



**OFFICE OF LABOR
STANDARDS ENFORCEMENT**
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Data & Transparency Workshop

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September 26, 2017
Paid Sick Days Convening, Washington D.C.

Purpose of the Presentation

- **Define terms**
- **Overview of data collection and reporting methods in SF & NYC**
- **Discuss best practices when developing and building a data collection system**
- **Identify cost-efficient ways to collect data for under-resourced jurisdictions**
- **Lessons learned**

Using Data Efficiently

- **Answering questions with statistical support**
- **Evaluating the Law's impact on jurisdiction**
- **Informing agency outreach and enforcement efforts**
- **Case management and staff performance evaluation**

NYC Case Management

	April 1, 2014 – September 22, 2017
Number of Complaints Received	1,302
Number of Open Investigations	237
Number of Notices of Violation Issued	72
Number of Trials Held	2
Number of Investigations Closed	1,101
Number of Cases Resolved Through Settlement	743
Number of Complaints Not Substantiated	86
Number of Cases “Administratively Closed”	274
Average Time to Resolve Complaints (days)	106
Amount of Fines Assessed	\$ 1,848,580.30
Amount of Restitution to Employees	\$ 4,204,976.73
Total Amount of Fines and Restitution	\$ 6,053,557.03
Number of Employees Receiving Restitution	18,207

NYC Dashboard

Paid Sick Leave Dashboard	July '17	Aug. '17	September '17	Total: 4/1/14-9/22/17
Number of Complaints Received	17	42	14	1,302
Number of Open Cases	243	245	237	237
Number of Notices of Violation Issued	9	8	2	72
Number of Trials Held	0	0	0	2
Number of Investigations Closed	21	43	14	1,101
Number of Cases Resolved Through Settlement	16	25	11	743
Number of Complaints Not Substantiated	0	1	0	86
Number of Complaints "Administratively Closed"	5	18	3	274
Average Time to Resolve Complaints (days)	264	326	316	106
Amount of Fines Assessed	\$ 39,190.22	\$ 50,862.40	\$ 17,932.00	\$ 1,848,580.30
Amount of Restitution to Employees	\$ 73,046.82	\$ 215,346.54	\$ 89,199.75	\$ 4,204,976.73
Total Amount of Fines and Restitution	\$ 112,237.04	\$ 266,208.94	\$ 107,131.75	\$ 6,053,557.03
Number of Employees Receiving Restitution	154	562	166	18,207
Retaliation Cases	10%	19%	20%	32%

NYC Case Mgmt Database/Investigation Workflow

- Web app built by Ext. Consultant
- Intake Info
- Case contacts
- Activity Summary
- Payment Tracking happens in another system
- Form Letters? No.
- Reports – pre-set

The screenshot displays the 'Mediation/Investigation' workflow interface. At the top, there is a navigation bar with tabs for Summary, Activity Summary, Workflow (selected), Activities, ASI, ASIT, Contacts, Documents, and Address. Below the navigation bar, there is a 'Back' link and a 'Back to Workflow List' link. The main content area shows a record ID of '0638-2015-PSLD' and fields for 'Business/Employer:' and 'Complainant:'. A 'Submit' button is visible. The 'Workflow Tasks' section lists various tasks such as Mediation, Investigation and Research, Hearing - NOH Drafting, Compliance Conference, Hearing Process, and Close. The 'Assigned To' field is set to 'Choose', and the 'Assigned Date' is set to '08/15/2016'. A dropdown menu is open, showing a list of tasks including 'Assigned to Attorney', 'Assigned to Investigator', 'Awaiting Employer Response', 'Compliance Conference Scheduled', 'Document Demand(s) Served', 'Employee(s) Interviewed', 'Investigation Active', 'Investigation Complete', 'Investigation on Hold', 'Pending Assignment', 'Pending Employee Response', 'Proof of Restitution Payment Received', 'Report Approved', 'Research Completed (Report Writing)', 'Second Written Request for Records', 'Site Visit(s) Conducted', and 'Subpoena(s) Served'. The footer of the page includes the copyright notice '© 2016 - NYC Department of Consumer Affairs' and the version number 'version - 2.2.0.3 (DEV)'.

OLSE Database

- Web app built by SF Dept. of Tech
- Claim overview
- Case contacts
- Activity Sheet
- Payment Tracking
- Form Letters
- Reports

[<< Home](#)

Intake #HCSO-000 Test Case

✓ Case Record HCSO-000 has been updated.

Save

Delete Case

Claim

Business

Business Contact

Claimant

Activity Sheet

Payment Summary

Create new activity

Activity Date *

09/14/2016

E.g., 09/14/2016

Assigned Compliance Officer

Linshao Chin

Case Status

- None -

Activity Type

Correspondence

Activity Description

NOPV Letter

NOPV Letter

NOPV Questions

NOPV Proof of Service

NOV Non-Cooperation

NOV Proof of Service

DOV Non-Cooperation

DOV

DOV Proof of Service

Time Spent in hours *

0.00

Send Email Notification in X Days

Recurring reminder?

Reminder End Date

09/14/2016

E.g., 09/14/2016

Notification Message

CC additional staff

Email addresses are separated by space, comma, or semi-colon.

Attach files

Add a new file

No file chosen

Files must be less than 2 MB.

Allowed file types: txt pdf doc docx xls xlsx bmp jpeg gif jpg html htm.

Reporting

Standard Reports

- Cases by law, compliance officer, case status
- Cases opened / closed for given period
- Restitution and penalties assessed / collected for given period

Full data download

- Case detail
- Payment details

Roll-Out Process

- **Structured staff involvement in development process**
- **Staff trainings and feedback**
 - Agree on field definitions
 - Identify bugs; accommodate reasonable feedback
 - End user support
- **Consider: what will be useful to compliance staff?**
 - Auto-generate letters



Setting up Data without an IT Team

- You can do this in Excel
- Create a process to identify what you need to capture
- Options for capturing data
- Plan for data aggregation
- Back up!
- Consider who has access / permissions



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Lessons Learned

- **Get comfortable – it's going to be a bumpy road**
- **Plan for flexibility**
- **Consider options for designing a system**

A wide-angle photograph of the Golden Gate Bridge in San Francisco, showing the red-orange towers and suspension cables against a clear blue sky and the bay.

City & County of San Francisco
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