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# New York City Open Data Playbook: Annual Compliance Plan Reporting

The Open Data Law requires all City agencies to make all their public data assets available on the Open Data Portal, and to publish a list of data assets (called a Compliance Plan) which each agency intends to publish. In addition, agencies are required to annually report various information about data assets in the Compliance Plan Update. The people who are charged by law with updating and executing their agency’s Compliance Plan are Open Data Coordinators (ODCs).

Every September 15, the Open Data Team at the Mayor’s Office of Data Analytics (MODA) and the Department of Information Technology and Telecommunications (DoITT) update the Compliance Plan that outlines how City agencies fulfilled the mandates in the Open Data Law during the previous year. To make sure agencies report on each mandate, the Open Data Team sends each agency’s ODC a workbook to be filled out by mid-July. In order to successfully complete the workbook, the ODC must contact and work with a variety of stakeholders within their agency.

This document serves as a resource for ODCs to understand the Annual Compliance Plan Updates, to navigate the Compliance Workbook and their role in the broader process of publishing their agency’s data.

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## Compliance Reporting Components

### Introduction

To effectively manage through the Annual Compliance Reporting Process, it will be important to develop a plan and a timeline to separate the compliance reporting process into smaller tasks. The sequence and timing for a lot of these tasks will vary based on the size of your agency and the maturity of the open data program within your agency - the following are examples and guidelines for you to work off of.

### Identify & engage agency stakeholders & Data Owners

Estimated time: 3-4 weeks

Description: Ensure you have a point of contact (a Data Owner) identified for all of your existing asset inventory, your planned releases and for other divisions in your agency that have not yet released data. Inform your Data Owners of the key dates associated with the Annual Open Data Compliance Reporting Process. Ensure you have also informed key stakeholders within your agency of the key dates and requirements associated with this year's Annual Open Data Compliance Reporting Process. These stakeholders may include, but are not limited to:

1. General Counsel
2. FOIL Officer
3. Communications, External Affairs and / or Digital Teams
4. CIO / CTO or other technology leadership for your agency
5. Commissioner's Office or Chief of Staff

See the section in this playbook titled "Tactics for engaging agency stakeholders & Data Owners" for more guidance.

### Review Current Inventory with Data Owners

Estimated time: 2-3 weeks

Description: Make sure your agency's current inventory is accurate and up to date:

1. Review basic metadata (name, dataset description, keywords).
2. Confirm with your agency's Data Owners the data assets' update frequency, automation feasibility, geocoding requirements, and the link to the data asset's url if it lives on the agency's website.

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3. Confirm with the NYC Open Data Team by May 1st that you have reviewed your inventory by filling out [this form](#).

## FOIL Reporting

Estimated time: 2-3 weeks

Description: Engage your FOIL officer early on in the compliance reporting process to describe and go over FOIL reporting requirements as a part of the Annual Open Data Compliance Reporting Process. Develop a plan for working with your FOIL officer, and follow up in late June. You will need to identify any data assets your FOIL officer released to the public through June 30th and incorporate those data asset releases into your agency's planned open data releases.

## Identifying New Data

Estimated time: Ongoing throughout the Annual Open Data Compliance Reporting Process. Note that as your agency's Open Data Coordinator you should be discovering new data for release throughout the year.

Description: Engage the Data Owners (newly identified ones and existing ones) and explore whether there are new data assets that should be added to your agency's planned open data releases. Some tactics include:

1. Identify data assets that are posted on your agency's website, but not part of Open Data.
2. Review MMR and other reporting requirements to identify underlying data.

See the section in this playbook titled "Tactics for Identifying new data assets for publication" for more guidance.

## Civic Engagement

Estimated time: 3 weeks

Description: You will need to decide on at least three public communication approaches and engagements that your agency will commit to in the upcoming year to raise awareness and engage the public around your agency's open data. Proposed tactics:

1. Contact your agency's communications, external affairs and / or digital team(s)
2. Develop a communications plan / public engagement strategy
3. Ensure all data owners are aware of your agency's commitments

## Complete your Compliance Workbook

Estimated time: 2 weeks

Description: Take all of the information from the Data Owners, your FOIL Officer and Communications team and input that information into your Open Data Annual Compliance Workbook ([you can download a version here](#)). Be sure to add all the new datasets that were published after April 1 in Table 2.

## Final Review and General Counsel Certification

Estimated time: 2 weeks

Description: Sit down with your agency’s General Counsel and review your completed Open Data Annual Compliance Workbook. Your General Counsel will need to complete a General Counsel Certification certifying that everything in your agency’s Open Data Annual Compliance Workbook is accurate and complete. Once you have this document filled out submit your workbook and your General Counsel Certification via the [Open Data Coordinator Resource page](#).

## Proposed Compliance Reporting Planning Timeline

Based on the recommendations made above, here is a visualization of a recommended timeline for the Annual Compliance Reporting Planning process.

| Suggested Timeline for Open Data Annual Compliance Reporting Process Implementation |       |     |      |      |      |     |      |      |      |     |      |      |      |     |     |      |
|---|-------|-----|------|------|------|-----|------|------|------|-----|------|------|------|-----|-----|------|
| 2018  | Q2    |     |      |      |      |     |      |      |      |     | Q3   |      |      |     |     |      |
|   | April |     |      |      | May  |     |      |      | June |     | July |      |      |     |     |      |
|   | 4/1   | 4/8 | 4/15 | 4/22 | 4/29 | 5/6 | 5/13 | 5/20 | 5/27 | 6/3 | 6/10 | 6/17 | 6/24 | 7/1 | 7/8 | 7/15 |
| Workbooks issued  | █     |     |      |      |      |     |      |      |      |     |      |      |      |     |     |      |
| Identify and engage agency stakeholders & Data Owners                               | █     | █   | █    | █    |      |     |      |      |      |     |      |      |      |     |     |      |
| Review inventory  |       |     | █    | █    | █    |     |      |      |      |     |      |      |      |     |     |      |
| Confirm inventory accuracy with Open Data Team                                      |       |     |      |      | █    | █   | █    | █    |      |     |      |      |      |     |     |      |
| FOIL Officer engagement   |       |     |      |      | █    | █   | █    | █    |      |     |      |      |      |     |     |      |
| Identifying new data for release  | █     | █   | █    | █    | █    | █   | █    | █    | █    |     |      |      |      |     |     |      |
| Development of agency civic engagement commitments                                  |       |     |      |      |      |     |      |      | █    | █   | █    |      |      |     |     |      |
| Workbook completion   |       |     |      |      |      |     |      |      |      |     |      | █    | █    | █   |     |      |
| General Counsel certification & signoff   |       |     |      |      |      |     |      |      |      |     |      |      |      | █   | █   |      |
| Workbook submission deadline  |       |     |      |      |      |     |      |      |      |     |      |      |      |     |     | █    |

## The Compliance Workbook

### Introduction

To assist all Open Data Coordinators with their Annual Compliance Reporting Process the Open Data Team has pre-filled this year’s compliance workbook with all of NYC’s public Open Data assets, the entire NYC Open Data inventory.

## Populating the workbook with your agency's data

As mentioned, the workbooks are pre-populated with every agency's data assets currently available on NYC Open Data. In order to fill the workbook with your agency's data take the following steps:

1. Download a copy of the workbook ([link to download the workbook is here](#)).
2. Click on the **"A. Current Inventory"** tab and filter for your agency in cell **A5** titled **"Agency"**.
3. In the filter drop down, you can either type or scroll down to your Agency's name (fig.1). Once you've successfully filtered, you can be sure that you are viewing only your Agency's data.

The screenshot shows an Excel spreadsheet with the following structure:

| Public Data Asset Information |  |   |   |                                      |  |
|-------------------------------|--|---|---|--------------------------------------|--|
| Agency                        | Dataset Title<br>As it appears on the Open Data Portal | Type<br>data set,<br>gis map,<br>filter | Dataset Description<br>Plain language description of the dataset  | URL<br>URL of the dataset on the ODP | Automation<br>whether dataset is automatically updated |
|                               |  | filter                                  | This inventory includes all datasets scheduled for release between July 2016 and December 31, 2018.   | https://data.cityc                   | No   |
|                               |  | gis map                                 | Public Pay Telephone NYC Free Public Wi-Fi locations, Advertising Locations and Zoning Information (the zoning information should be compared with the dates of most recent zoning changes found on the NYC Planning website) http://www.nyc.gov/html/dcp/home.html<br><br>Disclaimer<br>The Zoning Reference provides only general zoning information and is not meant to serve as a substitute for the actual regulations which are to be found in the Zoning Resolution. | https://data.cityc                   | No   |
|                               |  |   | CityBridge, LLC (Free Beta): LinkNYC 1 gigabyte (GB), Free Wi-Fi Internet Kiosks<br>Spot On Networks (Free) NYC HOUSING AUTHORITY (NYCHA) Properties<br>AT&T (Free): Wi-Fi access is free for all users at all times.   |                                      |  |

The filter dropdown for the 'Agency' column is open, showing a search bar and a list of agencies. The 'Department of Information Technology & Telecommunications (DoITT)' is selected.

(fig.1) Example of the box where you type in your agency's name in the "A. Current Inventory" tab.

4. Once you have selected your agency you can get a quick overview of what your agency had published as well as the metadata associated with these datasets. This is the same metadata as provided on the Open Data Portal: <https://data.cityofnewyork.us/browse>

## A. Current Inventory Tab

The main purpose of this section of the workbook is to review your agency's currently published datasets, make changes to your existing data inventory, and submit additional information required by the Open Data Law.

You cannot edit columns with blue headers, but you must review the content of these fields for accuracy and report any discrepancies to the Open Data Team by May 1st by emailing:

[NYCOpenData@cityhall.nyc.gov](mailto:NYCOpenData@cityhall.nyc.gov)

Should anything appear to be incorrectly assigned to your agency please make an request for reassignment at the bottom of the open data coordinator page here:

<https://opendata.cityofnewyork.us/open-data-coordinators/>

In this section of the workbook you will only need to fill out Columns G-P which are highlighted in yellow as the Agency Reporting Requirement section. (fig 2) To visit the dataset page, you can simply copy (ctrl + C) the URL located in Column E and paste it into your web browser.

| Agency Reporting Requirements      |  |   |  |  |  |  |   |  |  |
|------------------------------------|--|---|--|--|--|--|---|--|--|
| G                                  | H  | I   | J  | K  | L  | M  | N   | O  | P  |
| Can dataset feasibly be automated? | External updates - URL<br>(complete only if dataset is regularly updated on a website other than the Open Data Portal) | External updates frequency<br>how often data is refreshed complete only if dataset is maintained on a website other than the Open Data Portal | Removed records?<br>are any individual records permanently removed when the dataset is updated? (see: Technical Standards Manual §4.4.3) | Agency Division<br>agency division for which data is generated | Data owner (name)<br>name of data custodian/expert at agency. NOTE: THIS FIELD WILL NOT BE MADE PUBLIC | Data owner (email)<br>NOTE: THIS FIELD WILL NOT BE MADE PUBLIC | Notes (OPTIONAL)<br>additional information you would like to provide NOTE: THIS FIELD WILL NOT BE MADE PUBLIC | Change Category (OPTIONAL)<br>replace Current Category displayed on Portal | Change Keywords (OPTIONAL)<br>replace Current Keywords displayed on Portal |
|                                    |  |   |  |  |  |  |   |  |  |
|                                    |  |   |  |  |  |  |   |  |  |
|                                    |  |   |  |  |  |  |   |  |  |

(fig.2) Selecting your agency will filter the Open Data Portal search page to only show your data content for your agency. Columns in yellow must be filled out completely.

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**Here is what is expected from you in each column:**

Feasibly Automated - For this you will want to review the data sources for your agency's assets and meet with your agency's IT team and go over your agency's existing and planned open data assets to review what can / cannot be feasibly automated and in which timeframe. You can access the [DoITT Open Data Team's Automation Guidelines as a resource here](#).

External Updates URL - In this column, please include the URL of a data asset if it is known to exist on an nyc.gov website other than the Open Data Portal.

External Updates Frequency - If you filled out the "External Updates URL" field you will need to fill out this field as well with the frequency with which the data identified is updated on a different nyc.gov website.

Removed Records - This is a (Yes/No) column. Please note whether records or row level data is deleted when we update this data.

Agency Division - Which division of your agency is responsible for this data release?

Data Owner (Name) - In your agency, what is the name of the person who maintains and is responsible for this data asset? This will be helpful in the case of a transition in your agency to another Open Data Coordinator in the future.

Notes (OPTIONAL) - Feel free to write notes here with extra details for the Open Data Team, and your records. This will be helpful in the case of a transition in your agency to another Open Data Coordinator in the future.

Change Category (OPTIONAL) - Feel free to select a different category for your data, options include:

- [Business](#)
- [City Government](#)
- [Education](#)
- [Environment](#)
- [Health](#)
- [Housing & Development](#)
- [NYC BigApps](#)
- [Public Safety](#)
- [Recreation](#)
- [Social Services](#)
- [Transportation](#)



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Change Keywords (OPTIONAL) - Feel free to change or provide relevant keywords for your data, this will help with the searchability of the data asset.

## **B. Future Releases Tab**

The main purpose of this section of the workbook is to identify changes to the current publication schedule and identify new data assets to publish.

You cannot edit columns with blue headers, only input information into yellow fields. You can insert additional rows for any tables with yellow fields should you need more rows.

### **Table 1**

In this table fill in the information of newly identified data assets. Please remember to fill out all required fields as well as stating whether the data can be feasibly automated. You can access the [DoITT Open Data Team's Automation Guidelines as a resource here](#).

### **Table 2**

This table is meant to capture any data assets that will be officially released between April 1 - July 13 2018 as the pre-populated data in the workbook is only comprised of data made public before April 1, 2018 and will not automatically update.

Note: If you submit your workbook before July 13th 2018, you will still have to account for data assets that are released in the compliance reporting period (April 1 - July 13). You can keep track of any data assets released between April 1st - July 13th in the same format as this section requires and submit them to the Open Data Team via: [NYCOpenData@cityhall.nyc.gov](mailto:NYCOpenData@cityhall.nyc.gov)

### **Table 3**

This table has every data asset release that your agency has submitted for inclusion the Open Data Plan for future release. To begin, you'll want to use the "Agency" filter to populate the table with your agency's current data.

In this section we want to be sure to add the same additional information as was done in tab "A. Current Inventory". Refer back to "The Compliance Workbook: A. Current Inventory Tab: Here is what is expected from you in each column" in this playbook to get a rundown of what each of these columns are asking for.

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## C. FOIL Tab

For tab C of the workbook you will want to coordinate with your agency's FOIL Officer. The objective here is to uncover datasets used to respond to freedom of information law requests (FOIL) that should be published as a data asset on the Open Data Portal.

You cannot edit columns with blue headers, only input information into yellow fields. You can insert more rows in yellow tables as needed.

### Table 1

This table is similar to FOIL reporting requirements from previous years as a part of the Open Data Annual Compliance Report. The change this year is a new reporting requirement asking you and your FOIL officer to get a count of FOIL responses that includes data assets that have not yet been published on the the Open Data Portal.

### Table 2

Here we will collect details about data assets that were via FOIL. Understanding the official names of data assets and the number of FOIL requests per data asset can help us potentially identify frequently requested data that will lessen the amount of FOIL requests coming into your agency.

## D. Civic Engagement Tab

In the Civic Engagement section of the Open Data Compliance workbook, select at least 3 commitments to engage the public with regards to your open data. The goal of this section is to work with your agency's communications team, external affairs team and / or digital team to identify ways for your agency to engage the public and fulfill of the NYC Open Data program mission of Open Data for All.

You cannot edit columns with blue headers, only input information into yellow fields.

You are only required to select three engagements (by putting an "X" in the field next to the engagement selected) that will be carried out by your agency between September 15, 2018 - September 15, 2019. A commitment of more than three engagements is welcome, and a free-form section for engagements not on the list can be found in Section G.

**Note:** Rationale for not selecting a minimum of three engagements must be provided in Section H and will be made public in the September 15th report.

Description of the different Civic Engagement sections:

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**A. Digital Amplification** - These are digital communication engagements and would require the involvement of your agency's social media and digital teams; anyone who manages your agency's website and digital presence.

**B. Storytelling Activities** - These are engagements that would involve your agency's communications team and anyone that does report writing, blog posts, content development or the development of case studies on behalf of your agency.

**C. Public Speaking** - These engagements are the most direct form of engagement with the public. It is an excellent opportunity to clear any air of mystery around your agency's open data and to garner more public support and understanding behind the relationship between your agency and the city at large.

**D. Event Engagement** - These are in-depth engagements that enable a customized approach to showcasing your agency's open data with the public.

**E. Communication Engagement** - This is a suggestion for your agency's communications team or community affairs team to consider.

**F. User-centered research** - Engaging your agency's open data users is a key public engagement tactic. Your agency's research and strategy team may be interested in being involved with this engagement.

Explore the Civic Engagement Tactics presentations by the Sunlight Foundation and Build With, [available here](#) and on the Open Data Coordinator Resource Page for additional inspiration. BetaNYC is also a great resource for civic engagement in New York City and you can find their presentation from the 2018 Open Data Coordinator training [here](#) and their website [here](#).

## **Tactics for identifying new data assets for publication**

### **Introduction**

This section will be your guide to identifying relevant data assets for publication within your agency. While you may have completed this process before, it is required that you conduct due diligence in your agency each year. Further, it is important to develop methodologies within your agency to ensure that when new datasets are created, they are added to your agency's Open Data Plan.

### **Resources**

- 
- **Identifying data at your agency (presentation by Rebecca Morales, former DCAS ODC) ([link](#))**
  - **Definition, Public Dataset (page 2 of FOIL reporting guidelines, [link](#))**
  - **What is City Data? ([link](#))**

## What is a Data asset?

A “data asset” is a collection of tabular information where each row represents a record and each column represents details about that record. Columns may contain numbers, text, or dates, for example.

Data assets may exist in a dedicated database system such as Oracle, MS SQL Server, or Postgres; they may be part of a larger software application system; or they may be a standalone file in one of these common formats: csv (text file where each record is a new line and columns are separated by commas), excel, json, xml, geojson, kml, and esri formats.

## Transactional Data

Example: 311 Service Requests: each record represents a service request and the columns contain information on when it was made, the type, and which agency it was directed to. Other examples: Department of Consumer Affairs (DCA) License Applications and Department of Buildings (DOB) Job Application Filings.

## Inventory Data

Example: Department of City Planning’s PLUTO contains information on all tax lots in the city. Each record is a tax lot and the columns represent information about the lot, such as location, number of buildings, and zoning. Other examples: Department of Parks and Recreation’s (DPR) Street Tree Census and Department of Citywide Administrative Services’ (DCAS) Managed Public Buildings.

## Operations Data

Example: Department of Housing Preservation and Development’s (HPD) Housing Maintenance Code Violations: each record represents a violation issued by HPD. Other examples: Department of Sanitation’s (DSNY) Recycling Diversion and Capture Rates and Vacant Lots Cleaned.

## Identifying New Datasets

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Here are some ideas for finding new datasets that might not already be on the Open Data Portal or listed in the agency compliance plan:

- **The Mayor’s Management Report (MMR) performance indicators:** What data underlying MMR indicators or other Key Performance Indicators (KPIs) can be released on NYC Open Data? Is it possible for those metrics to be calculated using data already on NYC Open Data? If not, what data can be released to make this possible?
  - Tip: Work with your agency’s Chief of Staff to identify the group that is responsible for *performance reporting*. These groups are sometimes called “analytics” or “performance” groups and may be embedded in Strategy and Operations Divisions or IT.
- **Data on Websites:** The law requires that all data on websites maintained by or on behalf of your agency also be on NYC Open Data. Please review your agency’s websites for data tables that are regularly maintained.
- **FOIL responses:** Any datasets released through FOIL should also be considered for release on NYC Open Data. Please work with your agency’s FOIL officer. This can also cut down on future FOIL requests.
  - Tip: Work with your FOIL officer to understand what datasets they query in order to fulfil Freedom of Information Laws. These datasets, in their full form, may be eligible for Open Data.
- **Also consider datasets that are:**
  - Related to your department’s mission and are regularly reported in your department’s strategic plan, mayoral goals (e.g., OneNYC, Housing NYC), or any regular reports.
  - Shared with other agencies for operational purposes
  - Queried to compile reports for City Council or the State Assembly
  - Used for reports on federal, state, or nonprofit grants

In identifying datasets, government entities may be concerned that users of NYC Open Data will not understand their raw data or, if distilled to its rawest form, might lose utility. There are no hard and fast rules about what level of detail is sufficiently granular to add value to a government dataset. Whenever possible, government entities should resist the temptation to limit datasets to only those the agency believes might be understood or useful. Entities should be wary of underestimating the users of NYC Open Data. Users may come from a variety of fields and specialties, including academic and other government users who can envision a use for the raw data not anticipated by the originating entity. A better practice is for the agency to ensure its metadata describing the dataset is complete, including a comprehensive overview.

## Add a Data asset to your Plan

As you work with various personnel across your agency to identify datasets, collect the information that is required for annual reporting in Section “B. FUTURE RELEASES” of the workbook.

**Table 1. Newly identified datasets to include on the 2018 Open Data Plan for future publication**

| Agency | Dataset Name | Dataset Description | Update Frequency (How often will new data be provided?) | Planned Release Date | Can feasibly be automated? | Additional details (optional) | Agency Division (agency division for which data is generated) | Data owner (name) (name of data custodian/expert at agency. NOTE: THIS FIELD WILL NOT BE MADE PUBLIC) | Data owner (email) (NOTE: THIS FIELD WILL NOT BE MADE PUBLIC) |
|--------|--------------|---------------------|---|----------------------|----------------------------|-------------------------------|---|---|---|
|        |              |                     |   |                      |                            |                               |   |   |   |
|        |              |                     |   |                      |                            |                               |   |   |   |
|        |              |                     |   |                      |                            |                               |   |   |   |

*Detail from “Section B. Future Releases” in ODC 2018 Compliance Workbook*

You may also want to collect additional information, including technical information on the source system, the various users of the data at your agency and other agencies, existing ways that the data is already shared. Choose what is best for your own management process.

### Choosing a Planned Release Date

In choosing a planned release date, consider questions of data quality, resource requirements, and personnel who will be required to publish the data. Datasets that are already in a clean, easily extractable, machine-readable, well-documented format can be scheduled for release sooner. Remember, just because it may be time consuming to publish a dataset does not mean that it may not be published.

## Tactics for engaging agency stakeholders and Data Owners

### Introduction

A key tactic that will ensure you and your agency are set up for success as a part of the Annual Open Data Compliance Reporting Process is the engagement of the different stakeholders, divisions, and staff throughout your agency. Internal agency engagement is your opportunity to make sure that staff in your agency are aware of NYC Open Data requirements and will help you to surface information about new data assets that you can publish on behalf of your agency. This section will provide different tactics through which you can engage your agency during the Annual Open Data Compliance Reporting Process.

### Reference

Additional resources available to you, and referenced throughout this section include the following:

- 
- [Mayor's Management Report](#)
  - [Plan for OneNYC](#)
  - [Your agency's nyc.gov website](#)
  - [GreenBook NYC](#) and the internal **Employee Directory**

## Understanding how your Agency is organized

There are more than 300,000 people who work for the City of New York and more than fifty different City Agencies, Offices, Commissions and other city-affiliated organizational structures. Every agency is structured differently. Your first step toward engaging your agency's staff as a part of the Annual Open Data Compliance Reporting Process will be understanding how your agency is structured. Some guiding questions to help you map out your agency:

- A. How many people work at my agency?
- B. How many divisions are in my agency?
- C. What is the Deputy Commissioner structure (if applicable) and what are their respective portfolios?
- D. How many different public-facing programs does my agency have?
- E. Does my agency have its own service departments (legal, IT, communications) or do we depend on another agency for those functions?
- F. Does my agency have a designated strategy team or is strategy shared across all leadership functions?

Resources to seek out within your agency to help you answer the questions above:

1. **Intergovernmental Affairs (IGA) staff:** Every City agency has a designated IGA staff member who is often well-networked within their agency. This individual should be able to help guide you in understanding the various program areas within your agency's operations that may have data.
2. **Agency Chief of Staff:** Your Commissioner may have a Chief of Staff position; this staff member is typically well-networked within your agency and will be able to provide guidance similar to the IGA staff.
3. **Public Reports:** Your agency is likely represented in citywide public reports such as the [Mayor's Management Report](#) (MMR) and the [Plan for OneNYC](#). Reading your agency's sections of these reports will help you to learn more about your agency's priorities and structure.
4. **Agency Organizational Chart (org chart):** Your agency may publish their org chart to the public on your agency's website; otherwise this may be something that human resources has on hand. This can be a helpful tool for understanding the reporting structures and programmatic areas of your agency.





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We also recommend having a conversation with staff within your agency who organize strategic internal communications for your agency. This may be your agency's Chief of Staff, a Deputy Commissioner, the Communications Team or Human Resources team. There may be an upcoming communication in which they could add a few sentences about NYC Open Data so that staff agency-wide have a head's up that you'll be reaching out to discuss identifying new datasets for publication on NYC Open Data.

It will be important to find out whether your agency is excited about open data or weary of open data. Perhaps some divisions will have different responses - not all agencies and not all agency staff are fully knowledgeable about what NYC Open Data is or why it is a key open government initiative, and legal requirement, to participate in NYC Open Data. Tailoring your communications to different divisions and leadership based on their excitement and historical knowledge of NYC Open Data will be key towards building a relationship with them to guide the annual compliance reporting process and for ongoing work as your agency's Open Data Coordinator (updating datasets, improving metadata, etc.).

## Materials to develop

Once you've identified the landscape of internal communications channels and determined what kind of communication structure is best to share information about Annual Open Data Compliance Reporting requirements within your agency it's time to develop any materials you'll need to help you execute that communications strategy. Here are some ideas of helpful materials to develop:

- A. Internal email announcement
- B. One pager outlining your agency's existing Open Data
- C. One pager outlining your agency's timeline for completing your Open Data Compliance Reporting Workbook
- D. Deck for presenting your agency's Open Data, reporting requirements and timeline for report submission
- E. A structure for "Office Hours" within your agency for division heads, analysts, etc. to come and ask you questions about the reporting process for NYC Open Data
- F. Addition to your email signature highlighting that you are your agency's Open Data Coordinator so that throughout the year staff at your agency learn to come to you with questions about publishing data to NYC Open Data.

## Ask the Open Data Team to engage

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Another resource that you should request in the early stages of your Annual Compliance Reporting Process is the Open Data Team. Services the Open Data Team can provide to you in order to raise awareness about NYC Open Data within your agency include:

- A. **Kickoff Presentation:** Giving a 20 minute presentation about Open Data and the Compliance Reporting process to a group of 20+ key staff you've identified within your agency.
- B. **Meeting with key stakeholders:** If you feel a meeting will be more productive with a key stakeholder / leadership within your agency with a member of the Open Data Team present, request someone from the Open Data Team to join a scheduled meeting you've organized.
- C. **Review of any communications materials:** If you're developing a presentation deck or email copy to go out to your agency and would like a second set of eyes to review the materials get in touch with the Open Data Team, we're happy to look over your materials and provide feedback.

Contact the Open Data Team for any Annual Open Data Compliance Reporting requests via: [NYCOpenData@cityhall.nyc.gov](mailto:NYCOpenData@cityhall.nyc.gov)

## Final Review & Workbook Submission

### Introduction

Now that you have coordinated with your internal stakeholders, established your agency's new data release schedule, established your civic engagement commitments around open data, and reviewed your existing inventory, it's time for the final internal review of your Compliance Workbook within your agency, and submission to the Open Data Team. This section is your guide to obtaining sign off from senior management in your agency, and sending your portion of the compliance plan to the Open Data team.

### Review

Your agency's Compliance Workbook should receive the appropriate level of review and sign-off from key internal stakeholders. While these stakeholders will vary per agency, it is suggested to secure final approval from the same stakeholders you coordinated with earlier in the compliance process (General Counsel, FOIL Officer, Communications Lead, Technical Lead). Also important, remember that all agencies are required to receive approval from their General Counsel (GC), and have their GC sign a certification document prior to final Compliance Workbook submission.

Below are examples of particular sections of the workbook you may key stakeholders to sign-off on:

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### **Technical Lead** (CIO, CTO or another IT leader)

- The feasible automation of datasets
  - This is likely the person that made the decision on if data can be automated
- Compliance schedule
  - Your agency's technical lead will know the level of effort required to extract data from its source system, and should have input in the data release timeline
- Data retention
  - If records are being deleted from the data your agency provides, this resource should be able to confirm

### **Communications Lead** (Head of External Affairs, Social Media Lead, Digital Communications)

- Civic Engagement Plan
  - Being that this will be externally facing, your agency's communications lead should approve and coordinate civic engagement activities
- Overall Workbook
  - Your communications lead should ensure the language and messaging is consistent with your agency's standards

### **FOIL Officer/Records Access Officer**

- Workbook Tab B
  - Your FOIL officer should be able to confirm if datasets identified for future releases are in fact public datasets
- Workbook Tab C
  - This section should only be filled out by your FOIL officer, or designee

### **General Counsel**

- Because your General Counsel must sign off on the accuracy and completeness of the workbook, they should review the entire Workbook

### **Open Data Coordinator** (You!)

- Ensure all Workbook sections highlighted in yellow in every tab are completely filled in
- Review every tab to ensure there are no changes to the structure of the Workbook
- Make sure General Counsel certification is signed by an appropriate person in your agency

## **Submission**

By Friday, July 13th, 2018, all Workbooks and General Counsel Certification must be submitted via the [Open Data Coordinator resource page](#), using the form for submitting a service to the Open Data team. This is the only way to submit your workbooks for the 2018 compliance reporting cycle. **Incomplete or late workbooks will not be accepted.**

The screenshot shows a web browser window with the URL <https://opendata.cityofnewyork.us/odm-data-coordinators/>. The page title is "For ODCs: Request a service from the NYC Open Data Team". The form contains the following fields and sections:

- Name:
- Email:
- Agency:
- Request type:
- Submit annual compliance plan:
- Open Data Reporting Workbook:
- General Counsel Certification:

There are two "Upload a file" buttons, each with a "Choose File" button and "No file chosen" text. A "Submit" button is located at the bottom left. A "Translate" button is at the bottom right.

*Screenshot of the Open Data Coordinator Resource Page section for Compliance Workbook and General Counsel Certification submission.*

After submission, you can expect a confirmation of the receipt of your workbook, and feedback from the Open Data Team on the status of your submission. If edits are required on your end, please do your best to ensure a response within 48 business hours, keeping in mind that submissions are being reviewed and consolidated from over 50 agencies and offices.

**Note:** You are welcome to submit your workbooks in advance of the July 13th deadline.

All questions can be routed to [NYCOpenData@cityhall.nyc.gov](mailto:NYCOpenData@cityhall.nyc.gov)

## Continued Engagement

### Introduction

The compliance process, while very important, is not where your role as an Open Data Coordinator ends. Maintaining your agency's open data inventory is an ongoing process powered by your coordination and engagement efforts within your agency throughout the year. Below you will find guidance on the relevant parts of your job as an ODC beyond the annual compliance reporting process.

### Resources

- [Technical Standards Manual](#)

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- Open Data Coordinator Resource Page:  
<https://opendata.cityofnewyork.us/open-data-coordinators/>

## Addressing public inquiries

NYC Open Data sees an average of 20,000 visits per week, with roughly 25 official inquiries submitted to the Open Data Team per week. Inquiries range from partnership requests to granular questions about agency data. It is very important that we address user feedback in a professional and timely fashion. Citywide standards call for all inquiries to be responded to in a two week period.

**NOTE:** The Open Data Help desk, where all public inquiries are submitted, is powered by a software tool called Screendoor. It is our recommendation that all Open Data Coordinators sign up for an account on Screendoor for faster access to public requests. Please send an email to [NYCOpenData@cityhall.nyc.gov](mailto:NYCOpenData@cityhall.nyc.gov) to have your account set up and for onboarding materials.

## Updating Datasets

Providing updates to your data is an important part of your role as an Open Data Coordinator. Please work with the Open Data Team to identify the best way to provide regular updates to your agency's data inventory. Most updates can be done by sending data to the Open Data Team via email, but there are many options for the delivery and updating of your agency's data, including automation. [See the DoITT Automation Guidelines here.](#)

## Automation

Dataset automation is the automatic updating of a dataset without human intervention. Automation helps reduce the time and resources required to update datasets, helps provide more consistent and reliable data to the public, and makes your job as an Open Data Coordinator easier.

Typically data is automated in two ways:

1. The Open Data Team is provided with a read-only view of your database from where data is pulled, and then work with your IT team to publish to the Open Data Portal (this is the preferred method of automation).
2. Your agency drops files on an FTP server which are picked up by the Open Data Team and published on the Open Data Portal.

If you are interested in automating a dataset, please reach out to the Open Data Team to discuss further. [See the DoITT Automation Guidelines here.](#)

## Public Engagement

As mentioned earlier in this section, NYC Open Data sees an average of 20,000 users to the site per week. Companies, nonprofits, students, advocates, the media and other City staff use the

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2,000+ data assets published on NYC Open Data every day. This number continues to grow, and the Open Data Team is committed to growing our engagements with the public through our event series, *Learn about NYC* at [Civic Hall](#), our annual production of [Open Data Week](#), our new digital [Project Gallery](#), marketing campaigns and through the exploration of partnerships and community workshops and trainings. Open Data is a core part of New York City's Open Government and NYC Democracy strategy. Proactive engagement with the community is a responsibility of every Open Data Coordinator and agency. To help strengthen our citywide civic engagement, the 2018 compliance workbook lists a number of possible civic engagement opportunities for your agency to take part in, with at least three civic engagements required by each agency between September 15, 2018 - September 15, 2019.