

FORM # 3
Agency Report Template

(Revised April 2020)

INSTRUCTIONS

The Identifying Information Law requires City agencies to submit comprehensive biennial reports related to their collection, disclosure, and retention of identifying information and their privacy protection practices. Agencies should review their 2018 reports, and begin collecting any updated information as soon as possible. The agency's updated and completed Inventory Form (Form #1), together with the Routine Designation Forms (Form #2) and Forms for the Agency Privacy Officer Approval of Collections and Disclosures on a Case-by-Case Basis (Form #5), should contain a significant amount of the information necessary to complete the report. While the Law does not specify who must complete the report, the APO is best positioned to do so, with final review and approval before submission by either the agency's General Counsel, or other counsel to the agency.

Agencies should review their 2018 versions of Form #3: Agency Report Template, and using this information and any updates to this report since 2018, complete a new Form #3 for 2020. This Form must be submitted to the CPO at PrivacyOfficer@cityhall.nyc.gov. The report must also be submitted to the Mayor, at MOReports@cityhall.nyc.gov, City Council Speaker, at reports@council.nyc.gov and the Citywide Privacy Protection Committee, at NYCPrivacyCommittee@cityhall.nyc.gov. Additionally, per N.Y.C. Charter §1133(a), agencies must submit their report to the City's Department of Records and Information Services online submissions portal at <https://a860-gpp.nyc.gov> within ten days of submission to the CPO, the Mayor, the City Council Speaker, and the Citywide Privacy Protection Committee. **Agency reports must be signed by the agency head or designee prior to submission.**

NOTE: For questions requesting information about existing agency policies relating to the disclosure of identifying information, agencies should describe their specific agency policies, and may also reference the Model Citywide Protocol for Handling Third Party Requests for Information Held by City Agencies, issued as City policy in April 2017, and the Identifying Information Law Rider.

IMPORTANT NOTE

THE INFORMATION CONTAINED IN THE AGENCY REPORT WILL BE PUBLIC INFORMATION. PREPARERS OF THIS REPORT SHOULD CONSULT WITH THEIR AGENCY'S GENERAL COUNSEL OR THE CHIEF PRIVACY OFFICER REGARDING ANY QUESTIONS AS TO WHETHER THE AGENCY'S RESPONSES TO QUESTIONS IN THE REPORT ARE PROVIDED IN ACCORDANCE WITH APPLICABLE LAW AND CITY POLICY.

**THESE INSTRUCTIONS AND VERSION CONTROL INFORMATION
ON THE FOLLOWING PAGE SHOULD BE DETACHED
FROM THE REPORT BEFORE SUBMISSION**

VERSION CONTROL

Version	Description of Change	Approver	Date
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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AGENCY REPORT

(due on or before July 31, 2020)

Agency:	Department of Consumer Affairs		
Agency Privacy Officer:	Eileen J. H. Yap		
Email:	eyap@dca.nyc.gov	Telephone:	212-436-0330
Date of Report:			

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)*	<u>Work-Related Information</u> <input checked="" type="checkbox"/> Employer information <input checked="" type="checkbox"/> Employment address
<u>Biometric Information</u> <input checked="" type="checkbox"/> Fingerprints <input checked="" type="checkbox"/> Photographs	<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 addresses <input checked="" type="checkbox"/> Email address <input checked="" type="checkbox"/> Phone number	<u>Law Enforcement Information</u> <input checked="" type="checkbox"/> Arrest record or criminal conviction <input 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
<u>Demographic Information</u> <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	<u>Technology-Related Information</u> <input checked="" type="checkbox"/> Device identifier including media access control MAC address or Internet mobile equipment identity (IMEI)* <input checked="" type="checkbox"/> GPS-based location obtained or derived from a device that can be used to track or locate an individual* <input checked="" type="checkbox"/> Internet protocol (IP) address* <input checked="" 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 checked="" type="checkbox"/> Status as victim of domestic violence or sexual assault <input checked="" type="checkbox"/> Status as crime victim or witness	
<u>Other Types of Identifying Information</u> (list below): Other identifying information collected during the work of various Divisions to further DCA's mission.	
<small>*Type of identifying information designated by the CPO (see CPO Policies & Protocols § 3.1.1).</small>	

2. Specify the reasons why collection and retention of identifying information specified above furthers the purpose or mission of your agency.
<ul style="list-style-type: none"> • The Licensing Division collects, retains, and discloses identifying information as part of its role of administering licenses for DCA-regulated businesses, as well as issuing all permits on behalf of the Department of Health and Mental Hygiene (“DOHMH”), pursuant to a contract with that agency. DCA licenses include more than 65,000 businesses/individuals in approximately 55 different categories such as debt collection agencies, parking garages/lots, and tobacco retail dealers. DOHMH licenses/permits include more than 50,000 businesses/individuals

in approximately 50 different categories, such as food service establishments, mobile food vendors, and tattoo artists.

- The Enforcement Division collects, retains, and discloses identifying information as part of its role ensuring compliance with all relevant City of New York Administrative Code provisions, the Rules of the City of New York, and various State regulations. It routinely inspects businesses licensed by DCA as well as non-licensed businesses that must comply with consumer protection laws and weights and measures laws. The Division conducts undercover inspections with minors and youth between the ages of 19 and 20 to enforce State and City laws, including regulating the sale of tobacco products. The Petroleum Unit ensures that consumers are getting the correct amount of gasoline at gas stations. In addition, Enforcement conducts qualifying inspections (for new licensees and renewals) and compliance inspections. Through the Visiting Inspector Program, the Division also provides education to newly licensed businesses about our rules and regulations to encourage a culture of compliance.
- The General Counsel Division collects, retains, and discloses identifying information as part of its role overseeing the agency's legal work. This work includes the investigation of violations of Title 20 of the NYC Administrative Code, Chapter 6 of the Rules of the City of New York and other laws and rules within DCA's jurisdictional authority, legal review of contracts, proposed rules and legislation, licensing and enforcement documents, and external communications. The General Counsel Division also contains DCA's Disciplinary Advocate Officer ("DAO"), Freedom of Information Law Officer ("FOIL") Officer, and, as described below, the Consumer Services Unit and Legal Settlement and Case Support Unit.
- The Consumer Services Unit collects, retains, and discloses identifying information as the face of DCA for many consumers. It may be their first and sometimes only point of contact with the agency. Most often, these consumers are seeking: (a) assistance with an individual complaint against a business; and (b) information about a particular business (whether they are licensed and whether complaints have been filed against them). Consumer Services fields between 55,000–75,000 individual consumer requests each year. Consumer Services also mediates consumer complaints, educates consumers and businesses, processes inspection requests, and refers consumers to the correct agency for assistance when the matter at hand is not handled by DCA.
- The Legal Settlement and Case Support Unit collects, retains, and discloses identifying information, furthering DCA's mission, as it: (a) contains DCA's Settlement Officers who offer to resolve violations charged by DCA prior to adjudication at OATH; and (b) ensures that decisions by OATH, adjudicating violations issued by DCA, are properly reflected in DCA's records.
- DCA's Office of Labor Policy & Standards ("OLPS") collects, retains, and discloses identifying information while acting as NYC's central resource for workers. The Office is a dedicated voice in City government for workers in NYC, protecting and promoting labor standards and policies that create fair workplaces to ensure all workers can realize their rights, regardless of immigration status. OLPS is required, pursuant to the NYC Charter and Administrative Code, to collect and analyze available federal, state, and local data on the city's workforce; facilitate the exchange and dissemination of information in consultation with city agencies, federal and state officials, businesses, employees, independent contractors, and nonprofit organizations working in the field of worker education, safety, and protection; and promote research covering the demographics of workers, including, at a minimum, age, gender, ethnicity, and preferred language.
- The Office of Financial Empowerment ("OFE") collects, retains, and discloses identifying information, as part of its mission to focus on initiatives that support New Yorkers and communities with low incomes in building wealth and improving their financial health. OFE is the first local government initiative in the country with the mission to educate, empower, and protect New Yorkers and neighborhoods with low incomes so they can build assets and make the most of their financial resources. OFE uses data and research, policy, partnerships, and convenings to advance its mission. Using this model, OFE is able to develop, offer, and advocate for innovative programs and products for all New Yorkers.
- External Affairs ("EA") collects, retains, and discloses identifying information as the intergovernmental division of the agency and custodian of DCA's relationship with City Hall, elected officials, government entities, community and faith-based organizations, and stakeholders with broad policy and public affairs jurisdiction. EA is responsible

for these relationships in order to ensure that the agency speaks with a singular and consistent voice to officials and entities that have touchpoints across DCA's wide jurisdiction.

- The Communications and Marketing Division collects, retains, and discloses identifying information, as it translates and promotes DCA's work to protect and enhance the daily economic lives of New Yorkers to the public to further advance the Agency's mission to create thriving communities. The Division produces DCA's public-facing media (brochures, reports, letterhead, videos, etc.); develops and executes integrated, multimedia public awareness campaigns; promotes and protects the Agency in the press; creates content and engages the public using the Agency's digital presence (website, social media, and Live Chat for Businesses); maintains 311 content; and ensures plain language, language access, effective design, and accurate branding in Agency communications.
- The Division of Technology and Strategic Solutions ("DoTSS") collects, retains, and discloses identifying information as the Division that is responsible for the successful implementation of technology to support IT strategic goals aligned with the DCA mission.
- The Finance Division collects, retains, and discloses identifying information as it works with all divisions to assess operational needs, create budgets, and monitor spending and expenses. Finance collaborates with divisions to acquire funding for new initiatives and, if necessary, additional funding to sustain current programs whether it is through State and Federal subsidies, intra-city agreements or the City's Office of Management and Budget. Additionally, Finance centrally purchases all goods and services used by the agency. This entails coordinating and processing divisional requests in a timely manner while adhering to City and State procurement regulations. Finance also maintains agency bank accounts, issues reimbursements, consumer restitutions as well as refund checks, oversees petty cash requests, and reconciles all of DCA's revenue. The Finance Division also includes the Revenue Unit, as described below.
- The Revenue Unit collects, retains, and discloses identifying information managing the agency's efforts to collect and process payment on fees and fines from businesses that violate the law. The Unit's work is necessary to ensure that businesses and individuals maintain compliance with the laws and rules enforced by DCA.
- The General Services Division collects, retains, and discloses identifying information maintaining the facilities, mailroom, and fleet of DCA vehicles for the agency. Without this operational support, DCA could not achieve its mission of protecting and enhancing the daily economic lives of New Yorkers.
- The Human Capital ("HC") Division collects, retains, and discloses identifying information as it serves the agency's employees. HC staff is committed to providing employee services such as recruitment, on-boarding, training and staff development, employee and labor relations, performance evaluations, personnel transactions, time and leave provisions, payroll, employee benefits, special leave requests, and agency-wide special events. HC staff also provides guidance on agency and citywide personnel rules and regulations, policies, and procedures.
- DCA's Equal Employment Opportunity ("EEO") Coordinator collects, retains, and discloses identifying information in his or her role investigating and providing recommendations for DCA-internal EEO claims.
- DCA is a U-Visa certifying agency. DCA's Designated U-Visa Representative collects, retains, and discloses identifying information in his or her role assessing U-Visa Certification applications submitted to DCA by undocumented immigrants.
- The Commissioner's Office coordinates DCA's responses to audits brought by the NYC Comptroller and other auditing agencies and discloses identifying information when responding to the audits. The Commissioner's Office also facilitates the review of unpaid civil penalties by licensee applicants, businesses, and individuals pursuant to Local Law 47 of 2016. As part of this process, the Commissioner's Office discloses identifying information to the NYC Department of Finance and reciprocally collects identifying information.

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
<p>The Licensing Division collects and retains information from license applicants through the basic license application, and various addenda and documents submitted with the basic license application and other supplementary forms. This information is necessary for the Licensing Division to perform its core function of administering DCA licenses.</p> <p>Pursuant to a contract between DCA and DOHMH, the Licensing Division also administers DOHMH licenses. And, pursuant to that contract, the Licensing Division collects and retains information from license applicants through DOHMH’s basic license application, and various addenda and documents submitted with that basic license application and other supplementary forms.</p>	<input checked="" type="checkbox"/> Pre-approved as routine <input checked="" type="checkbox"/> Approve as routine by two or more agencies <input type="checkbox"/> Approved by APO on a case-by-case basis
<p>DCA’s basic license application requests that all license applicants disclose their prior criminal history. For certain license categories, pursuant to the Administrative Code, the Licensing Division collects applicants’ fingerprints through an electronic system administered by the New York State Division of Criminal Justice (“DCJS”) and collects criminal history information from DCJS and the Federal Bureau of Investigation. Licensing obtains additional information it collects from the Office of Court Administration, public records, and other databases.</p>	<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
<p>DCA contracts with third-party testing companies to administer exams for certain license categories.</p> <p>In the process of administering these exams, these contractors obtain license applicants’ names and application numbers and retain their test results.</p>	<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
<p>DCA discloses identifying information about a license applicant to sister City agencies to satisfy its legal obligations to ensure that each licensee has satisfied all licensing requirements. DCA also discloses identifying information contained in the license application package to several agencies in multi-stakeholder license categories, like newsstands and sidewalk cafes.</p> <p>DCA also discloses identifying information to the Department of Finance and the Environmental Control Board to ensure that license applicants do not have any outstanding tax liens or fines owed to the City.</p> <p>DCA also discloses information about an applicant’s child support history to the Human Resources Administration.</p> <p>In all these situations, Licensing reciprocally collects identifying information.</p>	<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
<p>In certain categories, as required by the Administrative Code, Licensing shares license applications with City Council and other elected officials. In all these situations, Licensing reciprocally collects identifying information.</p>	<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
<p>DCA discloses identifying information about license applicants in certain categories to New York State agencies to satisfy DCA’s obligations under the law to ensure that each licensee has satisfied all licensing requirements. For example, for certain license categories Licensing discloses applicant information to the State Gaming Commission or the Department of Motor Vehicles.</p>	<input checked="" type="checkbox"/> Pre-approved as routine <input type="checkbox"/> Approve as routine by two or more agencies

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<p>For certain categories, DCA also discloses identifying information to the State Department of Taxation and Finance to obtain information concerning monies owed to the State.</p> <p><u>In all these situations, Licensing reciprocally collects identifying information.</u></p>	<input type="checkbox"/> Approved by APO on a case-by-case basis
<p>DCA discloses identifying information about license applicants in certain categories to federal government agencies to satisfy DCA’s obligations under the law to ensure that each licensee has satisfied all licensing requirements.</p> <p>For example, for certain categories, DCA confirms whether an applicant is an honorably discharged veteran or honorably discharged veteran with service-related disabilities with the U.S. Department of Veterans Affairs. As another example, for employment agencies, DCA obtains an applicant’s criminal history from the Federal Bureau of Investigation.</p> <p><u>In all these situations, Licensing reciprocally collects identifying information.</u></p>	<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
<p>In certain categories, as required by the Administrative Code, Licensing shares license applications with the relevant community board.</p> <p><u>In all these situations, Licensing reciprocally collects identifying information.</u></p>	<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
<p>In the pedicab license category, where many applicants have driver’s licenses from foreign countries, Licensing will confirm the driver’s license with the relevant embassy or consulate.</p>	<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
<p>In the pedicab license category, applicants submit proof of insurance that Licensing confirms with the insurance companies.</p>	<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
<p>The Enforcement Division collects and retains information from businesses and individuals it inspects (during patrol inspections, requested inspections, and qualifying inspections), including, but not limited to, names and signatures of individual licensees and business employees (included on summonses, certificates of inspection, and related inspection documents), books and records of the business, and photographs of the business, license documents, signs and receipts, and financial and tax documents.</p> <p>The Enforcement Division also collects and retains GPS-based locations from handheld devices used by inspectors at the time of an inspection. This information locates the business or individual that is being inspected and the inspector who is conducting the inspection.</p>	<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
<p>The Enforcement Division collects and retains information from businesses and individuals it inspects as part of the Visiting Inspector Program, including, but not limited to, names and signatures of individual licensees and business employees, language preferences for the licensees, and answers to a follow-up survey.</p>	<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
<p>The Enforcement Division collects license plates and VIN numbers for seized vehicles and, in certain license categories, for qualifying or compliance inspections.</p>	<input checked="" type="checkbox"/> Pre-approved as routine <input type="checkbox"/> Approve as routine by two or more agencies

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<p>The Enforcement Division collects and retains additional information about a vehicle or a driver from the Department of Motor Vehicles.</p>	<input type="checkbox"/> Approved by APO on a case-by-case basis
<p>The Enforcement Division collects and retains information about a potential enforcement target provided by elected officials, sister City agencies and State agencies.</p> <p>The Enforcement Division also collects and retains LD-6 forms from PD, which may contain identifying information, for the purpose of conforming those violations for adjudication at the Office of Administrative Trials and Hearings.</p> <p>The Enforcement Division also collects and retains identifying information from and discloses identifying information to sister City agencies as part of joint enforcement efforts.</p>	<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
<p>The Enforcement Division collects and retains birth certificates, Social Security cards, ID's, and other related documents for minors and youth between the ages of 19 and 20 who participate in inspections.</p>	<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
<p>The Enforcement Division collects, but does not retain, confiscated licenses.</p>	<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
<p>The Enforcement Division collects and retains identifying information if there is a report of an incident, such as an accident or a threat directed at an inspector.</p>	<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
<p>The Enforcement Division, as part of the adjudication process, sends summonses issued against businesses and individuals to the Office of Administrative Trials and Hearings ("OATH"). At hearings before OATH, inspectors introduce exhibits and provide testimony that may contain identifying information.</p>	<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
<p>DCA discloses identifying information collected during inspections enforcing State law to relevant State agencies.</p> <p>For example, DCA discloses identifying information collected during tobacco inspections to the State Department of Health through the EHIPS database and the State Department of Health.</p> <p>Another example is that DCA discloses information collected during inspection of businesses for compliance with the New York Agriculture and Markets laws to the New York State Department of Agriculture and Markets.</p>	<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
<p>DCA discloses identifying information collected during inspections to other City agencies with regulatory authority such as the Department of Finance and the Department of Health and Mental Hygiene for tobacco inspections.</p>	<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

<p>The General Counsel Division investigates violations of Title 20 of the NYC Administrative Code, Chapter 6 of the Rules of New York and other laws and rules within DCA’s jurisdictional authority. As a result of these investigations, the General Counsel Division, among other things, reviews complaints, enters into settlements, and commences enforcement actions at OATH and in New York Supreme Court. This work is essential to DCA’s mission of protecting and enhancing the daily economic lives of New Yorkers.</p> <p>As part of this work, the General Counsel Division collects, retains, and discloses identifying information from consumers, businesses, other individuals, and sister agencies during the investigation and adjudication process. In particular, the General Counsel Division discloses identifying information to OATH and the courts (which maintain filings that are publicly-available and conduct proceedings open to the public) when prosecuting violations, to businesses when disclosure is necessary for resolution of the investigation, and to process servers to serve subpoenas, court complaints, and other papers.</p> <p>The General Counsel discloses identifying information if it is undertaking a joint enforcement effort or if it is referring a matter to another agency (with the consumer’s consent). The Division will receive reciprocal identifying information.</p>	<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
<p>The General Counsel Division contains DCA’s Freedom of Information Law (“FOIL”) officer. In responding to FOIL requests, DCA discloses identifying information in compliance with the law.</p>	<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
<p>The General Counsel Division contains DCA’s Disciplinary Advocate Officer (“DAO”). The DAO investigates and, as appropriate, brings charges, against DCA employees, both internally and at various disciplinary adjudicatory bodies.</p> <p>As part of this work, the General Counsel Division collects, retains, and discloses employee identifying information during the investigation and adjudication process.</p> <p>The DAO also sends DOI monthly reports and a yearly corruption report.</p>	<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
<p>The General Counsel Division’s DAO is also responsible for monitoring DCA’s compliance with the conflict-of-interest rules.</p> <p>As part of this work, the General Counsel Division collects and retains employee information related to conflicts, and discloses it to the Conflicts of Interest Board. The General Counsel Division also makes standard donation and fundraising disclosures to the Conflicts of Interest Board.</p>	<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
<p>The General Counsel Division represents DCA in labor and employment-related actions before administrative bodies.</p> <p>As part of this work, the General Counsel Division collects, retains, and discloses employee information during the investigation and adjudication process.</p> <p>The General Counsel Division also discloses employee identifying information when sister City agencies, such as OLR or the Law Department, represent DCA in labor and employment-related actions.</p>	<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
<p>The General Counsel Division routinely discloses identifying information in its agency records, upon request, to law enforcement agencies such as DOI and PD.</p> <p>The DAO also sends DOI monthly reports and a yearly corruption report.</p>	<input checked="" type="checkbox"/> Pre-approved as routine <input type="checkbox"/> Approve as routine by two or more agencies

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	<input type="checkbox"/> Approved by APO on a case-by-case basis
<p>The General Counsel Division assists the Licensing Division by assessing whether new and renewal license applicants satisfy the requirements of NYC’s laws and rules and are fit to hold a license.</p> <p>As part of this work, the General Counsel Division collects, retains, and discloses identifying information necessary to undertake this licensing assessment.</p>	<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
<p>The General Counsel Division provides legal review of DCA’s contracts. To the extent the contracts contain identifying information, the General Counsel Division collects and retains the information and discloses it to sister City agencies, such as the Law Department.</p>	<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
<p>The General Counsel Division undertakes legal review of proposed rules and public comments made during the rulemaking process. To the extent comments provided in response to proposed rules contain identifying information, the General Counsel Division collects and retains such information and discloses that information, as necessary, to the Law Department.</p>	<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
<p>The General Counsel Division contains DCA’s Business Compliance Counsel who, among other things, answers questions posed by businesses and individuals about DCA’s laws and rules.</p> <p>The General Counsel Division collects and retains identifying information provided by these businesses and individuals.</p>	<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
<p>The General Counsel Division routinely responds to subpoena requests on behalf of the agency and, in so doing, discloses identifying information, in compliance with the law. Subpoenas are reviewed on a case-by-case basis and appropriate redactions are included in any disclosures.</p>	<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
<p>The General Counsel Division provides the final agency determination for certain State law charges within its enforcement jurisdiction. The General Counsel Division collects, retains, and discloses identifying information as part of issuing those determinations.</p>	<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
<p>The General Counsel Division participates at hearings convened by City Council and other government agencies. Testimony provided by DCA witnesses and other witnesses sometimes contains identifying information.</p>	<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
<p>In performing its work, the General Counsel Division routinely seeks counsel from the Law Department, which requires the disclosure of identifying information.</p> <p>Reciprocally, the Law Department seeks identifying information when it represents the City or DCA in litigation.</p>	<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

<p>More generally, the General Counsel Division discloses identifying information to sister City agencies, City Hall, and City Council, when those other arms of City government seek counsel about the laws and rules enforced by DCA.</p>	
<p>The General Counsel Division collects and retains contact information for its contractors, partners, as well as elected officials, consumers, and others.</p>	<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
<p>The General Counsel Division discloses biographical and license-related information about newsstand licensees to JC Decaux, the City’s street furniture contractor.</p>	<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
<p>OLPS investigates violations of various laws and rules within OLPS’ jurisdictional authority. As a result of these investigations, OLPS, among other things, reviews complaints, conducts comprehensive regulatory investigations, enters into settlements, and commences enforcement actions at OATH. This work is essential to DCA’s mission of protecting and enhancing the daily economic lives of New Yorkers.</p> <p>As part of this work, OLPS collects, retains, and discloses identifying information from workers, businesses, other individuals, and sister agencies during the investigation and adjudication process. In particular, OLPS discloses identifying information to OATH (which maintains filings that are publicly-available and conducts proceedings open to the public) when prosecuting violations, to employers when disclosure is necessary for resolution of the investigation, and to process servers to serve subpoenas and other papers.</p> <p>OLPS also discloses identifying information if it is undertaking a joint enforcement effort or if it is referring a matter to another agency (with a worker’s consent) and will receive reciprocal identifying information.</p>	<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
<p>For the purpose of helping to organize Workers’ Rights Hearings, convenings, employer education events, and other outreach events, OLPS collects and retains contact information for partner organizations; businesses; with their consent, workers; and other members of the general public.</p> <p>OLPS will disclose this information to sister agencies as appropriate to organize events.</p>	<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
<p>Pursuant to the Freelance Isn’t Free Act (“FIFA”) – Chapter 10 of Title 20 of the NYC Administrative Code – OLPS sends identifying information about freelancers who file a complaint to the hiring party in question in an attempt to resolve the dispute. OLPS also sends surveys to freelancers who filed complaints with OLPS. OLPS collects and retains freelancers’ responses to the surveys, which contain identifying information.</p>	<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
<p>As part of its research work, OLPS and its contractors use surveys, interviews, and focus groups to improve its services. OLPS and its contractors may collect and retain identifying information as part of these surveys, interviews, and focus groups.</p>	<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
<p>OLPS assists the Licensing Division by assessing whether new and renewal license applicants satisfy the workers’ rights requirements for certain license categories.</p>	<input checked="" type="checkbox"/> Pre-approved as routine <input type="checkbox"/> Approve as routine by two or more agencies

Identifying Information Law

<p>As part of this work, OLPS collects and retains identifying information necessary to undertake this licensing assessment.</p>	<p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>OLPS undertakes legal review of proposed rules and public comments made during the rulemaking process. To the extent comments provided in response to proposed rules contain identifying information, OLPS collects and retains such information and discloses that information, as necessary, to the Law Department.</p>	<p><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</p>
<p>OLPS participates at hearings convened by City Council and other government agencies. Testimony provided by DCA witnesses and other witnesses sometimes contains identifying information.</p>	<p><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</p>
<p>OLPS collects and retains contact information for its contractors, partners, as well as elected officials, workers, and others.</p>	<p><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</p>
<p>OLPS launched a pilot program with an outside mediator to conduct mediations for domestic care workers, a particularly vulnerable worker population. As part of this program, OLPS, with the workers' consent, shares workers' names, phone numbers, email addresses, and employer names with the mediator, prior to mediation. OLPS also shares, with the employers' consent, the employers' contact information.</p>	<p><input type="checkbox"/> Pre-approved as routine <input type="checkbox"/> Approve as routine by two or more agencies <input checked="" type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>OLPS investigates violations of various laws and rules within OLPS' jurisdictional authority, including in relation to COVID-19. As a result of these investigations, OLPS, among other things, reviews complaints, conducts comprehensive regulatory investigations, enters into settlements, and commences enforcement actions at OATH. This work is essential to DCA's mission of protecting and enhancing the daily economic lives of New Yorkers.</p> <p>As part of this work, OLPS collects, retains, and discloses identifying information from workers, businesses, other individuals, and sister agencies during the investigation and adjudication process. In particular, OLPS discloses identifying information to OATH (which maintains filings that are publicly-available and conducts proceedings open to the public) when prosecuting violations, to employers when disclosure is necessary for resolution of the investigation, and to process servers to serve subpoenas and other papers.</p> <p>OLPS also discloses identifying information if it is undertaking a joint enforcement effort or if it is referring a matter to another agency (with a worker's consent) and will receive reciprocal identifying information.</p>	<p><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</p>
<p>OFE contracts with various human services contractors to provide free, one-on-one financial counseling and coaching to New Yorkers at Financial Empowerment Centers ("FEC's") and through other financial counseling and coaching programs.</p> <p>These programs help New Yorkers, among other things, take control of their debt, improve credit, deal with debt collection, create a budget, and open a bank account.</p> <p>To provide these services, OFE's human services contractors collect and retain individuals' biographical and financial information and provide that information to OFE, which also collects and retains that information.</p>	<p><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</p>

Identifying Information Law

<p>OFE also collects contact and biographical information to schedule appointments at FEC’s, including biographical information from individuals seeking American Sign Language services.</p> <p>OFE through its human services contractors also provides free, one-on-one financial counseling and coaching through the NYC Taxi and Limousine’s (“TLC”) Driver Resource Center. TLC also discloses, and OFE’s human services contractors also collect and retain, biographical and financial information and provides that information to OFE, which also collects and retains that information. OFE also accesses the Driver Resource Center Scheduling System and may also collect and retain contact and biographical information from this system.</p>	
<p>OFE’s financial counseling and coaching human services contractors disclose individuals’ financial and biographical information, including credit reports, to OFE as well as to relatives, caregivers, and other third parties who those individuals have authorized to receive that information.</p> <p>Third-party service providers, including providers of legal services, to whom such disclosures are made, may also collect and retain identifying information as appropriate to provide their services.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p> <p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>OFE collects and retains individuals’ contact information obtained at community outreach events.</p> <p>OFE or its human services contractors may, with an individual’s consent disclose that individual’s contact information to a sister City agency that may help that individual.</p> <p>OFE receives reciprocal referrals from sister City agencies.</p> <p>OFE’s human service contractors and OFE collect and retain individuals’ contact information, with the individuals’ consent, so OFE can provide those individuals with information about OFE’s financial counseling and Free Tax Prep services.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p> <p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>OFE contracts with various human services contractors to provide free tax preparation assistance as part of the NYC Free Tax Prep Program. Tax preparation assistance is provided in person and virtually.</p> <p>As part of this work, OFE’s human services contractors collect and retain identifying information from individuals seeking free tax preparation assistance and the individuals’ financial information necessary to file their taxes. Collection and retention are made directly or through software programs used by contractors to provide their services. Such programs include: Appointment Plus for scheduling appointments; Taxslayer for preparing and filing income tax returns; Code of America for virtual tax preparation assistance; Google Meet, Microsoft Teams, DocuSign, and Dropbox for operational needs. Identifying information may be retained until November of the following year or through the period approved by the IRS for the retention of such information. Contractors may also collect and retain aggregated data from the IRS, such as the number of returns completed, the dollar amounts refunded and the amount of credits granted for individuals who received tax preparation assistance.</p> <p>Certain contractors use subcontractors to administer their appointment system (e.g., Appointment Plus). Such subcontractors retain and collect individuals’ biographical and contact information.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p> <p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>OFE and its contractors use surveys, interviews, and focus groups to improve OFE’s services. OFE and its contractors may collect identifying information as part of these surveys, interviews, and focus groups, and OFE may retain this identifying information.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p>

Identifying Information Law

	<input type="checkbox"/> Approved by APO on a case-by-case basis
OFE collects and retains contact information for its contractors and partners.	<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
<p>The Consumer Services Unit collects and retains identifying information from both consumers who submits complaints and inspection requests to the Division and the complained-about businesses. This information is recorded in the DCA complaint form, the Business Response form, and the documentation provided by both consumers and businesses.</p> <p>During the mediation process, the Consumer Services Unit will disclose identifying information to the business about the consumer and vice versa, as well as attorneys on both sides of the mediation.</p> <p>At the conclusion of mediation, the Consumer Services Unit also collects, retains, and discloses identifying information in resolution letters and mediation agreements.</p>	<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
The Consumer Services Unit helps to enforce judgments obtained by consumers against licensees and collects and retains confidential information from the consumers contained in judgment affidavits.	<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
The Consumer Services Unit will disclose identifying information, with the consent of an out-of-town consumer, to an in-town family member or friend.	<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
In certain cases, with the consumer's consent, the Consumer Services Unit will disclose identifying information concerning the consumer's complaint to a sister City agency, State agency, or federal agency.	<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
The Consumer Services Unit collects biographical and contact information necessary to arrange appointments at Financial Empowerment Centers.	<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
<p>The External Affairs Division collects and retains identifying information about constituents facing licensing, consumer protection, or worker's rights issues from elected officials, community boards, and the constituents themselves.</p> <p>The External Affairs Division will disclose this information to other agencies as appropriate to address the constituent's issues.</p>	<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
For the purpose of organizing outreach events, the External Affairs Division collects and retains contact information of elected officials, volunteers, community based organizations,	<input checked="" type="checkbox"/> Pre-approved as routine

Identifying Information Law

<p>and event space managers. The External Affairs Division also collects and retains contact information for partner organizations, businesses, workers (with their consent), and other members of the general public.</p> <p>The External Affairs Division will disclose this information to other agencies as appropriate to organize events.</p>	<p><input type="checkbox"/> Approve as routine by two or more agencies</p> <p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>The External Affairs Division manages the rulemaking process, including the collection and publication of public comments and the convening of public hearings on proposed rules. Comments provided in response to proposed rules sometimes contain identifying information.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p> <p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>The External Affairs Division collects requests for DCA enforcement action by sister City agencies, elected officials, and community based organizations.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p> <p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>The External Affairs Division manages DCA’s participation at hearings convened by City Council and other government agencies, including testimony by members of other Divisions and by the Commissioner. Testimony provided by DCA witnesses and other witnesses sometimes contains identifying information.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p> <p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>The External Affairs Division may disclose aggregated COVID-19 employee information to City Hall, elected officials, and other external parties.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p> <p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>The External Affairs Division discloses identifying information about licensees, including in reports, to City Hall, elected officials, and other external parties. Disclosure is made as appropriate, including pursuant to laws and rules requiring such disclosure.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p> <p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>The Communications and Marketing Division discloses identifying information, of consumers, workers, and other individuals assisted by DCA, with those individuals’ consent, across DCA’s multi-media presence and to reporters.</p> <p>The Communications and Marketing Division also discloses enforcement and complaint information to reporters and across DCA’s multi-media presence.</p> <p>The Communications and Marketing Division coordinates its press and multi-media presence with City Hall and sister agencies, as appropriate. In so doing, the Communications and Marketing Division may disclose identifying information included in its press and multi-media efforts to sister City agencies, City Hall and the appropriate media and advertising vendors.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p> <p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>The Communications and Marketing Division collects and maintains press contact lists and sign-in sheets for press contacts.</p>	<p><input checked="" type="checkbox"/> Pre-approved as routine</p> <p><input type="checkbox"/> Approve as routine by two or more agencies</p>

	<input type="checkbox"/> Approved by APO on a case-by-case basis
<p>DCA maintains several social media accounts. The Communications and Marketing Division collects and maintains the information provided on these accounts, including identifying information provided by social media users, by archiving the accounts.</p> <p>The Communications and Marketing Division also maintains a Live Chat service for businesses. The Communications and Marketing Division collects and maintains the information provided on this account, including identifying information provided by Live Chat users, by archiving the account.</p>	<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
<p>The Communications and Marketing Division collects and retains a list of mass mailing targets, which it shares with its mass mailing vendor. That vendor destroys the list after each mailing. The Communications and Marketing Division discloses, where appropriate, mailing lists to sister agencies.</p> <p>The Communications and Marketing Division receives a list e-mail targets from DCA’s DoTSS, which it shares with DoITT, which also maintains DCA’s e-newsletter distribution list.</p>	<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
<p>The Communications and Marketing Division collects and retains a contact list of vendors and partners.</p>	<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
<p>The Communications and Marketing Division uses surveys, interviews, and focus groups to obtain information that can help DCA further its mission to protect and enhance the daily economic lives of New Yorkers. The Communications and Marketing Division and its contractors may collect and retain identifying information as part of these surveys, interviews, and focus groups.</p>	<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
<p>The Communications and Marketing Division may disclose aggregated COVID-19 employee information to reporters. As appropriate, the Communications and Marketing Division may also disclose this information to City Hall, with whom the division coordinates its press and multi-media presence.</p>	<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
<p>DoTSS facilitates the technological collection, retention, and disclosure of identifying information by all of DCA’s other Divisions. For example, DoTSS sends identifying information to sister City agencies and State agencies, pursuant to the needs of other Divisions.</p>	<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
<p>DoTSS grants temporary access to identifying information to contractors developing or working on databases or technological projects for DCA.</p>	<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
<p>DoTSS contains DCA’s Open Data Coordinator. The “Open Data Law” mandates that “public data sets” be made accessible on the Open Data portal. DCA discloses identifying information in compliance with the law.</p>	<input checked="" type="checkbox"/> Pre-approved as routine <input type="checkbox"/> Approve as routine by two or more agencies

Identifying Information Law

	<input type="checkbox"/> Approved by APO on a case-by-case basis
As part of the Budget process, the Finance Division shares rosters of employees with OMB and undertakes analyses that include identifying information.	<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
<p>The Finance Division collects and retains all information to fulfill its accounts receivable and accounts payable functions.</p> <p>The Finance Division discloses payment information to other agencies, as appropriate.</p> <p>The Finance Division also handles certain accounts receivable work for DOHMH, which requires the disclosure of identifying information.</p>	<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
The Finance Division collects and retains CV's for temporary employees. The Division also collects and retains those employees' timesheets and discloses them to the Comptroller.	<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
<p>The Finance Division collects and retains all identifying information necessary to undertake DCA's contract and non-contract Procurement information, including contact information, in RFP's and other submissions, and registered contracts and other agreements.</p> <p>The Finance Division discloses this identifying information to the other agencies and arms of City government that participate in the Procurement process, such as MOCS, OMB, the Comptroller, and the Law Department, and other agencies that hold master contracts on which DCA relies.</p>	<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
The Finance Division collects and retains identifying information regarding the minors who participate in DCA's tobacco enforcement work. The Division discloses the names and Social Security numbers of those employees to DCA's payroll vendor.	<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
The Finance Division discloses names and address information for refund recipients to Chase Bank, the financial institution that processes the refunds.	<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
The Revenue Unit collects and retains identifying biographical, financial, and payment information about a business or individual that owes money to the City or is applying for a DCA license, including verification of identity.	<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
The Revenue Unit collects and retains identifying information necessary to collect and process payments, including verification of identity.	<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

Identifying Information Law

<p>The Revenue Unit collects and retains confidential information to determine whether a license applicant is affiliated with an individual or business that owes the City money.</p>	<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
<p>When an individual or business authorizes representation by an expediter, the Revenue Unit will provide the expediter with the documents that demonstrate the monies owed to the City by that individual or business.</p>	<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
<p>The Revenue Unit refers cases to the Law Department to commence a collections action in state court. In so doing, the Revenue Unit provides the Law Department information regarding the case.</p>	<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
<p>The General Services Division collects and retains copies of the driver's license and employee ID for each potential driver of a DCA vehicle.</p> <p>The General Services Division discloses the employee number and license number to DCAS and the Department of Motor Vehicles ("DMV").</p> <p>DMV provides the General Services Division with abstracts about each relevant employee's driving history, which the Division retains.</p>	<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
<p>The General Services Division collects and retains identifying information by logging vehicle use by DCA employees.</p> <p>When there is an incident with a DCA vehicle, the General Services Division collects incident reports from PD and discloses those reports to DCAS and, where necessary, DOI.</p>	<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
<p>The General Services Division maintains the DCA mailroom, which includes identifying information on incoming and outgoing mail.</p> <p>The mailroom provides mail to the United States Postal Service, UPS, and a messenger service to deliver paychecks to DCA's non-Manhattan facilities.</p> <p>The mailroom also retains a log of certified mail.</p>	<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
<p>The General Services Division collects and retains contact information for the various DCA facilities' contractors.</p>	<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
<p>The General Services Division collects and retains information about incidents at DCA facilities provided by the facilities' security guards.</p>	<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
<p>The General Services Division discloses names and telephone numbers to DoITT.</p>	<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
The General Services Division collects and retains emergency contact information for the COOP plan.	<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
<p>The Human Capital Division collects and retains identifying information as part of the application and interview process. To the extent this information is on NYCAPS, it is disclosed to DCAS.</p> <p>The Commissioner’s Office collects, retains, and discloses identifying information to City Hall regarding certain management positions.</p>	<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
<p>The Human Capital Division collects, retains, and discloses employee benefit, payroll, reasonable accommodation, evaluation, and related information.</p> <p>The Human Capital Division does so for purposes of processing new hires, payroll, and employment benefits for personnel in all Divisions of DCA. This is a core function that Human Capital performs on behalf of DCA and its employees.</p>	<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
<p>The Human Capital Division collects and retains discipline and termination information. As appropriate, the Human Capital Division discloses this information to sister City agencies and State agencies.</p> <p>To the extent an employee is required to undertake a drug test or undertake an independent medical examination, the Human Capital Division discloses identifying information to the appropriate vendor.</p> <p>If an employee leaves for another City agency, the Human Capital Division will send that employee’s file to the new agency. Reciprocally, the Human Capital Division will receive files for new employees who come to DCA from other agencies.</p> <p>The Human Capital Division will also verify employment to future employers.</p>	<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
The Human Capital Division discloses rosters of employees to appropriate unions, so that the unions can contact members and alert them of upcoming meetings.	<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
The Human Capital Division collects and retains sign-in sheets at DCA events.	<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
The Human Capital Division collects employee information in compliance with DCA’s March 23, 2020 COVID-19 Internal DCA Protocol, specifically for making leave determinations.	<input checked="" type="checkbox"/> Pre-approved as routine <input type="checkbox"/> Approve as routine by two or more agencies

<p>The Human Capital Division discloses information related to COVID-19 to sister agencies and City Hall, including numbers representing employees who tested positive for COVID-19 and employees ordered to quarantine, mandated quarantine dates, and mandated return-to-work dates.</p>	<p><input type="checkbox"/> Approved by APO on a case-by-case basis</p>
<p>The Human Capital Division administers ADA requests from external parties who are seeking to access DCA services. As part of that process, the Human Capital Division collects and retains identifying information concerning the individual making the request.</p>	<p><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</p>
<p>The Legal Settlement and Case Support Unit ensures that OATH decisions adjudicating violations issued by DCA are properly reflected in DCA’s ALBA system.</p>	<p><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</p>
<p>The Legal Settlement and Case Support Unit contains DCA’s Settlement Officers who offer to resolve violations charged by DCA prior to adjudication at OATH.</p> <p>The Legal Settlement and Case Support Unit collects and retains identifying information in “pleading letters,” letters demanding restitution, and other correspondence sent to businesses and individuals charged with violations by DCA.</p> <p>The Legal Settlement and Case Support Unit also collects and retains identifying information when businesses or individuals contact the Division in an attempt to resolve violations, whether in-person or by various methods of communication.</p> <p>The Legal Settlement and Case Support Unit also collects and retains identifying information in Consent Orders when Settlement Officers resolve violations.</p>	<p><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</p>
<p>DCA’s Equal Employment Opportunity (“EEO”) Coordinator investigates and provides recommendations for DCA-internal EEO claims.</p> <p>The EEO Officer collects and retains identifying information as part of the investigation and recommendation process. The EEO Coordinator discloses identifying information concerning EEO complaints to DCAS. The EEO Coordinator also discloses identifying information concerning substantiated EEO complaints to sister agencies.</p>	<p><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</p>
<p>U-Visa status is a temporary immigration classification that Congress created with the passage of the Victims of Trafficking and Violence Protection Act of 2000. In order to obtain U-Visa status, an undocumented immigrant must submit an application package to the United States Citizenship and Immigration Services (“USCIS”), a federal agency within the U.S. Department of Homeland Security. The application package must include a Form I-918 Supplement B signed by a certifying agency (the “U-Visa Certification”)</p> <p>DCA is a U-Visa certifying agency. The signed U-Visa Certification serves as a statement by DCA that the applicant: (a) was the victim of qualifying criminal activity; (b) possesses information about qualifying criminal activity; and (c) has been, is being, or is likely to be helpful in the detection, investigation, or prosecution of qualifying criminal activity.</p> <p>DCA’s Designated U-Visa Representative assesses U-Visa Certification applications submitted to DCA by undocumented immigrants. As part of that assessment, the Designated U-Visa Representative collects and retains identifying information regarding the immigrant and the information he or she possesses regarding potential qualifying criminal activity.</p>	<p><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</p>

To the extent an undocumented immigrant’s representative submits the immigrant’s U-Visa certification application, the Designated U-Visa Representative will disclose his or her assessment to the representative.	
The Commissioner’s Office coordinates DCA’s responses to audits brought by the NYC Comptroller and other auditing agencies. During these audits, DCA produces a significant volume of documents containing identifying information. Before producing such identifying information, DCA enters into a confidentiality agreement with the auditing agency.	<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
The Commissioner’s Office facilitates the review of unpaid civil penalties by licensee applicants, businesses and individuals to determine whether an application should be denied or a license be revoked or suspended pursuant to Local Law 47 of 2016. As part of this process, the Commissioner’s Office discloses identifying information to the NYC Department of Finance and reciprocally collects identifying information.	<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
Across Divisions, DCA and its Human Services contractors routinely conduct business furthering the mission of the Agency using e-mails that will contain identifying information. The business conducted in these e-mails will be covered by other Routine Designations. Likewise, DCA and its Human Services Contractors collect and retain identifying information in their Outlook calendars. Also, across Divisions, DCA employees collect and retain contact information for consumers, workers, other agencies, partner organizations, vendors, contractors, and others necessary to furthering the mission of the Agency.	<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
Across Divisions, DCA uses Language Line, a City contractor, to provide contemporaneous translations. As part of the process of using Language Line, identifying information is disclosed.	<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
Across Divisions, DCA uses Survey Monkey, an online survey tool, to conduct surveys. As part of the process of using Survey Monkey, identifying information is collected, retained, and disclosed.	<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
N.Y.C. Admin. Code §23-1205(a)(1)(b)	

<p>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.</p> <p>Add additional rows as needed.</p> <p>Describe Type of Collection or Disclosure</p> <p>The Chief Privacy Officer has not approved specific collections and disclosures by DCA.</p>
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.	
DCA's Agency Privacy Officer has designated certain disclosures to other City agencies, local public authorities, local public benefit corporations, and third parties as routine. If any DCA employee receives a request for disclosure of identifying information that the Agency Privacy Officer has not designated as routine, that employee must alert the relevant Division's Privacy Liaison who will bring the request to the Agency Privacy Officer. The Agency Privacy Officer will make a determination whether the requested disclosure should be designated as routine or otherwise satisfy a statutory exception. Requests for particularly sensitive information are reviewed by the General Counsel.	
6. Do the above policies address access to or use of identifying information by employees, contractors, and subcontractors?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
7. If YES, do such policies specify that access to such information must be necessary for the performance of their duties?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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.	Generally, because of DCA's relatively small size, it is presumed that all Division employees have access to all Identifying Information the collection, retention, or disclosure of which the Agency Privacy Officer has designated as routine for that Division. However, DCA seeks to limit access to especially sensitive categories of Identifying Information, such as fingerprints and criminal histories.
N.Y.C. Admin. Code §§23-1205(a)(1)(c)(1), and (4)	

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.	
DCA's Agency Privacy Officer has designated certain disclosures from other City agencies, local public authorities, local public benefit corporations, and third parties as routine. If any DCA employee proposes disclosures of identifying information from other City agencies, local public authorities, local public benefit corporations, or third parties that the Agency Privacy Officer has not designated as routine, that employee must alert the relevant Division's Privacy Liaison who will bring the request to the Agency Privacy Officer. The Agency Privacy Officer will make a determination whether the proposed disclosure, and resulting collection, should be designated as routine or otherwise satisfy a statutory exception.	
N.Y.C. Admin. Code §23-1205(a)(1)(c)(2)	

10. Describe the agency's current policies regarding the classification of disclosures as necessitated by the existence of exigent circumstances or as routine.	
DCA's Agency Privacy Officer has designated certain disclosures to other City agencies, local public authorities, local public benefit corporations, and third parties as routine. If any DCA employee receives a request for disclosure of identifying information that the Agency Privacy Officer has not designated as routine, that employee must alert the relevant Division's Privacy Liaison who will bring the request to the Agency Privacy Officer. The Agency Privacy Officer will make a determination whether the requested disclosure should be designated as routine or otherwise satisfy a statutory exception, such as exigent circumstances.	

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.

Generally, because of DCA’s relatively small size, it shall be presumed that all Division employees have access to all Identifying Information the collection, retention, or disclosure of which the Agency Privacy Officer has designated as routine for that Division. Thus, generally speaking, any appropriate Division employee may make disclosures that are designated as routine for that Division. However, DCA seeks to limit access to especially sensitive categories of Identifying Information, such as fingerprints and criminal histories.

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.

DCA developed its new “Privacy Law Protocol,” which governs DCA’s collection, retention, and disclosure of identifying information, after the passage of the Identifying Information Law to minimize the collection, retention, and disclosure of identifying information to the greatest extent possible while furthering DCA’s mission.

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

DCA follows the January 28, 2019 Citywide Privacy Protection Policies and Protocols, including by incorporating the Identifying Information Rider in all covered contracts.

DCA also typically enters into contracts or memoranda of understanding with other agencies before routinely disclosing confidential identifying information.

DCA also follows all policies and protocols issued by the City’s Chief Privacy Officer, including the January 28, 2019 Citywide Privacy Protection Policies and Protocols.

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
Other governmental agencies and elected officials	<p>DCA primarily discloses identifying information to other government agencies and elected officials to fulfill its obligations as the licensing agency for over 55 licensing categories, as described above.</p> <p>DCA also discloses identifying information to other government agencies, including OATH, to further its enforcement efforts and to fulfill its role in the adjudication process.</p> <p>Other DCA divisions may disclose identifying information to other government agencies and elected officials as necessary to promote DCA's mission, as described above.</p>	DCA's disclosures to other government agencies and elected officials further DCA's mission by, among other things, ensuring that licensees have satisfied all the requirements for their license and ensuring that DCA can fulfill its enforcement role to protect consumers and workers.
Consumers and workers	During the mediation and enforcement processes, DCA will disclose identifying information about businesses to consumers and workers.	DCA's disclosures to consumers and workers further DCA's mission by allowing DCA to pursue mediations and enforcement actions on their behalf.
Businesses	During the mediation and enforcement processes, DCA will disclose identifying information to the business about consumers and workers, with those consumers' and workers' consent, as well as to attorneys representing the business.	DCA's disclosures to businesses further DCA's mission by allowing DCA to pursue mediations and enforcement actions on behalf of consumers and workers.
Press	DCA discloses identifying information, of consumers, workers, and other individuals assisted by DCA, with those individuals' consent, across DCA's multi-media presence and to reporters. DCA also discloses enforcement and complaint information to reporters and across DCA's multi-media presence.	DCA's disclosures to businesses further DCA's mission by allowing DCA to manage its press and multi-media presence to protect and enhance the daily economic lives of New Yorkers to create thriving communities.

N.Y.C. Admin. Code §23-1205(a)(1)(e)

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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.

The Identifying Information Law informed the development of DCA's new "Privacy Law Protocol," which governs DCA's collection, retention, and disclosure of identifying information.

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.

DCA follows all policies and protocols issued by the City's Chief Privacy Officer, including the January 28, 2019 Citywide Privacy Protection Policies and Protocols. This includes incorporation of the Identifying Information Rider in all covered contracts.

N.Y.C. Admin. Code §23-1205(a)(3)

APPROVAL SIGNATURE FOR AGENCY REPORT

Preparer of Agency Report:			
Name:	Eileen J. H. Yap		
Title:	Assistant General Counsel		
Email:	eyap@dca.nyc.gov	Phone:	212-436-0330

SIGNATURE OF AGENCY HEAD OR DESIGNEE REQUIRED BELOW			
Agency Head (or designee):			
Name:	Michael Tiger		
Title:	Deputy General Counsel		
Email:	mtiger@dca.nyc.gov	Phone:	212-436-0175
Signature:		Date:	July 29, 2020

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