social media account information
<u>Status information</u> <input type="checkbox"/> Citizenship or immigration status <input type="checkbox"/> Employment status <input type="checkbox"/> Status as a victim of domestic violence or sexual assault <input type="checkbox"/> Status as crime victim or witness	
<u>Other Types of Identifying Information</u> (list below): 	
<p>*Type of identifying information designated by the CPO (see CPO Policies & Protocols, §3.1.1).</p>	

DISCLOSURES

6. How many disclosures does the agency have to describe?

26

7. **DISCLOSURES.** Upload worksheet 2.



- Proceed to the next page -

8. For all **disclosures**, select the types of identifying information disclosed (check all that apply).
 See [Citywide Privacy Protection Policies and Protocols § 3.1](#).

<input checked="" type="checkbox"/> Name <input checked="" type="checkbox"/> Social security number (full or last 4 digits)* <input checked="" type="checkbox"/> Taxpayer ID number (full or last 4 digits)*	<u>Work-Related Information</u> <input checked="" type="checkbox"/> Employer information <input checked="" type="checkbox"/> Employment address
<u>Biometric Information</u> <input type="checkbox"/> Fingerprints <input type="checkbox"/> Photographs <input type="checkbox"/> Palm and handprints* <input type="checkbox"/> Retina and iris patterns* <input type="checkbox"/> Facial geometry* <input type="checkbox"/> Gait or movement patterns* <input type="checkbox"/> Voiceprints* <input type="checkbox"/> DNA sequences* <input checked="" type="checkbox"/> Height <input checked="" type="checkbox"/> Weight	<u>Government Program Information</u> <input checked="" type="checkbox"/> Any scheduled appointments with any employee, contractor, or subcontractor <input checked="" type="checkbox"/> Any scheduled court appearances <input checked="" type="checkbox"/> Eligibility for or receipt of public assistance or City services <input checked="" type="checkbox"/> Income tax information <input checked="" type="checkbox"/> Motor vehicle information
<u>Contact Information</u> <input checked="" type="checkbox"/> Current and/or previous home address <input checked="" type="checkbox"/> Email address <input checked="" type="checkbox"/> Phone number	<u>Law Enforcement Information</u> <input type="checkbox"/> Arrest record or criminal conviction <input type="checkbox"/> Date and/or time of release from custody of ACS, DOCS, or NYPD <input type="checkbox"/> Information obtained from any surveillance system operated by, for the benefit of, or at the direction of the NYPD
<u>Demographic Information</u> <input checked="" type="checkbox"/> Country of origin <input checked="" type="checkbox"/> Date of birth* <input type="checkbox"/> Gender identity <input checked="" type="checkbox"/> Languages spoken <input checked="" type="checkbox"/> Marital or partnership status <input checked="" type="checkbox"/> Nationality <input checked="" type="checkbox"/> Race <input type="checkbox"/> Religion <input type="checkbox"/> Sexual orientation	<u>Technology-Related Information</u> <input type="checkbox"/> Device identifier including media access control (MAC) address or Internet mobile equipment identity (IMEI)* <input type="checkbox"/> GPS-based location obtained or derived from a device that can be used to track or locate an individual* <input type="checkbox"/> Internet protocol (IP) address* <input type="checkbox"/> Social media account information
<u>Status information</u> <input checked="" type="checkbox"/> Citizenship or immigration status <input checked="" type="checkbox"/> Employment status <input type="checkbox"/> Status as a victim of domestic violence or sexual assault <input type="checkbox"/> Status as crime victim or witness	
<u>Other Types of Identifying Information</u> (list below): Educational history, veteran status, employee grievances, earnings and leave balance information, work hours	
*Type of identifying information designated by the CPO (see CPO Policies & Protocols, §3.1.1).	

9. Separate from the Citywide Privacy Protection Policies and Protocols, what are the agency's policies regarding requests for disclosures from other City agencies, local public authorities or local public benefit corporations, and third parties? Please **summarize or upload a copy of the policy**. See *N.Y.C. Admin. Code § 23-1205(a)(1)(c)(1)*.
10. Which divisions of employees within the agency make disclosures of identifying information following the approval of the privacy officer? See *§ N.Y.C Admin. Code § 23-1205(a)(1)(c)(4)*.
11. Which categories of employees within the agency make disclosures of identifying information following the approval of the privacy officer? See *§ N.Y.C Admin. Code § 23-1205(a)(1)(c)(4)*.
12. Do any of the agency's policies address **access** to identifying information by employees, contractors, and subcontractors? See *§ N.Y.C. Admin Code § 23-1205(a)(4)*.
- Yes – **GO TO QUESTION 13**
- No – **GO TO QUESTION 16**
13. Do these policies state that **access** to identifying information must be necessary for the employees, contractors, and subcontractors to perform their duties? See *N.Y.C. Admin Code § 23-1205(a)(4)*.
- Yes – **GO TO QUESTION 14**
- No – **GO TO QUESTION 16**
14. Are these policies implemented so that **access** is limited to the greatest extent possible, but also furthers the purpose or mission of the agency?
- Yes – **GO TO QUESTION 15**
- No – **GO TO QUESTION 16**

15. Describe how **access** is limited to the greatest extent possible while furthering the purpose or mission of the agency.

16. **Summarize or upload** the agency's current policies for handling **proposals for disclosures to other** City agencies, local public authorities, or local public benefit corporations, and third parties. *See N.Y.C Admin Code § 23-1205(a)(1)(c)(2).*

17. **Summarize or upload** the agency's current policies regarding the classification of **disclosures** as necessitated by the existence of **exigent circumstances or as routine**. *See N.Y.C Admin Code § 23-1205(a)(1)(c)(3).*

18. Since 2022, has the agency **considered or implemented**, where applicable, policies that minimize the collection, retention, and disclosure of identifying information to the greatest extent possible while furthering the purpose or mission of the agency? *See N.Y.C Admin Code § 23-1205(a)(3).*

Yes – **GO TO QUESTION 19**

No – **GO TO QUESTION 20**

19. Summarize the policies that the agency has **considered or implemented** regarding data minimization for the collection, retention, and disclosure of identifying information. *See N.Y.C Admin Code § 23-1205(a)(4).*

20. Summarize the agency's use of agreements for any use or disclosure of identifying information. *See N.Y.C Admin Code § 23-1205 (a)(1)(d).*
21. Since 2022, describe the impact of the Identifying Information Law and any other local, state, or federal laws upon your agency's practices in relation to the collection, retention, and disclosure of identifying information (i.e., if such practices would differ in the absence of these laws). The impact can be positive or negative. *See N.Y.C Admin Code § 23-1205(a)(2).*
22. Describe how the current privacy policies and protocols issued by the Chief Privacy Officer, or the guidance issued by the Citywide Privacy Protection Committee affected your agency's practices in relation to the collection, retention, and disclosure of identifying information. The effects can be positive or negative. *See N.Y.C Admin Code § 23-1205(a)(2).*

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APPROVAL SIGNATURE FOR AGENCY REPORT

PREPARER OF AGENCY REPORT

Name: Brittainia Stewart
Title: Senior Associate General Counsel/Data Privacy Officer
Email: bstewar@comptroller.nyc.gov
Phone: 2126692053

ELECTRONIC SIGNATURE OF AGENCY HEAD OR DESIGNEE REQUIRED BELOW

Name: Justina K. Rivera
Title: General Counsel
Email: jrivera@comptroller.nyc.gov
Phone: 2126691169

Signature: *Justina K. Rivera*
Justina K. Rivera (Jul 31, 2024 15:19 EDT)

Date: 07/31/2024

Describe the following types of collections. *Note, you may have multiple collections of the same type.*

COLLECTIONS				
	<i>Type of Collection</i>	<i>Describe the Specific Activity</i>	<i>Classification</i>	<i>Describe the agency purpose or mission served by this Collection.</i>
1	Finance	The Bureau of Accountancy’s Accounting Compliance Unit receives returned checks in the mail, as well as phone requests to reissue payments. These requests may include the name and address of retired city employees.	Pre-approved as routine	The Bureau of Accountancy is responsible for all aspects of the City’s financial accounting and reporting. The Bureau is also responsible for ensuring accuracy in City agency accounting.
2	Human Resources and other Personnel Matters	The Bureau of Accountancy’s Workers Compensation Unit within the Fiscal Services Division collects names and addresses to provide the City Law Department Workers’ Compensation Unit with the information to reissue workers’ compensation checks as necessary. The unit is also responsible for EFT enrollment of workers’ compensation recipients. The form contains name, address, and banking information.	Pre-approved as routine	The Bureau of Accountancy is responsible for all aspects of the City’s financial accounting and reporting. The Bureau is also responsible for ensuring accuracy in City agency accounting.
3	Procurement	The Bureau of Accountancy’s Vendor Support Division receives substitute W-9 forms from public and city agencies containing names, addresses, tax IDs, and social security numbers.	Pre-approved as routine	The Bureau of Accountancy is responsible for all aspects of the City’s financial accounting and reporting and for approving vendor information in FMS.

4	Client or Customer Service	The Bureau of Accountancy’s Capital & Fixed Asset-Policy Division receives substitute W-9 forms containing names, addresses, tax IDs, and social security numbers from individuals involved in condemnation proceedings.	Pre-approved as routine	The Bureau of Accountancy is responsible for all aspects of the City’s financial accounting and reporting. The Bureau is also responsible for ensuring accuracy in City agency accounting.
5	Client or Customer Service	The Bureau of Accountancy’s Financial Reporting Division requires copies of driver’s licenses for individuals to pick up checks placed on hold by City agencies.	Pre-approved as routine	The Bureau of Accountancy is responsible for all aspects of the City’s financial accounting and reporting. The Bureau is primarily responsible for designing and managing the City’s centralized accounting, internal control and budgeting system, and the Financial Management System (FMS).
6	Procurement	The Agency Chief Contracting Officer (ACCO) receives one-time documentation indicating whether a business has been certified as a minority or woman-owned business and the specific qualification for that status.	Pre-approved as routine	The Bureau of Administration and the ACCO manage the Comptroller’s procurement and contracting functions.
7	Social Services	The Certificate of Residence desk receives documentation of the addresses of members of the public to issue certifications of city residence, enabling the holder to pay residence tuition fees at New York State community colleges	Pre-approved as routine	Education Law, Section 6305(3), provides that the Comptroller “shall, upon application and submission to him of satisfactory evidence, issue to any person desiring to enroll in a community college as a non-resident, a certificate of residence showing that said person is a resident of said county.”

8	Human Resources and other Personnel Matters	The Human Resources division within the Bureau of Administration collects and retains various forms, records, and data while performing core administrative and human resource functions. The human resources division has access to NYCAPS, a citywide repository of personnel data. A wide range of identifying information may be collected, including names, addresses, social security numbers, etc.	Pre-approved as routine	The Bureau of Administration manages the Comptroller’s capital and operating budgets, its human resource functions, procurements and payments, records management, labor relations, timekeeping, payroll, facilities management, support services, and information systems.
9	Human Resources and other Personnel Matters	The Labor Relations division within the Bureau of Administration receives and retains documentation of employee grievances to review and respond to these instances.	Pre-approved as routine	The Bureau of Administration manages the Comptroller’s capital and operating budgets, its human resource functions, procurements and payments, records management, labor relations, timekeeping, payroll, facilities management, support services, and information systems.
10	Human Resources and other Personnel Matters	City agencies submit documentation to the Lump Sum Audit unit within the Bureau of Administration. This documentation consists of employee earnings, leave usage, and final leave balances to audit final payments upon the employee’s separation from City service. This includes some basic identifying information including name and employee identification number.	Pre-approved as routine	The Bureau of Administration manages the office’s capital and operating budgets, its human resource functions, procurements and payment, records management, labor relations, timekeeping, payroll, facilities management, support services, and information systems.

11	Human Resources and other Personnel Matters	The Payroll and Timekeeping division within the Bureau of Administration collects and retains information relevant to employee work hours, leave requests, and payroll in the normal course of processing and monitoring employee payroll. The division also has access to PMS, the City of New York's automated payroll and timekeeping processing and record-keeping system, and CHRMS, a system that allows users to run payroll queries.	Pre-approved as routine	The Bureau of Administration manages the office's capital and operating budgets, its human resource functions, procurement and payments, records management, labor relations, timekeeping, payroll, facilities management, support services and information systems.
12	Procurement	The Bureau of Administration's procurement division receives information from vendors throughout the procurement process, including bids, contract documents, and payment and billing documents.	Pre-approved as routine	The Bureau of Administration manages the office's procurement and contracting functions.
13	Human Resources and other Personnel Matters	The Training division within the Bureau of Administration collects and retains employee evaluations and improvement plans annually.	Pre-approved as routine	The Bureau of Administration manages the office's capital and operating budgets, human resource functions, and labor relations.
14	Office Administration	The Vouchering division within the Bureau of Administration collects documentation relating to payments made or stopped by the agency and forms for reimbursement of travel in personal vehicles.	Pre-approved as routine	The Bureau of Administration manages the office's procurement and payment functions.
15	Audit	The Audit Bureau regularly collects and retains various identifying information necessary for the performance of audits,	Pre-approved as routine	The Audit Bureau performs audits, investigations, and other analyses of City-funded operations in accordance with the New York City Charter,

		investigations, and other analyses, including identifying information pertaining to claims made against the City that have been referred by the Bureau of Law and Adjustment, and submissions made by government agencies and welfare funds in accordance with Comptroller's Directives.		which requires that the Comptroller's Office perform an audit of some aspect of every City agency at least once every four years.
16	Compliance	BAM's Compliance division collects investment trading information from employees covered by the agency's Personal Trading Policy.	Pre-approved as routine	The Bureau of Asset Management (BAM) oversees the investment portfolio for each system and related defined contribution funds. In this role, the Comptroller provides investment advice, implements Board decisions, and reports on investment performance. The Bureau of Asset Management advises the Boards on all investment-related topics, including investment policy and strategy, asset allocation, manager structure, manager selection, and financial and economic developments that may affect the systems. The purpose of this collection is to check for any investment-related conflicts that may be relevant to an employee's work with the agency.
17	Human Resources and other Personnel Matters	BAM's Pensions unit collects and reviews applications for disability retirement, which are submitted to each System's Medical Review Board.	Pre-approved as routine	The Bureau of Asset Management also plays a role in determining whether a city employee is entitled to disability retirement benefits and needs to review the collected

				information to reach a decision. Consistent with the agency’s obligations under the NYC Administrative Code 13-123 (NYCERS), 13-223 (Police), 13-323 (Fire), and 13-519 (TRS).
18	Procurement	BAM’s contracting division collects information from parties seeking to do business with BAM on the Mayor’s Office of Contracts’ “Doing Business Data Form,” which includes name, address, and DOB	Pre-approved as routine	The Bureau of Asset Management manages some procurement and contracting functions related to their work. Completion of the “Doing Business Form” is a requirement for City vendors under NYC’s procurement rules and practices.
19	Compliance	Due Diligence materials may include the results of manager background checks.	Pre-approved as routine	The Bureau of Asset Management (BAM) oversees the investment portfolio for each system and related defined contribution funds. In this role, the Comptroller provides investment advice, implements Board decisions, and reports on investment performance. The Bureau of Asset Management advises the Boards on all investment-related topics, including investment policy and strategy, asset allocation, manager structure, manager selection, and financial and economic developments that may affect the systems.
20	Procurement	BCA, via the Comptroller’s Central Imaging Facility and electronic interfaces (e.g. PASSPort, citrix/sharepoint links), receives	Pre-approved as routine	Under the City Charter, the Bureau of Contract Administration (“BCA”) is responsible for registering all contracts funded by the City or by

		contracts and related actions submitted by mayoral and non-mayoral agencies for registration. Documents submitted and reviewed as part of the registration process are retained in the Comptroller's OASIS system.		funds controlled by the City prior to their implementation. Actions requiring BCA registration include franchises, concessions, leases, permits, etc.
21	Legal Matters or Proceeding	<p>BLL collects information regarding the hours worked, wages paid, and benefits provided to workers employed by contractors. This information may include worker names, addresses, telephone numbers, email addresses, social security numbers, or the last 4-6 digits of social security numbers.</p> <p>When a worker files a complaint with BLL, the complaint form requests the worker's name, address, telephone number, and email address. Prior versions of the complaint form also asked for the worker's social security number.</p> <p>Upon the conclusion of an investigation, BLL may require a worker to provide proof of identification, residency, and a copy of a social security card to receive settlement funds.</p>	Pre-approved as routine	<p>The Bureau of Labor Law (BLL) sets the prevailing wage required to be paid by City contractors on public works projects, building service contracts, and specific other service contracts. It also investigates and enforces violations of the prevailing wage and living wage on such City contracts.</p> <p>The complaint form requests worker contact information so that a BLL employee can contact the worker as the investigation progresses and conduct interviews as needed.</p> <p>BLL collects employer payroll records to determine whether there has been an underpayment and, if so, the extent.</p> <p>The purpose of collecting identifying information when disbursing settlement funds is to confirm that the worker is the same individual covered by the Bureau's investigation. This is done when the worker has a different last name or</p>

				residential address from what is listed in the employer’s records.
22	None of the above	The Budget Bureau collects and retains various economic, financial, and demographic data for its analysis. The collected data are usually presented in aggregated form rather than in their original form.	Pre-approved as routine	The Budget Bureau evaluates the fiscal health of the City by reviewing the City’s revenue collections, expenditures, capital program, debt capacity and the condition of the local economy and by preparing analytical reports.
23	Legal Matters or Proceeding	The Bureau of Engineering collects, discloses and retains information including social security number, address, hours worked, wages paid, and benefits provided to workers employed by contractors/consultants and property owners.	Pre-approved as routine	As part of its investigation and evaluation of construction and construction related claims and disputes, the Bureau of Engineering provides liability and damage reports for use in property damage tort claims and for settlement and adjudication of public work contract claims and contract disputes in accordance with Section 93i of the New York City Charter and the alternate dispute resolution procedures mandated under Section 4-09 of the PPB rules and City contracts.
24	Legal Matters or Proceeding	The FOIL division, located within the Office of General Counsel, collects the name and contact information of members of the public who submit FOIL requests.	Pre-approved as routine	The Office of General Counsel is responsible for all legal matters relating to the work of or affecting the operations of the Comptroller’s Office. This information is collected so that staff can send a response to FOIL requests as required by NY Public Officers Law.
	<i>Type of Collection</i>	<i>Describe the Specific Activity</i>	<i>Classification</i>	<i>Describe the agency purpose or mission served by this Collection.</i>

25	Client or Customer Service	The Public Affairs Bureau collects basic information from community stakeholders who attend meetings with the Comptroller and collects basic information from constituents who attend agency heritage events and town halls.	Pre-approved as routine	The Public Affairs Bureau is the agency's public face and includes the Community Action Center, Community Affairs, and Special Events. The Community Action Center assists constituents from the five boroughs and connects them to City agency resources and collects this information to provide further assistance or information to stakeholders and constituents as needed. This information is used to inform about the agency's work, like audits, spotlights, or policies to reflect better the issues that are facing communities throughout the City.
26	Response to a Request or Demand	Constituents reach out to the Public Affairs Bureau and Community Action Center via phone and email with specific questions, issues, and problems	Pre-approved as routine	This information is used to respond to and help constituents navigate their issues within this agency if it is under the agency's purview and refer constituents to other citywide agencies if it is not
27	Client or Customer Service	In the normal course of business, the Bureau of Public Finance collects professional contact information as part of bond sale working groups and other projects. The bureau may also collect names, email addresses, and phone numbers in responding to inquiries from members of the public.	Pre-approved as routine	The Bureau of Public Finance, in coordination with the Mayor's Office of Management and Budget, manages all aspects of City-related borrowing for the Comptroller's Office, with the mission of arranging for timely, cost-effective financing of the City's capital program.
28	Strategic Initiatives	The Bureau of Policy and Organizing requests non-public data maintained by other city agencies. This data can include sensitive, personally identifiable	Pre-approved as routine	The Bureau of Policy and Organizing conducts original research in service of the Comptroller's public policy agenda, providing transparency and calling

		information related to city employees, contractors, or individuals who come into contact with the city. Written data-sharing agreements with the responsible agency govern such data.		attention to matters of urgency to the public.
29	Legal Matters or Proceeding	Bureau of Law and Adjustment (BLA) collects and retains claims-related information and associated investigatory documents, GML 50-h hearing transcripts and abstracts, and litigation-related documents furnished by the New York City Law Department to investigate, evaluate, adjust, settle, or authorize settlement of claims for and against the City. Claims-related information may include many types of identifying information, including name, address, social security number, employer information, medical treatment information, insurance information, etc. This information is obtained from the claimant's or health care providers at the claimant's request. BLA uses the Omnibus Automated Image Storage Information System (OAISIS) database to store and track claims.	Pre-approved as routine	Consistent with the agency's obligations under NYC Charter 93(i), the Bureau of Law & Adjustment settles claims against and on behalf of the City of New York and receives this information, as needed, to perform Charter-mandated settlement, investigation, and claim adjustment functions.
30	Technology	The Bureau of Information Systems and Technology collects device information such as MAC address, IP address, IMEI	Pre-approved as routine	The Bureau of Information Systems and Technology (BIST) is responsible for providing agency staff access to resources such as devices (laptop,

		information, and GPS data on mobile devices		desktop, mobile device), email, files, and the Internet. BIST is also responsible for securing the Comptroller's data and devices from malicious threats. To quickly respond to any potential threat, BIST collects system logs on all devices connected to the Comptroller's network.
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Please add additional rows, if needed

Describe the following types of disclosures. *Note, you may have multiple disclosures of the same type.*

DISCLOSURES					
	<i>Type of Disclosure</i>	<i>Describe the Specific Activity</i>	<i>Classification</i>	<i>Describe the agency purpose or mission served by this Disclosure.</i>	<i>Was this disclosure made pursuant to an external request?</i>
1	Legal Matters or Proceeding	Bureau of Law and Adjustment (BLA) discloses claims-related information and associated investigatory documents, GML 50-h hearing transcripts and abstracts, and litigation-related documents furnished by the New York City Law Department to investigate, evaluate, adjust, settle, or authorize settlement of claims for and against the City. Claims-related information may include many types of identifying information, including name, address, social security number, employer information, medical treatment information, insurance information, etc. This information is obtained from the claimant's or health care providers at the claimant's request. Identifying information may be disclosed as needed	Pre-approved as routine	The Bureau of Law & Adjustment (BLA), under the City Charter, settles claims against and on behalf of the City of New York in accordance with Section 93(i).	Yes

		during the investigation and settlement of claims.			
2	Legal Matters or Proceeding	The Bureau of Engineering may share information with the New York City Law Department, including the social security number, address, hours worked, wages paid, and benefits provided to workers employed by contractors/consultants and property owners, to assist with legal matters or proceedings.	Pre-approved as routine	As part of its investigation and evaluation of construction and construction-related claims and disputes, the Bureau of Engineering (BOE) provides liability and damage reports for use in property damage tort claims and for settlement and adjudication of public work contract claims and contract disputes in accordance with Section 93i of the New York City Charter and the alternate dispute resolution procedures mandated under Section 4-09 of the PPB rules and City contracts.	Yes
3	Legal Matters or Proceeding	Agency personnel review Freedom of Information Law (FOIL) requests and disclose records as required and permitted by law. To the extent permissible by law, agency staff redact identifying information before disclosing records. FOIL requests are received mainly from government or private entities, the press, and members of the public.	Pre-approved as routine	Consistent with the agency's obligations under Public Officer Law Public Officers Law §87 et. seq.	Yes

4	Legal Matters or Proceeding	Records including identifying information requested as part of ongoing litigation or government investigations. Some records may be obtained by confidential subpoena.	Pre-approved as routine	Consistent with the agency's obligations under state and federal civil discovery rules.	Yes
5	Human Resources and other Personnel Matters	During regular Personnel and Human Resources matters, including but not limited to employee transfers between agencies and retirement and benefits processing, identifying information may be disclosed to other city agencies.	Pre-approved as routine	These are routine HR functions.	Yes
6	Compliance	DORIS may request records that include identifying information for purposes of records management, archiving, and preservation. These records will be disclosed as appropriate.	Pre-approved as routine	To ensure that City records are properly maintained and following professional archival and record management practices.	Yes
7	Human Resources and other Personnel Matters	Labor Unions may request records from Payroll and Timekeeping that includes identifying information relating to leave status in the course of its duties as a collective bargaining representative. These records may be disclosed as	Pre-approved as routine	These are routine HR functions.	Yes

		appropriate for routine HR functions.			
8	Social Services	In rare cases, colleges may request verification of Certificate of Residency documentation. This documentation is usually submitted directly to the colleges by the student. In the cases where the colleges request information, Certificate of Residence staff endeavors to confirm residence without disclosing any identifying information, but some information may be disclosed including names.	Pre-approved as routine	These are routine HR functions.	Yes
9	Human Resources and other Personnel Matters	During regular reporting of workman’s compensation claims, identifying information may be disclosed to the New York State Workman’s Compensation board.	Pre-approved as routine	These are routine HR functions.	Yes
10	Human Resources and other Personnel Matters	NYCERS may request records from Payroll and Timekeeping that include identifying information that staff must disclose in the course of its duties managing employee retirement benefits.	Pre-approved as routine	These are routine HR functions.	Yes
11	Human Resources and other Personnel Matters	When employee grievances reach Step 3 of the grievance process, all prior	Pre-approved as routine	These are routine HR functions.	Yes

		documentation of grievances is submitted to OLR. Ordinarily, this information is submitted directly by the employee bringing the grievance. If the employee does not attach the documentation, the Labor Relations division submits this documentation to OLR so that the grievance process may proceed.			
12	Human Resources and other Personnel Matters	The Comptroller is Trustee of the Police Pension Fund, the Fire Department Pension Fund, the New York City Employees' Retirement System, and the Teacher's Retirement System of the City of New York assesses claims for disability retirement benefits brought before the Systems. Applications for disability retirement are disclosed to each System's Medical Review Board. The Medical Review Boards review the application and create a case file for each Member.	Pre-approved as routine	Consistent with the agency's obligations under the NYC Administrative Code 13-123 (NYCERS), 13-223 (Police), 13-323 (Fire), and 13-519 (TRS).	Yes
13	Procurement	Doing Business Data Forms are collected by the Bureau of Asset Management and delivered to the Mayor's	Pre-approved as routine	Completion of the "Doing Business Form" is a requirement for City	Yes

		Office of Contract Services for processing		vendors under NYC’s procurement rules and practices.	
14	Legal Matters or Proceeding	The City Law Department accesses the OASIS database maintained by the Comptroller. The Law Department can access notice of claims, 50-h hearing-related documents, investigatory documents, etc., to review claim files as needed. These claim files include identifying information.	Pre-approved as routine	Consistent with the agency’s obligations under NYC Charter 93(i).	Yes
15	Legal Matters or Proceeding	Firms conducting 50-h hearings on behalf of the City can access Notices of Claim on OASIS to draft notices of hearings and prepare to take claimant testimony. Notice of claim may include identifying information.	Pre-approved as routine	Consistent with the agency’s obligations under NYC Charter 93(i).	Yes
16	Legal Matters or Proceeding	The Comptroller provides settlement information on Department of Correction and NYPD claims to the State (Crime Victims Services and NY Attorney General) to collect on behalf of victims of crimes.	Pre-approved as routine	Consistent with New York State’s “Son of Sam” Law.	Yes
17	Records Management	Northrup contracted with OOC to support OASIS database. Any claim-specific inquiry to	Pre-approved as routine	Communications and information-sharing with vendors, such as	Yes

		troubleshoot would require at the very least claimant's name.		Northrup Grumman, is necessary to ensure the claims database operates efficiently.	
18	Legal Matters or Proceeding	Report to Center for Medicaid and Medicare Services the name, date of birth, address, gender, phone number, Health Insurance Claim Number and/or social security number, to Medicare or Medicaid lien searches.	Pre-approved as routine	As an operational matter, BLA conducts lien searches before paying claimants.	Yes
19	Office Administration	BLA has entered into agreements with the New York Police Department, Department of Correction, Department of Sanitation and Department of Citywide Administrative Services for OASIS access to agency-related Notices of Claim to implement best practices and for risk management. When requested, BLA provides identifying information to Office of Management and Budget to reconcile books.	Pre-approved as routine	BLA has implemented this information-sharing to enable City agencies to implement best practices and improve risk management.	Yes
20	Legal Matters or Proceeding	Contractors under investigation are provided information on the workers found to be underpaid by the Bureau of	Pre-approved as routine	Consistent with New York state and city laws that empower the	Yes

		Labor Law, including employee names, social security numbers, employment status, employer information, and tax information		agency to enforce violations of the prevailing wage and living wage on City contracts.	
21	Legal Matters or Proceeding	When the Bureau of Labor Law conducts trials at OATH as required by state and local law, the administrative law judge is provided with information on the workers found to be underpaid by the Bureau of Labor Law, including employee names, social security numbers, employment status, employer information, and tax information.	Pre-approved as routine	Consistent with New York state and city laws that empower the agency to enforce violations of the prevailing wage and living wage on City contracts.	Yes
22	Legal Matters or Proceeding	As required by state and local law, upon the resolution of an investigation, the Bureau of Labor Law provides all contracting agencies with the final order, which may include information on the workers found to be underpaid, including employee names, employment status, employer information, and tax information.	Pre-approved as routine	Consistent with New York state and city laws that empower the agency to enforce violations of the prevailing wage and living wage on City contracts.	Yes

23	Legal Matters or Proceeding	The Bureau of Labor Law refers complaints to the Department of Labor when it is determined that the Department has appropriate jurisdiction over the complaint. Those complaints may include information such as employee names, social security numbers, employment status, employer information, and tax information	Pre-approved as routine	Furtheres the agency's partnership with NYS Department of Labor in the enforcement of state and local wage laws.	Yes
	<i>Type of Disclosure</i>	<i>Describe the Specific Activity</i>	<i>Classification</i>	<i>Describe the agency purpose or mission served by this Disclosure.</i>	<i>Was this disclosure made pursuant to an external request?</i>
24	Client or Customer Service	Name, address, contact information is provided to appropriate City agencies as needed to search for the constituents' case on their behalf and speak with their case manager on their case.	Pre-approved as routine	Furtheres the agency's constituent services function.	Yes
25	Legal Matters or Proceeding	Name, address, date of birth, and social security number may be provided to Department of Finance to conduct lien search on settled claims.	Pre-approved as routine	As an operational matter, BLA conducts lien searches before making settlement payments to claimants	Yes
26	Legal Matters or Proceeding	Name, address, date of birth, and social security number may be provided to Human Resources Administration to conduct lien search related to child	Pre-approved as routine	As an operational matter, BLA conducts lien searches before making settlement payments to claimants.	Yes

		support matters on settled claims.			
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Please add additional rows, if needed