Agency Open Data Sharing Plan

This plan is adopted by Department of Financial Institutions pursuant to the Open Data Policy established by the Office of the Chief Information Officer (OCIO), and is intended to satisfy the requirements of applicable statutes, including 43.105.351.

This plan is adopted under Strategy 4-1-8 of the agency's strategic plan: Increase online public access to disclosable public records.

Purpose

This plan fosters secure and responsible data sharing to advance the agency mission and empower organizations and individuals to add value to our communities. The plan encompasses sharing publically disclosable, non-confidential data to promote a healthy financial services industry and to protect consumers.

Commitments

The agency commits to the following priorities, specific actions, and measures in the twelve months following the adoption date of this Plan:

1. **Incorporate Public Access to Disclosable Data When Implementing, Operating, or Updating Information Systems.**

   DFI will take the following actions on an on-going basis:

   - Maintain an inventory of agency databases, attached to this plan, which incorporates provision for electronic public access.
   - Explore how to use DFI's Enterprise Content Management system to:
     - Proactively publish approved category one data and documents.
     - Implement safeguards to prevent accidental disclosure of non-disclosable data and documents.
   - Continue to operate the DFI Online License Verification System.

   Resources from the Regulatory Projects Coordinator's Office and Information Services are dedicated on an intermittent basis to the Open Data Initiative.

2. **Develop and Employ Methods to Share Data Across Agency Boundaries.**

   The agency will maintain records management policies and procedures describing staff roles and responsibilities to manage data, including open data, or specific data sets.

   When approved, the agency will continue to share data with organizations and the public to promote transparent government and advance the agency mission.

   The agency shares data with the public and authorized organizations. Some of this data is not necessarily considered "Open Data" and may be considered "Unstructured Data".   For example, the agency shares its annual report on regulated industries with the Legislature and the Governor's Office. The report covers industry trends, regulatory actions, and rule making. It is also available on DFI's Internet site.   Please see Attachment A for DFI data published to the public.

3. **Develop Processes to Determine Which Information the Public Most Wants and Needs.**

   - On a semi-annual basis, the Program Managers and Executive Team will check for new document types and structured data that could be of interest to the public. This action item is consistent with the Public Records Act.
   - The agency will publish blogs and RSS feeds announcing educational materials and initiatives available to the public.
   - The Regulatory Projects Coordinator's Office (RPC) will lead the agency's open data sharing activities with support from all program areas. The RPC will identify trends in public disclosure requests and proactively share commonly requested data where feasible.
   - DFI will review hit counts on data published on its Website to identify public interest and make plans to share that data as appropriate.

4. **Develop and Employ Methods to Readily Withhold or Mask Non-Disclosable Data.**

   The DFI Public Records Unit (PRU), a centralized agency service, redacts and approves all responses to public disclosure requests.

   The RPC, with PRU assistance and Program area concurrence, screens and approves all data sets and document types recommended for open data sharing. Approval decisions will apply security, privacy, and policy related criteria.

The agency will automatically apply a security category to document types in the Enterprise Content Management System. This will support proactive data sharing where approved, and help avoid accidental or unauthorized disclosure of confidential data.

5. **Develop and Employ Technical Mechanisms for Posting Open Data.**

   DFI will use a number of methods to share publically disclosable data, including:

   - DFI Licensing Lookup Service
   - Enterprise Content Management system
   - Agency Website
   - GovDelivery
   - Secretary of State's Website – Corporations Search
   - Business License Services – Department of Revenue

Attachment A

Listed below is data DFI currently publishes to the public through the DFI website or other portals. Some of this data is not necessarily considered "Open Data" and may be considered "Unstructured Data".

1. Listing of State Chartered Banks - http://www.dfi.wa.gov/banks/who-we-regulate

2. Listing of State Chartered Credit Unions - http://www.dfi.wa.gov/credit-unions/who-we-regulate
3. Payday Lending Data - http://www.dfi.wa.gov/reports/payday-lending-reports

4. Licensed Payday Lending Locations - http://wadfi.maps.arcgis.com/home/webmap/viewer.html?webmap=b5bb697785db455f9e5c01ba1ca48010

5. DFI Annual Report Data - http://www.dfi.wa.gov/reports/annual-reports

6. Licensee Database - https://fortress.wa.gov/dfi/webapp/dfi/EFiling/LicenseLookUp/

7. Unlicensed Securities Companies - http://www.dfi.wa.gov/news/alerts/securities-fraud-alerts

8. Consumer alerts and industry notices – www.dfi.wa.gov , RSS feeds, GovDelivery

9. Industry specific newsletters – www.dfi.wa.gov and GovDelivery

10. Enforcement and administrative orders – www.dfi.wa.gov

11. Rulemaking – www.dfi.wa.gov and GovDelivery

12. Industry guidance and interpretive statements – www.dfi.wa.gov and GovDelivery

13. Industry manuals – www.dfi.wa.gov

14. Forms for chartering and licensing purposes, forms to request public records, and forms to file

    complaints – www.dfi.wa.gov

15. Links to provide information on national licensing, registration, and chartering databases –

    www.dfi.wa.gov

New data sets and documents DFI will evaluate for sharing include:

- Franchise Disclosure Documents
- Securities Exemption Filings
- Securities Registration Filings