

**FORM # 3**  
***Agency Report for the Office of the NYC Comptroller***

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**INSTRUCTIONS**

The Identifying Information Law requires each agency to submit a **report** regarding, among other items, the collection, retention, and disclosure of identifying information by such agency and their “human services” contractors or subcontractors, **by no later than July 31, 2018**, and every two years thereafter by July 31. This report must be completed by the agency and submitted to the Mayor, at [reports@cityhall.nyc.gov](mailto:reports@cityhall.nyc.gov); City Council Speaker, at [reports@council.nyc.gov](mailto:reports@council.nyc.gov); Chief Privacy Officer (“CPO”), at [PrivacyOfficer@cityhall.nyc.gov](mailto:PrivacyOfficer@cityhall.nyc.gov); and Identifying Information Protection Committee (“Committee”), at [NYCPrivacyCommittee@cityhall.nyc.gov](mailto:NYCPrivacyCommittee@cityhall.nyc.gov). While the Law does not specify who at the agency must complete the report, the Agency Privacy Officer (“APO”) is likely best positioned to do so. Reports completed by APOs who are not lawyers should be reviewed and approved by the agency’s General Counsel or other counsel to the agency before submission by the agency. Agency reports, to be reviewed by the CPO and Committee, will help to inform citywide policies and procedures promulgated by the CPO and new agency requirements for the protection of identifying information, in a manner consistent with the Law. **Agency reports must be signed by the agency head or designee prior to submission.**

The answers provided in the Inventory and Routine Designation Form should provide a significant amount of information needed to complete this Report Form. Each question or prompt includes references to specific requirements in the Law.

**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 (on file with the CPO).**

**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.**

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## AGENCY REPORT

(due on or before July 31, 2018, and by July 31 every two years thereafter)

<b>Agency:</b>	Office of the NYC Comptroller		
<b>Agency Privacy Officer:</b>	Nicole Jacoby		
<b>Email:</b>	njacoby@comptroller.nyc.gov	<b>Telephone:</b>	212-669-3192
<b>Date of Report:</b>	July 30, 2018		

### 1. Specify the types of identifying information collected, retained, and disclosed by the agency

*Check all that apply.*

<input checked="" type="checkbox"/> Name	<input checked="" type="checkbox"/> Date of Birth
<input checked="" type="checkbox"/> Current and/or previous home addresses	<input checked="" type="checkbox"/> Place of Birth
<input checked="" type="checkbox"/> Gender identity	<input checked="" type="checkbox"/> Race
<input checked="" type="checkbox"/> Sexual orientation	<input checked="" type="checkbox"/> Marital or partnership status
<input checked="" type="checkbox"/> Contact information (e.g., phone or email)	<input checked="" type="checkbox"/> Citizenship/immigration status
<input checked="" type="checkbox"/> Religion	<input checked="" type="checkbox"/> Nationality
<input checked="" type="checkbox"/> Employment status	<input checked="" type="checkbox"/> Country of origin
<input checked="" type="checkbox"/> Employer information	<input checked="" type="checkbox"/> Languages spoken
<input checked="" type="checkbox"/> Employment address	<input checked="" type="checkbox"/> Social media account information
<input checked="" type="checkbox"/> Motor vehicle information	<input checked="" type="checkbox"/> Income tax information
<input checked="" type="checkbox"/> Biometric information	<input checked="" type="checkbox"/> Any scheduled court appearances
<input checked="" type="checkbox"/> Eligibility for/receipt of public assistance or city services	<input checked="" type="checkbox"/> Arrest record or criminal conviction
<input checked="" type="checkbox"/> Status as victim of domestic violence or sexual assault	<input checked="" type="checkbox"/> Status as crime victim or witness
<input checked="" type="checkbox"/> Date and/or time of release from custody of ACS, DOC, or NYPD	<input checked="" type="checkbox"/> Any scheduled appointments with any employee, contractor, or subcontractor
<input checked="" type="checkbox"/> Information obtained from any surveillance system operated by, for the benefit of, or at the direction of the NYPD	<input checked="" type="checkbox"/> Social Security Number
<input checked="" type="checkbox"/> Other: Educational history, veteran status, employee grievances, earnings and leave balance information, work hours, leave requests, doctor's notes, jury duty service, employee evaluations	

N.Y.C. Admin. Code §23-1205(1)(a)

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

The Office of the NYC Comptroller has many functions that require the collection and retention of identifying information, as enumerated in greater detail below.

1. The **Bureau of Accountancy (BOA)** is responsible for all aspects of the City's financial accounting and reporting. BOA is primarily responsible for the design and management of the City's centralized accounting, internal control and budgeting system, and the Financial Management System (FMS). The Bureau is also responsible for ensuring accuracy in City agency accounting, reconciliation of more than 100 City bank accounts, investment accounting for the City's five main pension plans and eleven variable supplement funds (VSFs), servicing the City's general obligation debt, and approving vendor information in FMS.
  - a. BOA's Accounting Compliance Unit receives returned checks in the mail, as well as phone request to reissue payments. These requests may include the name and address of retired city employees.

- b. BOA's Workers Compensation Unit within the Fiscal Services Division collects names and addresses in order to reissue workers compensation checks as necessary.
  - c. BOA's Vendor Support Division receives substitute W-9 forms from public and city agencies containing names, addresses, and tax ID/ and social security numbers of vendors.
  - d. BOA's Capital & Fixed Asset-Policy Division receives substitute W-9 forms containing names, addresses, and tax ID/ and social security numbers from individuals involved in condemnation proceedings.
  - e. BOA's Financial Reporting Division requires copies of drivers' licenses for individuals to pick up checks that have been placed on hold by City agencies.
2. The **Bureau of Administration** supports the work of the other bureaus throughout the Comptroller's Office. It manages the office's capital and operating budgets, as well as its human resource functions, along with procurement and payment, records management, labor relations, timekeeping, payroll, facilities management, support services and information systems.
- a. The ACCO receives one-time documentation indicating whether a business has been certified as a minority or woman owned business and indicating the specific qualification for that status.
  - b. The Certificate of Residence desk receives documentation of the addresses of members of the public in order to issue certifications of city residence, enabling the holder to pay residence tuition fees at New York State community colleges.
  - c. The Human Resources division collects and retains a variety of forms, records and data in the course of performing core administrative and human resource functions. The human resources division has access to NYCAPS, a citywide repository of personnel data.
  - d. The Labor Relations division receives and retains documentation of employee grievances in order to review and respond to these instances.
  - e. City agencies submit documentation to the Lump Sum Audit unit consisting of employee earnings, leave usage, and final leave balances for auditing of final payments upon employee's separation from City service.
  - f. The Payroll and Timekeeping division collects and retains information relevant to employee work hours, leave requests and payroll, in the normal course of processing and monitoring employee payroll. The division also has access to PMS, the City of New York's automated payroll and timekeeping processing and record keeping system and CHRMS, a system that allows users to run payroll queries.
  - g. The Procurement division receives information from vendors throughout the procurement process, including bids, contract documents and payment and billing documents.
  - h. The Training division collects and retains employee evaluations and improvement plans on an annual basis.
  - i. The Vouchering division collects documentation relating to payments made or stopped by the agency, as well as forms for reimbursement of travel in personal vehicles.
3. The **Audit Bureau** performs audits, investigations and other analyses of City-funded operations in accordance with the New York City Charter, which requires that the Comptroller's Office perform an audit of some aspect of every City agency at least once every four years. The Audit Bureau regularly collects and retains various identifying information necessary for the performance of audits, investigations, and other analyses, including identifying information pertaining to claims made against the City that have been referred by the Bureau of Law and Adjustment, and submissions made by government agencies and welfare funds in accordance with Comptroller's Directives.
4. The **Bureau of Asset Management (BAM)** oversees the investment portfolio for each system and related defined contribution funds. In this role, the Comptroller provides investment advice, implements Board decisions, and reports on investment performance. The Bureau of Asset Management advises the Boards on all investment-related topics, including investment policy and strategy, asset allocation, manager structure, manager selection and financial and economic developments that may affect the systems.
- a. BAM's Compliance division collects investment trading information from employees covered by the agency's Personal Trading policy.
  - b. BAM's Pensions unit collects and reviews applications for disability retirement are submitted to each Systems' Medical Review Board.
  - c. BAM's Contracting division collects information from parties seeking to do business with BAM on the Mayor's Office of Contracts' "Doing Business Data Form," which includes name, address, and DOB.
5. The **Bureau of Contract Administration** ("BCA") is responsible under the City Chart for registering all City contracts prior to their implementation. The contract registration process ensure there is adequate funding in the City's treasury (or under the control of the City) to cover the cost of contracts as well as to ensure that both the

contracted vendors and procurement process are free from corruption. BCA receives and retains contracts submitted by mayoral and non-mayoral agencies for the purposes of registration.

6. The **Bureau of Law & Adjustment** (BLA), pursuant to the City Charter, settles claims against and on behalf of the City New York. In connection with this work, BLA collects and/or discloses and retains claims-related information and associated investigatory documents, GML 50-h hearing transcripts and abstracts, as well as litigation-related documents furnished by the New York City Law Department to investigate, evaluate, adjust and settle or authorize settlement of claims for and against the City. BLA uses the Omnibus Automated Image Storage Information System (OASIS) database to store and track claims.
7. The **Bureau of Labor Law** (BLL) sets the prevailing wage required to be paid by City contractors on public works projects, building service contracts, and certain other service contracts, and investigates and enforces violations of the prevailing wage and living wage on such City contracts. BLL also enforces violations of the prevailing wage and living wage on such City contracts. In conducting its investigations, BLL collects information regarding the hours worked, wages paid, and benefits provided to workers employed by contractors.
8. The **Budget Bureau** evaluates the fiscal health of the City by reviewing the City's revenue collections, expenditures, capital program, debt capacity and the condition of the local economy and by preparing analytical reports. The Budget Bureau collects and retain various economic, financial and demographic data in doing its analysis. The data collected are usually presented in an aggregated form, and not in their original form. For example, data on addresses are not published but used to show geographical distribution.
9. The **Bureau of Engineering** (BOE) provides liability and damage reports for use in property damage tort claims and, in concert with BLA's Settlement and Adjudication Division, settles and adjusts public work contract claims and contract disputes in accordance with Section 93i of the New York City Charter and the alternate dispute resolution procedures mandated under Section 4-09 of the PPB rules and City contracts. In conducting its investigation, BOE collects, discloses and retains information regarding the hours worked, wages paid and benefits provided to workers employed by contractors/consultants and property owners.
10. The **Office of General Counsel** (OGC) is responsible for all legal matters relating to the work of or affecting the operations of the Comptroller's Office. OGC's FOIL division collects the name and contact information of members of the public who submit FOIL requests.
11. The **Public Affairs Bureau** is the public face of the agency and includes the Community Action Center, Community Affairs, and Special Events. The Community Action Center assists constituents from the five boroughs and connects them to City agency resources. The Community Affairs team collects basic information from community stakeholders who attend meetings with the Comptroller. The Special Events division collects basic information from constituents that attend agency heritage events and town halls.

N.Y.C. Admin. Code §23-1205(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.**

**Add additional rows as needed.**

Describe the Collection or Disclosure	Classification Type
BOA’s Accounting Compliance Unit receives returned checks in the mail, as well as phone request to reissue payments. These requests may include the name and address of retired city employees.	<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
BOA’s Workers Compensation Unit within the Fiscal Services Division collects names and addresses in order to reissue workers compensation checks as necessary.	<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
BOA’s Vendor Support Division receives substitute W-9 forms from public and city agencies containing names, addresses, and tax ID/ and social security numbers of vendors.	<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
BOA’s Capital & Fixed Asset-Policy Division receives substitute W-9 forms containing names, addresses, and tax ID/ and social security numbers from individuals involved in condemnation proceedings.	<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
BOA’s Financial Reporting Division requires copies of drivers’ licenses for individuals to pick up checks that have been placed on hold by City agencies.	<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
Administration’s ACCO receives one-time documentation indicating whether a business has been certified as a minority or woman owned business and indicating the specific qualification for that status.	<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
Administration’s Certificate of Residence Desk receives documentation of the addresses of members of the public in order to issue certifications of city residence, enabling the holder to pay residence tuition fees at New York State community colleges.	<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
Administration’s Human Resources division collects and retains a variety of forms, records and data in the course of performing core administrative and human resource functions. The human resources division has access to NYCAPS, a citywide repository of personnel data.	<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
Administration’s Labor Relations division receives and retains documentation of employee grievances in order to review and respond to these instances.	<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

City agencies submit documentation to Administration's Lump Sum Audit unit consisting of employee earnings, leave usage, and final leave balances for auditing of final payments upon employee's separation from City service	<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
Administration's Payroll and Timekeeping division collects and retains information relevant to employee work hours, leave requests and payroll, in the normal course of processing and monitoring employee payroll. The division also has access to PMS, the City of New York's automated payroll and timekeeping processing and record keeping system and CHRMS, a system that allows users to run payroll queries.	<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
Administration's Procurement division receives information from vendors throughout the procurement process, including bids, contract documents and payment and billing documents.	<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
Administration's Training division collects and retains employee evaluations and improvement plans on an annual basis.	<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
Administration's Vouchering division collects documentation relating to payments made or stopped by the agency, as well as forms for reimbursement of travel in personal vehicles.	<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 Audit Bureau regularly collects and retains various identifying information necessary for the performance of audits, investigations, and other analyses, including identifying information pertaining to claims made against the City that have been referred by the Bureau of Law and Adjustment, and submissions made by government agencies and welfare funds in accordance with Comptroller's Directives.	<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
BAM's Compliance division collects investment trading information from employees covered by the agency's Personal Trading policy.	<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
BAM's Pensions unit collects and reviews applications for disability retirement are submitted to each Systems' Medical Review Board.	<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
BAM's Contracting division collects information from parties seeking to do business with BAM on the Mayor's Office of Contracts' "Doing Business Data Form," which includes name, address, and DOB.	<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
BCA receives and retains contracts submitted by mayoral and non-mayoral agencies for the purposes of contract registration.	<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

BLA collects and/or discloses and retains claims-related information and associated investigatory documents, GML 50-h hearing transcripts and abstracts, as well as litigation-related documents furnished by the New York City Law Department to investigate, evaluate, adjust and settle or authorize settlement of claims for and against the City. BLA uses the Omnibus Automated Image Storage Information System (OAISIS) database to store and track claims.	<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
BLL collects information regarding the hours worked, wages paid, and benefits provided to workers employed by contractors as part of its investigations.	<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
BOE collects, discloses and retains information regarding the hours worked, wages paid and benefits provided to workers employed by contractors/consultants and property owners as part of its investigations.	<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
OGC's FOIL division collects the name and contact information of members of the public who submit FOIL requests.	<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
Public Affairs' Community Affairs team collects basic information from community stakeholders who attend meetings with 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
Public Affairs' Special Events division collects basic information from constituents that attend agency heritage events and town halls.	<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(1)(b)	

<b>4. If applicable, specify the types of collections and disclosures approved by the Chief Privacy Officer.</b>
<b>Add additional rows as needed.</b>
<b>Describe Type of Collection or Disclosure</b>
N/A
N.Y.C. Admin. Code §23-1205(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.**



The agency does not have a written policy regarding requests for disclosures from other City agencies, local public authorities or local public benefit corporations, and third parties. However, as described in Question #13 in greater detail, the agency uses agreements with other City agencies to address certain disclosures of identifying information. The agency also has a FOIL process, through which third parties can request records and which are produced in redacted form to the extent permissible by law.

**6. Do the above policies address access to or use of identifying information by employees, contractors, and subcontractors?** N/A  Yes  No

**7. If YES, do such policies specify that access to such information must be necessary for the performance of their duties?** N/A  Yes  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.** N/A

N.Y.C. Admin. Code §§23-1205(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.**

Any non-routine proposals for disclosures are routed through the Office of General Counsel, which will make a determination whether such a disclosure is permissible and/or required by law.

N.Y.C. Admin. Code §23-1205(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.**

Any such disclosures are routed through the Office of General Counsel, which will make a determination whether such a disclosure is permissible and/or required by law.

N.Y.C. Admin. Code §23-1205(1)(c)(3)

**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.**

Employees may make such disclosures after receiving authorization from the Office of General Counsel.

N.Y.C. Admin. Code §23-1205(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.**

All records at the Comptroller's Office are managed in accordance with the agency's official record schedule, on file with the Department of Records and Information Services (DORIS). This process is managed by the Comptroller's Records Management Officer.

In addition, the Comptroller's Office has a Confidentiality Policy to protect the integrity of private and confidential data used and maintained in the course of Comptroller's Office business.

All Audit Bureau employees are responsible for following audit documentation procedures outlined in the Bureau's *Audit Policy and Instruction Manual*.

The Bureau of Law & Adjustment ensures that only necessary employees have access to the database containing identifying information on records relating to claims adjudication and settlements.

The Bureau of Labor Law ensures that only its own employees have access to the database containing identifying information on records obtained during their investigations.

The Bureau of Engineering maintains identifying information on records obtained during an investigation in a computer database that can only be accessed by the Bureau of Engineering, Bureau of Law and Adjustment, Bureau of Information and Technology, and the NYC Law Dept.

N.Y.C. Admin. Code §23-1205(4)

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

- The Comptroller's Office adheres to the citywide contractual guidelines regarding privacy and security of identifying information. Specific language can be found in NYC General Provisions Governing Contracts for Consultants, Professional, Technical, Human and Client Services Appendix A Section 5.08 B and Legal Services Appendix A Sections 5.02, 5.03, and 5.08.
- The Audit Bureau also sometimes enters into confidentiality agreements with both City agencies and non-City entities. In these cases, Audit Bureau staff, under the direction and supervision of the General Counsel's Office, works with the outside entity to draft an agreement that addresses the protection and safeguarding of identifying information that is collected during the course of the audit or investigation. These confidentiality agreements state that the Comptroller's Office will observe necessary and appropriate physical, electronic, and managerial safeguards to protect information that is deemed confidential, including restricting access to those employees of the Bureau whose responsibilities require it, and will not use or disclose confidential information in a manner that violates any applicable federal, state, or local laws, or the terms of the agreement. They also provide for notice to the outside entity should the Comptroller receive a subpoena or FOIL request seeking confidential information.
- BLA has entered into a number of Memoranda of Understanding with city agencies that outline the use and dissemination of information maintained in OASIS. BLA also entered a non-disclosure agreement with a DEP contractor when we provided information for a flood study. Finally, 50-h firms contracted by BLA must acknowledge the HIPAA Business Agreement.

N.Y.C. Admin. Code §23-1205(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
<b>AGENCY-WIDE</b>		
Freedom of Information Law Requests	Freedom of Information Law requests may include requests for identifying information. Agency personnel determines whether disclosure is permissible under applicable law.	Consistent with the agency’s obligations under Public Officer Law Public Officers Law §87 et. seq.
Parties to Litigation	Records including identifying information may be requested as part of ongoing litigation. OGC determines whether disclosure is permissible under applicable law.	Consistent with the agency’s obligations under civil discovery rules.
<b>BUREAU OF ADMINISTRATION</b>		
City Agencies	In the course of regular Personnel and Human Resources matters including but not limited to transfer of employees between agencies, and retirement and benefits processing, identifying information may be disclosed to other city agencies.	These are routine HR functions.
Department of Records and Information Services (DORIS)	DORIS may request records that include identifying information for purposes of records management, archiving, and preservation.	To ensure that City records are properly maintained following professional archival and record management practices.
Labor Unions	Labor Unions may request records from Payroll and Timekeeping that include identifying information relating to leave status in the course of its duties as a collective bargaining representative.	These are routine HR functions.
New York State Community Colleges	In rare cases, colleges may request verification of Certificate of Residency documentation. This documentation is usually submitted to the colleges directly by the student. In the cases where information is requested by the colleges, Certificate of Residence staff endeavors to provide confirmation of residence without disclosing any identifying information.	These are routine HR functions.

New York State Workman's Compensation Board	In the course of regular reporting of workman's compensation claims, identifying information may be disclosed to the New York State Workman's Compensation board.	These are routine HR functions.
New York City Employee Retirement System (NYCERS)	NYCERS may request records from Payroll and Timekeeping that include identifying information in the course of its duties managing employee retirement benefits.	These are routine HR functions.
Office of Labor Relations (OLR)	When grievances reach Step 3 of the grievance process, all prior documentation of grievances is submitted to OLR. Ordinarily, this information is submitted directly by the employee bringing the grievance. If they do not attach the documentation, the Labor Relations division submits this documentation to OLR so that the grievance process may proceed.	These are routine HR functions.
<b>BUREAU OF ASSET MANAGEMENT</b>		
NYC Retirement System – Medical Review Board	The Comptroller as Trustee of the Police Pension Fund, the Fire Department Pension Fund, the New York City Employees' Retirement System and the Teacher's Retirement System of the City of New York assesses claims for disability retirement benefits that are brought before the Systems. Applications for disability retirement are submitted to each Systems' Medical Review Board. The Medical Review Boards review the application and create a case file for each Member.	Consistent with the agency's obligations under the NYC Administrative Code 13-123 (NYCERS), 13-223 (Police), 13-323 (Fire), and 13-519 (TRS).
Mayor's Office of Contract Services	Doing Business Data Forms are collected by the Bureau of Asset Management and delivered to the Mayor's Office of Contract Services for processing.	Completion of the "Doing Business Form" is a requirement for City vendors under NYC's procurement rules and practices.
<b>BUREAU OF LAW AND ADJUSTMENT</b>		
Law Department	Law Department accesses OASIS (NOC, 50-h hearing related documents, investigatory documents, etc.) to review claim files where an action started.	Consistent with the agency's obligations under NYC Charter 93(i).
50-h Panel Firms	Firms conducting 50-h hearings on behalf of the City can access Notices of Claim on OASIS to draft notice of hearings and prepare to take claimant testimony.	Consistent with the agency's obligations under NYC Charter 93(i).

Son of Sam	OOC provides settlement information on Department of Correction and NYPD claims to the State (Crime Victims Services and NY Attorney General) to collect on behalf of victims of crimes.	Consistent with NYS's "Son of Sam" Law.
Northrup Grumman	Northrup contracted with OOC to support OASIS database. Any claim specific inquiry to trouble shoot would require at the very least claimant's name.	Communications and information-sharing with vendors such as Northrup Grumman are necessary to ensure the claims database operates efficiently.
SAS	Data analytics firm with access to claimant identifying information in an excel spreadsheet for modeling project.	Communications and information-sharing with vendors such as SAS are necessary to ensure that claims are analyzed efficiently.
Human Resources Administration	Name, address, date of birth, and social security number to conduct lien search on settled claims.	As an operational matter, BLA conducts lien searches before making payments to claimants.
Department of Finance	Name, address, date of birth, and social security number to conduct lien search on settled claims.	As an operational matter, BLA conducts lien searches before making payments to claimants.
Center for Medicare and Medicaid Services (CMS)	Report to CMS name, date of birth, address, gender, phone number, Health Insurance Claim Number and/or social security number, to Medicare or Medicaid lien searches.	As an operational matter, BLA conducts lien searches before making payments to claimants.
City Agencies	BLA has entered into agreements with the New York Police Department, Department of Correction, Department of Sanitation, and Department of Citywide Administrative Services for OASIS access to agency-related Notices of Claim to implement best practices and for risk management. When requested, BLA provides identifying information to Office of Management and Budget to reconcile books.	BLA has implemented this information-sharing to enable City agencies to implement best practices and improve risk management.
<b>BUREAU OF LABOR LAW</b>		
Contractors	Contractors under investigation are provided information on the workers found to be underpaid by the Bureau of Labor Law, including employee names, social security numbers, employment status, employer information, and tax information.	Consistent with New York state and city laws that empower the agency to enforce violations of the prevailing wage and living wage on City contracts.
Office of Administrative Trials and Hearings	When the Bureau of Labor Law conducts trials at OATH as required by state and local law, the administrative law judge is provided with information on the workers found to be underpaid by the Bureau of Labor Law, including employee names, social security	Consistent with New York state and city laws that empower the agency to enforce violations of the prevailing wage and living wage on City contracts.

**Identifying Information Law**

	numbers, employment status, employer information, and tax information.	
Contracting Agencies	As required by state and local law, upon the resolution of an investigation, the Bureau of Labor Law provides all contracting agencies with the final order, which may include information on the workers found to be underpaid, including employee names, employment status, employer information, and tax information.	Consistent with New York state and city laws that empower the agency to enforce violations of the prevailing wage and living wage on City contracts.
NYS Department of Labor	The Bureau of Labor Law refers complaints to the Department of Labor when it is determined that the Department has appropriate jurisdiction over the complaint. Those complaints may include information such as employee names, social security numbers, employment status, employer information, and tax information.	Furtheres the agency's partnership with NYS Department of Labor in the enforcement of state and local wage laws.
<b>BUREAU OF ENGINEERING</b>		
Claimants (Contractor/Consultant, Property Owners)	Claimants (Contractors/Consultants, Property Owners) provide information on the labor being claimed (employee names, wages, benefits, tax information)	Consistent with the agency's obligations under NYC Charter 93(i) and the alternate dispute resolution procedures mandated under Section 4-09 of the PPB rules and City contracts.
Contracting Agencies	Contracting Agencies provide Certified Payrolls which provide information on the labor being claimed (employee names, wages, addresses, tax information)	Consistent with the agency's obligations under NYC Charter 93(i) and the alternate dispute resolution procedures mandated under Section 4-09 of the PPB rules and City contracts.
<b>BUREAU OF PUBLIC AFFAIRS</b>		
Local, state and federal agencies	Name, address, contact information is provided to these agencies to search for the constituents' case on their behalf and speak with their case manager on their case.	Furtheres the agency's constituent services function.
N.Y.C. Admin. Code §23-1205(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.**

The Comptroller's Office has completed an agency-wide inventory of each bureau's collection, retention, and disclosure of identifying information, as reflected in Forms # 1. Where relevant, the Agency Privacy Officer has designated certain collections and disclosures as routine, as reflected in Forms # 2.

N.Y.C. Admin. Code §23-1205(2)

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

When non-routine requests for disclosures are routed through the Office of General Counsel, the Agency Privacy Officer (currently the First Deputy General Counsel) will be consulted before a disclosure is made.

N.Y.C. Admin. Code §23-1205(3)

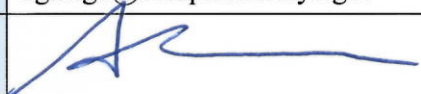
**APPROVAL SIGNATURE FOR AGENCY REPORT**

**Preparer of Agency Report:**

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<b>Title:</b>	First Deputy General Counsel		
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**SIGNATURE OF AGENCY HEAD OR DESIGNEE REQUIRED BELOW**

**Agency Head (or designee):**

<b>Name:</b>	Alaina Gilligo		
<b>Title:</b>	First Deputy Comptroller		
<b>Email:</b>	agilligo@comptroller.nyc.gov	<b>Phone:</b>	212-669-2357
<b>Signature:</b>		<b>Date:</b>	7/30/2018

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