

# AGENCY REPORT

(due on or before July 31, 2020)

<b>Agency:</b>	NYC Department of Citywide Administrative Services (“DCAS”)		
<b>Agency Privacy Officer:</b>	Alan Deutsch		
<b>Email:</b>	adeutsch@dcas.nyc.gov privacylaw@dcas.nyc.gov	<b>Telephone:</b>	212-386-6226
<b>Date of Report:</b>	July 31, 2020		

1. Specify the type of identifying information collected or disclosed (check all that apply):	
<input checked="" type="checkbox"/> Name <input checked="" type="checkbox"/> Social security number (full or last 4 digits)*	<b><u>Work-Related Information</u></b> <input checked="" type="checkbox"/> Employer information <input checked="" type="checkbox"/> Employment address
<b><u>Biometric Information</u></b> <input checked="" type="checkbox"/> Fingerprints <input checked="" type="checkbox"/> Photographs	<b><u>Government Program Information</u></b> <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
<b><u>Contact Information</u></b> <input checked="" type="checkbox"/> Current and/or previous home addresses <input checked="" type="checkbox"/> Email address <input checked="" type="checkbox"/> Phone number	<b><u>Law Enforcement Information</u></b> <input checked="" type="checkbox"/> Arrest record or criminal conviction <input checked="" type="checkbox"/> Date and/or time of release from custody of ACS, DOC, or NYPD <input type="checkbox"/> Information obtained from any surveillance system operated by, for the benefit of, or at the direction of the NYPD
<b><u>Demographic Information</u></b> <input checked="" type="checkbox"/> Country of origin <input checked="" type="checkbox"/> Date of birth* <input checked="" 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 checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Sexual orientation	<b><u>Technology-Related Information</u></b> <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
<b><u>Status Information</u></b> <input checked="" type="checkbox"/> Citizenship or immigration status <input checked="" type="checkbox"/> Employment status <input checked="" type="checkbox"/> Status as victim of domestic violence or sexual assault <input checked="" type="checkbox"/> Status as crime victim or witness	<b><u>Other Types of Identifying Information</u></b> (list below): DCAS surveillance, medical information, copies of drivers’ licenses/government-issued identification, notary information, military history, retirement information, education transcripts, legal case history, business/incorporation documents
*Type of identifying information designated by the CPO (see CPO Policies & Protocols § 3.1.1).	

**2. Specify the reasons why collection and retention of identifying information specified above furthers the purpose or mission of your agency.**

Pursuant to Chapter 35 of the New York City Charter, the Department of Citywide Administrative Services has a broad range of administrative functions, including:

- Responsibility for Citywide personnel matters;
- The powers and duties of a municipal civil service commission
- The power to perform all functions and operations of the City regarding maintenance of public buildings and facilities, procurement of goods, providing services to City agencies other than personal services, acquiring and managing the City’s real property, and providing automotive, communication, energy, and data processing services.
- Responsibility for daily publishing of the City Record (NYC Charter Section 1066).

DCAS’ mission: “The Department of Citywide Administrative Services (DCAS) ensures that City agencies have the critical resources and support needed to provide the best possible services to the public.”

Performing these functions requires extensive Citywide communication and collaboration that includes the collection, retention, and disclosure of identifying information from a variety of individuals, including applicants for exams, successful hires who become employees of the City of New York, vendors who seek to do business with the City, and tenants and members of the public who access facilities managed by DCAS.

N.Y.C. Admin. Code §23-1205(a)(1)(f)

**3. Describe the types of collections and disclosures classified as: (1) pre-approved as “routine,” (2) pre-approved as routine by APOs of two or more agencies, or (3) approved by the APO on a case-by-case basis. Appendix B of the 2020 Agency Guidance includes detailed examples of routine and non-routine collections and disclosures, with descriptions.**

**Add additional rows as needed.**

Describe the Collection or Disclosure	Classification Type
See <b>Annexure A</b> . All functions on the list are collections and disclosures pre-approved as “routine” by the DCAS APO.	<input checked="" type="checkbox"/> Pre-approved as routine <input type="checkbox"/> Approve as routine by two or more agencies <input type="checkbox"/> Approved by APO on a case-by-case basis
DCAS does not have any items pre-approved as routine by the APOs of two or more agencies or any items approved by the APO on a case-by-case basis.	

N.Y.C. Admin. Code §23-1205(a)(1)(f)

**4. If applicable, specify the types of collections and disclosures that have been approved by the Chief Privacy Officer as being “in the best interests of the City” which involve any collections and disclosures of identifying information relating to your agency.**

**Add additional rows as needed.**

Describe Type of Collection or Disclosure
Not applicable.

N.Y.C. Admin. Code §23-1202(b)(2)(b); 23-1205(a)(1)(b)

**5. Describe the agency’s current policies regarding requests for disclosures from other City agencies, local public authorities or local public benefit corporations, and third parties.**

DCAS follows several policies regarding requests for disclosure.

DCAS follows the Model Protocol for Handling Third Party Requests for Information Held by City Agencies (“Model Protocol”) and NYS Freedom of Information Law (“FOIL”) regarding requests for disclosures. The DCAS APO regularly consults with DCAS Records Access and Open Data staff, so as to identify various types of disclosure requests.

The DCAS Code of Conduct explicitly states: *“No employee shall disclose to any unauthorized party any information relative to DCAS’s records, operations or activities without first referring that party to DCAS Communications or Records Access Officer. Employees should review the DCAS [Communications Guide] for more information.”*

Only authorized employees may process routine requests for information disclosure on behalf of the agency. Employees without this authority refer requests to the Office of General Counsel. All employees refer non-routine requests for information and court-related documents disclosure to Office of General Counsel, which then coordinates, as appropriate, with the Law Department. FOIL requests are processed by the Records Access Officer.

<b>6. Do the above policies address access to or use of identifying information by employees, contractors, and subcontractors?</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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<b>7. If YES, do such policies specify that access to such information must be necessary for the performance of their duties?</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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<p><b>8. Describe whether the policies are implemented in a manner that minimizes such access to the greatest extent possible while furthering the purpose or mission of the agency.</b></p>	<p>The Model Protocol requires employee communication with agency counsel for limiting the scope of the information disclosed to the greatest extent possible.</p> <p>This is done through limiting which employees have authority to process requests, using Open Data public datasets, using the FOIL process, referring requests to the City Agencies with ownership of the information, considering other laws that restrict access to information (and legal preemption issues), considering privacy concerns and appropriateness of disclosure (i.e. individual consent to release information), redacting identifying information to the greatest extent possible, and coordinating with IT personnel for secure data transfer.</p> <p>DCAS Information Technology (“IT”) securely transmits data and restricts employee access to data to the greatest extent possible. Internet use is a privilege, and supervisors are required to certify that employees require internet use as part of or incidental to their job duties.</p> <p>The DCAS Computer and Internet Acceptable Use Protocol (“Internet Protocol”) explicitly states: <i>“The use of computers, related equipment and access to the Internet are resources provided by the Department of Citywide Administrative Services (DCAS) solely for employees to perform their City work responsibilities. Accordingly, DCAS-provided computers, related equipment and Internet Access should be used only for appropriate City business, and not for any personal or non-city business matters. This Policy applies to all DCAS employees, and to all interns, temporary workers, contractors, consultants and other individuals utilizing DCAS-provided computers, related equipment and Internet Access...”</i></p> <p>According to IT procedures, employees are granted full internet access or restricted access at the discretion of their supervisor. The Internet Protocol also states: <i>“Employees may not transmit confidential City information to anyone who does not have the right to that information...”</i> The DoITT Citywide Information Security Protocol requires that <i>“agency data must be controlled in accordance with pertinent regulatory requirements and City of New York policies.”</i></p>
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	<p>Additionally, DCAS IT Security Protocol restricts access to databases and files stored within DCAS to only those employees whose job duties require access. Further, authorized employees are only given access to the extent necessary to perform their specific job duties. According to IT procedures, employees are granted full internet access or restricted access at the discretion of their supervisor.</p> <p>DCAS IT, in cooperation with NYC CyberCommand, implements and updates security measures, policies and protocols designed to prevent unauthorized or accidental release of identifying information by DCAS systems and employees.</p> <p>According to the DCAS Code of Conduct, all I.D. badges and telecommunications equipment are surrendered by the employee upon termination. The Code of Conduct also mandates that telecommunications equipment is used strictly for business, and not personal, purposes.</p>
<b>N.Y.C. Admin. Code §§23-1205(a)(1)(c)(1), and (4)</b>	

<b>9. Describe the agency’s current policies for handling proposals for disclosures of identifying information to other City agencies, local public authorities or local public benefit corporations, and third parties.</b>
<p>DCAS follows the Model Protocol for Handling Third Party Requests for Information Held by City Agencies regarding disclosure of information. All proposals for disclosures of information are coordinated by the Office of General Counsel. See question 5 for more information.</p>
<b>N.Y.C. Admin. Code §23-1205(a)(1)(c)(2)</b>

<b>10. Describe the agency’s current policies regarding the classification of disclosures as necessitated by the existence of exigent circumstances or as routine.</b>
<p>All DCAS employees are required to follow the Model Protocol and Code of Conduct, regardless of exigent circumstances. However, in the event a non-routine disclosure occurs in exigent circumstances, employees are directed to contact the APO immediately after such disclosure has occurred, in accordance with the NYC Administrative Code.</p>
<b>N.Y.C. Admin. Code §23-1205(a)(1)(c)(3)</b>

<b>11. Describe the agency’s current policies regarding which divisions and categories of employees within an agency make disclosures of identifying information following the approval of the privacy officer.</b>
<p>DCAS follows the Model Protocol regarding disclosure of information. The Model Protocol states that the only employees that can process routine requests for information are employees who are “<i>delegated authority to make decisions with legal implications on behalf of the agency.</i>” The Model Protocol also requires all employees to communicate with agency counsel for limiting the scope of the disclosure and following the proper procedures.</p> <p>DCAS employees have been instructed to contact the APO for non-routine requests for information disclosure or if they are unaware if a request is routine or non-routine, in accordance with DCAS’ Frequently Asked Questions document issued to all staff.</p> <p>As above, according to IT procedures, employees are granted full internet access or restricted access at the discretion of their supervisor. Each employee must submit an Internet Access Request Form, which details the scope of their internet access, through their supervisor to the Chief Technology Officer before receiving internet access on their work computer.</p>

Due to the nature of DCAS' routine operations, certain categories of employees may have access to particularly sensitive identifying information. For example:

- Employee records: only limited staff may access NYCAPS to view sensitive employee records. Employees may request to view their own employment file.
- Exam records: Exam staff are required to sign additional acknowledgments regarding the sensitive nature of exam-related data.
- Transportation records: Only limited staff may view NYS license records for DCAS drivers, and all records are stored securely.
- Disciplinary and EEO matters: records are viewed and stored by limited staff involved in the investigations, and disclosure is only made in accordance with legal direction.

N.Y.C. Admin. Code §23-1205(a)(1)(c)(4)

**12. Describe whether the agency has considered or implemented, where applicable, any alternative policies that minimize the collection, retention, and disclosure of identifying information to the greatest extent possible while furthering the purpose or mission of such agency.**

As mentioned above, the DCAS IT Security Protocol restricts access to databases and files stored within DCAS to only those employees whose job duties require access. Authorized employees are only given access to the extent necessary to perform their specific job duties.

N.Y.C. Admin. Code §23-1205(a)(4)

**13. Describe the agency's use of agreements for any use or disclosure of identifying information.**

DCAS uses a variety of agreements that deal with restrictions on the use or disclosure of information that might contain identifying information. For example, Appendix A to DCAS contracts includes standard confidentiality language as well as restrictions on contractor's use of information; Memorandums of Understanding often include provisions to protect the confidentiality of information; and agreements with third parties and Affidavits often include this language. Confidentiality clauses and requirements around the use of information are drafted and included in various agreements by the Office of General Counsel, on an as needed basis.

N.Y.C. Admin. Code §23-1205(a)(1)(d)

**14. Using the table below, specify the types of entities requesting the disclosure of identifying information or proposals for disclosures of identifying information, and for each entity, describe (1) the reasons why an agency discloses identifying information to such entity, and (2) why any such disclosures furthers the purpose or mission of such agency.**

**Add additional rows as needed.**

Type of Entity	Description of Reason for Disclosure	Description of how disclosure furthers the purpose or mission of the agency
City agencies (Mayoral & non-Mayoral)	Coordination of citywide personnel, services, and programs	DCAS has many Citywide mandates for civil service administration, procurement of goods and services, and other functions which entail regular exchange of information with City agencies. Disclosure of identifying information is required to enable DCAS and City agencies to fulfil their missions to serve the public.
Oversight agencies (including NYC Comptroller, Public Advocate, State agencies)	Compliance with all Federal, State and City laws	DCAS is required to disclose identifying information to the NYC Comptroller's Office, State Comptroller, the Department of Investigation, and other oversight agencies. DCAS also has an oversight mandate in relation to several Citywide initiatives.
Public (including prospective City employees)	Communication with the public, serving the public	Members of the public interact with DCAS through various channels including media and press releases, applying for examinations, and visiting DCAS-managed facilities. Information may be disclosed for the purposes of administering the Civil Service law, processing exams, ensuring the safety and wellbeing of members of the public, and informing the public of DCAS' operations and events.
Media and members of the press	Communication and free press	Members of the press make inquiries of DCAS External Affairs relating to DCAS' mission, operations and services. Where identifying information is sought, both FOIL and Privacy Law considerations are taken into account.
City employees	Personnel Administration, Civil Service Administration	Personnel Matters, Municipal Civil Service Commission
Contractors & subcontractors	Doing business with the City	Facilities Maintenance, Real Estate Transactions, Procurement, Management of other utilities and services (Energy, Fleet, etc.)
Vendors	Doing business with the City	Facilities Maintenance, Real Estate Transactions, Procurement, Management of other utilities and services (Energy, Fleet, etc.)
Prospective Employees	Hiring, Civil Service Exam Administration	Personnel Matters, Municipal Civil Service Commission
Fleet operators	Management of Citywide Fleet	Management of the City's Fleet
Labor organizations	Management of personnel	DCAS is required to provide certain identifying information relating to City employees to unions and labor organizations, to fulfil obligations of law and collective bargaining agreements.
Small businesses and M/WBEs	Furtherance of City's commitment to M/WBEs	DCAS coordinates with the Mayor's Office, Small Business Services and M/WBEs to ensure greater representation of M/WBEs.

N.Y.C. Admin. Code §23-1205(a)(1)(e)

*- Proceed to Next Question on Following Page -*

**15. Describe the impact of the Identifying Information Law and other applicable laws upon your agency's practices in relation to collection, retention, and disclosure of identifying information.**

Compliance with this law has aided DCAS in examining the entirety of our agency operations on a broad scale. DCAS as an entity is now more aware of the diverse range of operations we perform and which of these operations require extensive communication and information gathering.

N.Y.C. Admin. Code §23-1205(a)(2)

**16. Describe the impact of the privacy policies and protocols issued by the Chief Privacy Officer, or by the Citywide Privacy Protection Committee, as applicable, upon your agency's practices in relation to the collection, retention, and disclosure of identifying information.**

DCAS utilized the templates and guidance provided by the CPO and the Committee for complying with the new laws.

N.Y.C. Admin. Code §23-1205(a)(3)


**APPROVAL FOR AGENCY REPORT**

**Preparer of Agency Report:**

<b>Name:</b>	Alan Deutsch		
<b>Title:</b>	Senior Counsel, DCAS Agency Privacy Officer		
<b>Email:</b>		<b>Phone:</b>	

**SIGNATURE OF AGENCY HEAD OR DESIGNEE REQUIRED BELOW**

**Agency Head (or designee):**

<b>Name:</b>	Lisette Camilo		
<b>Title:</b>	Commissioner		
<b>Email:</b>	OfficeoftheCommis@dcas.nyc.gov	<b>Phone:</b>	212-386-0201
<b>Signature:</b>		<b>Date:</b>	8/4/2020

— End of Document —



**DCAS Routine Approval Forms**  
**for Compliance with the Identifying Information Law (LL 245 and 247 of 2017)**

**I. Global Forms**

1. Disclosure to Auditors or Local, State, or Federal Oversight Agencies

The categories of information covered by this approval include documents collected and/or disclosed for the purpose of complying with requests that arise from authorized audits and investigations. DCAS collects and discloses such identifying information for the purposes of complying with legal requirements and other directives.

2. Correspondence and scheduling of meetings and presentations

The categories of information covered by this approval include contact information, correspondence, meeting information, and presentations necessary for carrying out the operations and functions of DCAS. DCAS collects and discloses such identifying information for the purposes of coordination and communication with DCAS employees and City employees, vendors, contractors, subcontractors, the public, and/or other persons involved in our broad scope of operations.

3. Public building and facility security and access (I.D. Forms)

The general categories of information covered by this approval include forms and documents related to identification required for building access, such as employee I.D. forms, contractor I.D. requests, security guard I.D. forms, copies of government-issued identification (such as a driver's license), and the actual building I.D. issued to the user by DCAS. These forms are likely to contain employee and contractor Social Security Numbers. DCAS collects and discloses such identifying information for the purposes of maintaining security in all DCAS-managed buildings and ensuring building access to authorized persons (employees, tenants, contractors, security).

4. Human Resources and Personnel Matters

The categories of information covered by this designation include information about exam and job applicants, personnel, employee benefits, payroll and other related job applicant and employee information. DCAS collects such identifying information for the purposes of reviewing and processing new hires, issuing work identification, payroll and employment benefits for personnel in Lines of Service within DCAS. This is a core function performed primarily by DCAS Administration/Human Resources, and secondarily by staff within each Line of Service.

5. Fulfilling payments and performing oversight functions

The categories of information covered by this approval include invoices and certified payrolls. DCAS collects and discloses such identifying information to fulfill contract requirements, comply with legal requirements, and performing due diligence with respect to contractors, subcontractors, and vendors who do business with the City

6. Training and Development

The categories of information covered by this approval include forms, correspondence, and other documents related to training City personnel through outside vendors or specialized courses. This includes information collected and disclosed for the Energy Management Institute, Defensive Driving courses, Fire and Life Safety courses, procurement courses, and COSH trainings. DCAS collects and discloses such identifying information for the purposes of training City personnel in skills specific to their substantive work, or complying with laws or other directives that mandate training (i.e., defensive driving courses is a Vision Zero initiative).

## Annexure A

### II. Individual Line of Service Forms

#### A. Office of the Commissioner

##### 1. Agency Operations and Administration

The categories of information covered by this approval include meeting scheduling, correspondence, reports, and documents necessary for administering agency operations and facilitating project management. This includes scheduling invitations, lists of employees with employment information, public mail, email communications with the Commissioner, invitations to events, reports and letters from other agencies, DCAS Connect (including Contact the Commissioner), event briefings, emergency memos, DCAS reports, office supplies purchases, driver's licenses of senior officials, 311 information, nominations of employees to attend events and win awards, HR-related requests (including promotions, new hires, application status), mandated disclosure documents, customer related inquiries from the Mayor's Office and Mayoral agencies, and Commissioner-level communications. The Office of the Commissioner collects and discloses such identifying information for the purposes of supporting necessary central executive functions performed by the Commissioner and the agency.

##### 2. Intergovernmental affairs and communications (External Affairs)

The categories of information covered by this approval include contact information used for the Green Book, press releases, newsletters, communications request forms, social media posts, interview notes and recordings, email communications, invitations to meetings and events, news articles, City Council budget hearing testimony and related documents, and inquiries from the press, public, and City agencies. The Office of the Commissioner collects and discloses such identifying information for the purposes of administering the official directory, City services, and DCAS operations, as well as communicating DCAS's message.

##### 3. Publishing the City Record

The categories of information covered by this approval include information about City officials, employees, vendors, subscribers, and others used to publish and published in the official paper of the City of New York, the City Record. This includes the City Record print edition and City Record Online (which include advertisements, public meetings and hearing, procurement awards, procurement intent to award, procurement solicitation, vendor lists, contract award hearings, notice of hearings on proposed agency rules, property dispositions, court notices, changes in personnel, and special materials), subscriber forms and lists, subscription invoices and payments, databases used to submit procurement and non-procurement ads, mailing lists, invoices and correspondence from the print vendor, and vendor-related information and correspondence. The Office of the Commissioner collects and discloses such identifying information for the purposes of publishing the official paper of the City, the City Record, authorized by the City Charter.

##### 4. Event management, promotions and marketing

The categories of information covered by this approval include forms, correspondence, and documents for coordinating events for the agency or in DCAS-managed facilities. This includes signature sheets for film shoots, the special events weekly calendar, certificates of insurance, shooting permits, activity approval for properties and facilities under DCAS jurisdiction, letters of intent and supporting documentation, acknowledgement of adopted film rules, acknowledgement of notice of prohibited conduct, application for use of City building for special events, scheduling information, and new event requests. This also includes applications, email correspondence and other requests for promotions and marketing support including design for DCAS, other City agencies, Mayoral support, and related events promotion and marketing. The Office of the Commissioner collects and discloses such information for the purposes of hosting and advertising events.

##### 5. Internal review and audit of agency operations; Oversight of the agency

The categories of information covered by this approval include documents collected for internal audits of DCAS operations and documents collected and disclosed (to the Comptroller, DOI, or other oversight bodies) for external

## Annexure A

audits of DCAS operations. This includes non-public school security guard reimbursement program audit reviews and reports, invoice/payment packages that contain certified payrolls and timesheets, deduction reports (only for construction-related projects), quarterly DOI metrics (on P-Card, WEX fuel cards, and 311 complaints), the Agency Internal Control Questionnaire, external audit data and reports, internal audit data and reports, correspondence related to audits, and lobbying disclosure forms. The Office of the Commissioner collects and discloses such identifying information for the purposes of legal compliance and agency oversight.

### 6. Compliance with EEO Policy and related laws

The categories of information covered by this approval include forms, documents, notes, and databases used by the DCAS EEO Office for administering EEO Complaints, Reasonable Accommodation requests, and best practices for diversity and inclusion. This includes intake forms, complaint forms, tracking spreadsheets, investigation notes, scheduling invitations related to investigations, investigation reports, complaint files, reasonable accommodation request forms and supporting documentation, interactive process logs, determination notices, requests for equipment purchases for accommodations, reasonable accommodation requests for public events (via the Disability Services Facilitator), the CDEEO database, quarterly reports to CDEEO, agency-wide emails on diversity and inclusion initiatives, calendar invitations for EEO-related employee trainings, tracking databases for training compliance, structured interviewing candidate evaluation forms, interview calendar invitations, fiscal year Diversity and EEO Plans, and lists and documents related to the EEO Counselors, heritage month event organizers, employee resource groups, and the DCAS Diversity and Inclusion Council. The Office of the Commissioner collects and discloses such identifying information for the purposes of ensuring DCAS compliance with Equal Employment Opportunity policy and other related laws, as well as promoting diversity and inclusion initiatives for the agency's workforce, workplace, and community efforts.

### 7. Emergency management and operations

The categories of information covered by this approval include contact information, employee lists, databases, and documents used for coordinating emergency operations among City agencies. This includes the Continuity of Operations Plan (COOP), the COOP staffing list, the Post Emergency Canvassing Operations (PECO) staffing list, the Office of Surplus Activities (OSA) donation tracker spreadsheet, NYCEM Logistical Coordination, the NYCEM Shelter List, and any personal information collected during an emergency such as contact and medical information. Strategic Operations collects and discloses such identifying information for the purposes of maintaining City operations before, during, and after various types of emergencies.

#### B. Administration

##### 1. Agency administrative support

The categories of information covered by this approval include documents and correspondence related to agency support services like records inventory, records production, transportation, and maintaining equipment related to these services. This includes the GRM Records database, inventory control forms, notary records, procurement forms, equipment inquiries, request for reproduction forms, vendor communications, P-Card logs, abstracts of driving records, LENS reports, annual City government vehicle commuting authorization forms, DCAS authorized driver forms, authorization for use of a City vehicle for out of town travel, drivers' time logs, scheduling, email requests for transportation, DCAS incident reports, Zipcar and Local Motion information, documentation related to lawsuits against drivers, inspector general requests, taxable fringe letters, EZ pass repayment information, traffic violations and reimbursements, and drivers' licenses. Administration collects and discloses such identifying information for the purposes of supplying the agency with necessary services, support, and resources for its operations.

##### 2. Personnel Management and Human Resources Support

The categories of information covered by this approval include forms containing personnel information for hiring purposes (such as I-9, W-4, IT-2014, acknowledgement of materials and policies, NYCAPS personal data sheets, health benefits enrollments and acknowledgements, retirement savings enrollment applications, comprehensive

## Annexure A

personnel documents, DOI packets, family medical leave information, worker's compensation information); forms containing financial information for payroll and timekeeping purposes (supplementary request form, one-time payments, direct deposit enrollment, request for information, change of address, employee's change to inactive status, mail paycheck receipt, intent to retire form and related documents, stop payment forms, check refund forms, EFT overrides and reversals, security access forms, managerial worksheets, student new hire personal data, W-4); and documents related to compliance with labor policies, such as disciplinary charges, administrative reviews, interview scheduling and notes, arrests, dispositions, court appearances, DOI referrals, supervisor inquiries, unexcused lateness records, undocumented sick leave records, AWOL forms, and union membership and dues deduction authorization forms. Administration collects and discloses such identifying information for the purposes of performing essential and required personnel management functions.

### 3. Law enforcement; Maintaining security in public buildings and facilities

The categories of information covered by this approval include incident forms and reports, ID forms, DCAS-specific background check forms, wanted check log books and reports, payroll reports, memo books, building log books, law enforcement log books, employee-related alerts, VIP alerts, building access reports, mailroom logs, the emergency COOP plan, surveillance at all DCAS locations, police academy records, employee management file (EMF), records for firearm training, complete lists of officers registered with the State, firearm licensing via NYPD, DOS website background checks, and guard licensing background checks. DCAS Police collects and discloses such identifying information for the purposes of monitoring security threats in all DCAS-managed buildings.

### 4. Retail operations

The categories of information covered by this approval include records of City employees for discount purposes, the Retail Starr Database, order confirmation emails, online order processing systems, online order invoices, online order packing lists, UPS shipping receipts, website audits, and price quotes. The City Store collects and discloses such identifying information for the purposes of selling City of New York merchandise and related sales operations.

## C. Construction and Technical Services

### 1. Maintenance of public buildings and facilities and associated operations

The categories of information covered by this approval include project coordination, project proposals, change orders, documents for relations with tenants and project managers (trespassing form), documents and correspondence related to elevator maintenance (inquiries, project coordination, inspections, maintenance, repairs), and general correspondence with construction contractors and subcontractors. Construction and Technical Services collects and discloses such identifying information for the purposes of improving City-owned buildings beyond routine maintenance through project management, elevator/escalator/lift maintenance, ADA compliance, building assessments, funding requests, project scoping, budget development (Capital and Expense budget plans), cost estimating, pre-award bid analysis, award recommendation, construction management, final acceptance/close-outs of the projects, and in-house design and/or consultant design review (architecture, engineering, historic preservation, sustainable design, building code reviews, special inspections, commissioning and site assessment).

## D. Energy Management

### 1. Management of the City's energy resources

The categories of information covered by this designation include program and project management correspondence, funding applications, and documentation that contains identifying information of City employees, agency energy personnel, building facility managers, utility personnel, vendors and potential vendors. Energy Management collects and discloses such identifying information for the purposes of implementing and administering the ACE, ExCEL, Clean Energy Program, Operations and Maintenance, Solar initiatives, IDEA, Demand Response, Retrofits, and other energy-related programs and initiatives to meet the City's environmental targets. Energy Management is also responsible for managing municipal energy use, payment of energy bills, and development of the Heat, Light & Power Budget as authorized by Section 825 of the City Charter.

## Annexure A

### E. Facilities Management

#### 1. Maintenance of public buildings and facilities

The categories of information covered by this approval include requests and correspondence for facilities maintenance in City-owned buildings; information about DCAS employees, tenants, other City agencies' employees obtained via CMMS and ARCHIBUS; invoices; payroll reports (certified payrolls from vendors); forms and renewal applications for building I.D.s; certificates of fitness; contractor certifications; building access requests; employee clearance for court facilities entrance; emergency contact information forms; marketing presentations to tenants and clients; and general correspondence and meetings with others regarding building maintenance services.

Facilities Management collects and discloses such identifying information for the purposes of maintaining public buildings and facilities through answering requests placed in the CMMS and ARCHIBUS systems; performing maintenance and repair work; managing contractors and subcontractors who perform maintenance work; maintaining, repairing, and operating all building systems equipment; and performing other related functions of data and analytics, budget and contract administration, tenant relations, and special projects. Facilities Management is authorized to perform these functions by Section 822 of the City Charter.

### F. Fiscal and Business Management

#### 1. Administration of agency budget and financial operations

The categories of information covered by this approval include documents and databases used for administering DCAS expenses, such as the personal services budget and annexures; OMB projections and supporting documents; IT payroll report downloads, CHRMS Reports, and PCES Reports that contain employee information; correspondence with DVS and information on DVS employees (temporary administrative function); documents used for reimbursing claims (invoices, expenses, NYS reimbursement documents, supporting documentation); revenue documents; the FMS Access Database and letters to DOI requesting employee access to the database; Inter-Fund Agreement (IFA) transfers and supporting documents; budget code questionnaires; Line of Service memos for project proposals; FN documents; RQC1 documents; invoice packages; budget sheets; correspondence with OMB and project managers; backup documents for contract revisions; certified payroll reports; purchase orders; 1099 Reports; personal reimbursements; documents for film or event expenses; and lease and contract registrations. FBM collects and discloses such identifying information for the purposes of creating and administering the agency's budget, monitoring agency expenses, and complying with audits.

#### 2. Administration of the Non-Public School Security Guard Reimbursement Program

The categories of information covered by this approval include HHS application documents, certified payroll reports, annual recertifications, MOUs, invoices, insurance documents, annual incident reports, additional activities forms, workshop scheduling, and the annual BEDS non-public school enrollment by grade listing.

FBM collects and discloses such identifying information for the purposes of reimbursing non-public schools who utilize contracted security services.

### G. Fleet Management

#### 1. Management of the City's fleet

The categories of information covered by this approval include information about City employees and drivers who drive City-owned vehicles (including NYS Lens Reports), information used to execute the City's fleet sharing program (through programs such as Zipcar and FastFleet/LocalMotion), forms and scheduling correspondence for administering defensive driving courses, collision and incident reports, documents submitted to Assetworks FleetFocus by other City agencies, correspondence with City agencies on coordinating vehicle use, information for obtaining WEX cards for fueling vehicles, and information input into various Fleet databases, including ARI Insights, ChargePoint, EJ-Ward CANceivers and FuelView, GeoTab, GPC TAMs Parts Management System, MobilEye, OpticsRe (EV-Arc), PropertyRoom.com, and Stealth Power.

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Fleet Management collects and discloses such identifying information for the purposes of acquiring, maintaining, repairing, storing, and operating all City-owned vehicles; coordinating vehicle use with City agencies and employees; tracking fuel usage, vehicle parts, repairs, and their costs; auctioning City vehicles for sale; implementing Vision Zero initiatives; and monitoring City agency compliance with Fleet policies and procedures.

### H. Human Capital

#### 1. Administration of Civil Service exams

The categories of information covered by this approval relate to Civil Service exams, Civil Service Eligible Lists, and related documentation and correspondence for exam administration. This includes exam applications, applicant profiles and forms with applicant information, special accommodation requests, exam forms and answer sheets, scheduling notices and invitations to exams and protest reviews, appeals and determinations, exam-related inquiries, discretionary title proposals, managerial position descriptions, documents related to subject matter experts, documents related to test validation, information on exam monitors, foreign education evaluations, documents related to fee waivers, demographic data for analyses, requests related to Civil Service lists, data correction forms, certification turnaround documents, state military law applications, and veterans/legacy forms. Human Capital collects and discloses such identifying information for the purposes of carrying out DCAS' powers and duties as a municipal civil service commission.

#### 2. Administration of the City's personnel management system

The categories of information covered by this approval relate to the City's hiring and labor processes, including NYC Jobs applications, new hire packets, personal data, employment data, payroll data, health benefits enrollment, case management (NYCAPS TRAC), the NYC Fleet Acknowledgement form, Qualified Incumbent Exams (QIEs), and the Agency Personnel Officers' meetings and portal. Human Capital collects and discloses such identifying information for the purposes of carrying out DCAS' responsibility for citywide personnel matters.

#### 3. Administration of the City's Civil Service system

The categories of information covered by this approval relate to City personnel, job applicants, and the classification of civil service titles. This includes Citywide systems such as NYCAPS, CEEDS, PRISE, CERTS, AMS, PMS, CHRMS, TSOA, Racf ID, APPS, and PICTS; E-JUSTICE; Comprehensive Personnel Document-B; NYS Department of Labor forms, notices, determinations, correspondence, and questionnaires; Agency Personnel Officer (APO) database and portal; Baseline database; Status of Provisionals Report; Charter Details Report; documents for medical reinstatements and appeals; applications and documents for dedicated and catastrophic sick leave; IME requests and reports; managerial lump sum requests; city start date inquiries; PPL reports and review; CPP inquiries; information on NYC Gives contributions; documents and forms for specialized payroll functions (repayments, time balance usage, hardships, overpayments); applications to donate leave; agency separation documents; and various request forms for employment information. Human Capital collects and discloses such identifying information for the purposes of carrying out DCAS' powers and duties as a municipal civil service commission.

#### 4. Administration of the City's training and personnel development program (broad operations)

The categories of information covered by this approval relate to learning and development programs (broad operations) administered by Human Capital. This includes Citywide Training Center applications, participant information forms, sign-in sheets, and other documents associated with administering training programs hosted by Learning & Development. Human Capital collects and discloses such identifying information for the purposes of improving the City's workforce through developing current employees and increasing recruitment of prospective employees.

#### 5. Administration of the City's training and personnel development program (specific operations)

The categories of information covered by this approval relate to learning and development programs (specific operations) administered by Human Capital. This includes various learning and development-related functions,

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executed contracts with training vendors; training services agreements; transcripts; statistical reports to City agencies (Mayoral and Non-Mayoral); IACET Design documents; public requests via 311; LMS System (“Interim System”) for hosting eLearning courses; College Scholar Awards; Frederick O’Reilly Hayes Prize; Leadership Institute; Management Academy; NYC Urban Fellows Program and Civil Service Pathway Fellowship; NYC Public Service Awards; Public Service Corps applications. Human Capital collects and discloses such identifying information for the purposes of improving the City’s workforce through developing current employees and increasing recruitment of prospective employees.

### I. Information Technology

#### 1. Information technology and business support

The categories of information covered by this approval include network support and project management of DCAS’ online databases and systems, information obtained to facilitate equipment provisions, connectivity and communications for DCAS employees, Citywide Service Desk information technology support requests, coordination to support Cyber security initiatives and inventory and equipment management information. Information Technology collects and discloses such identifying information for the purposes of supporting the information technology, cyber security and infrastructure needs of DCAS.

### J. Office of Citywide Procurement

#### 1. Procurement of goods and services

The categories of information covered by this approval include information on prospective and current vendors to determine vendor responsibility, information related to purchasing goods and services for City operations, as well as information about DCAS and City employees involved in the procurement process. This may include inspection reports, purchase orders, invoices, bid books, contracts, new contract requests, tax documents, incorporation documents, information related to PASSPort Compliance, Doing Business Data Forms, Advice of Awards, Bidders Lists, Site Applications, and P-Card inventories. The Office of Citywide Procurement collects and discloses such identifying information for the purposes of purchasing certain goods and services whose total value exceeds the small purchase limit, quality control for all purchases, warehousing and distribution of goods to City agencies and offices, sale or safe disposal of surplus goods, complying with local requirements for contracting with M/WBEs, emergency stock management, and administering the P-Card Program. The Office of Citywide Procurement is authorized to perform these functions by Section 823 of the City Charter and the Procurement Policy Board Rules.

### K. Office of the General Counsel

#### 1. Representation of DCAS before Courts and Administrative Forums

The categories of information covered by this approval include correspondence, scheduling, and documents for legal representation, such as Civil Service Commission appeal-related documents, Human Rights appeal-related documents, Section 72 Appeal-related documents, and documents necessary for representation of DCAS before courts and administrative forums. This office collects and discloses such identifying information for the purposes of coordinating with the Law Department in representing the agency in litigation and other legal matters.

#### 2. Preparation and review of agency contracts, real estate documents, requests, and other legal documents

The categories of information covered by this approval include contracts, bid specifications, MOUs, RFPs, procurement-related documents, leases, lease renewals and amendments, lease assignments, agreements, notices, letters, estoppels, change of ownership, lease enforcement-related documents, requests and responses to requests, such as requests for residency waivers, subpoenas and litigation-related requests for authorized records, and agency records for Freedom of Information Requests. This office collects and discloses such identifying information for the purposes of responding to requests, performing administrative legal functions, negotiating contracts, and monitoring DCAS’ legal operations.

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### 3. Administration of the Citywide Safety and Health Program

The categories of information covered by this approval include records of audiometric testing results for the COSH Hearing Conservation Program and Workplace Violence Incident Reports pursuant to the Workplace Violence Prevention Program. COSH collects and discloses such identifying information for the purposes of implementing and complying with workplace safety laws, standards, and initiatives.

#### L. Real Estate Services

##### 1. Management of the City's real property

The categories of information covered by this approval include documents and correspondence related to the purchase, lease, sale, condemnation, and management of real property for the City, which contain information on tenants, landlords, vendors, and City employees, such as: receivables and billing for the DCAS leased out portfolio, various payments related to the City's real estate (for tenants or mortgages), audit-related documents, lease out applications for prospective tenants, solicitation offering letters, sales information, auction-related lists and documents, bid packages, ULURP applications and related documents, landlord information and disclosures, background checks, inquiries from the public and property purchasers, meetings with contractors and tenants, and various contracts for furniture, appraisal, architectural services, tenant representation, and other real estate related goods and services. Real Estate Services collects and discloses such identifying information for the purposes of purchasing, leasing, selling, condemning, and managing the City's real estate through administration of the SAIL Away Program; collecting and fulfilling payments; conducting due diligence on prospective landlords, tenants, and purchasers; holding public auctions; seeking City approval for certain transactions (filing ULURP applications); and contracting for various goods and services. Real Estate Services is authorized to perform these functions by Section 824 of the City Charter.

#### M. Office of Citywide Equity and Inclusion

##### 1. Development and enforcement of the City's EEO Policy and provision of best practice guidance to City agencies

The categories of information covered by this designation include 55-a Program applications and records, information collected in the course of recruitment activities, information relating to participants in EEO Best Practices meetings, records relating to third party EEO investigations, including witness information and appointment details, and information regarding training attendees.