

ESD SUBJECT MATTER LIST

(As of November 7, 2017)

PLEASE NOTE: ESD MAY DETERMINE THAT CERTAIN DOCUMENTS LISTED BELOW ARE EXEMPT FROM DISCLOSURE PURSUANT TO THE FREEDOM OF INFORMATION LAW (PUBLIC OFFICERS LAW, SECTION 84, ET SEQ.)

Committee on Open Government: <http://www.dos.ny.gov/coog/>

Contract and Project Administration

Executed Procurement Contracts
Executed Grant Agreements
Payments for Procurement Contracts and Grant Agreements
Purchase Requests/Purchase Orders
Bid Proposal Documents (and other procurement records)
Procurement Assistance Unit Annual Report Files

Division of Economic Analysis and Research

Library Reports
Administrative Files
Serials Database Records
Purchasing Records
Interlibrary Loan Files
Records Inventory Files
Records Disposition Authorization Files
Records Management (Storage and Disposal Files)
Database Searching Records

Division of Minority and Women's Business Development

Certification Applications
Compliance and Policy Correspondence
Annual Reports
Utilization Records
Marketing and Promotional Materials
2016 Disparity Study

Design and Construction

Architectural and Engineering Plans, Specifications, Studies and Reports
Architects and Engineers Certification Letters of Work Performed
State Environmental Quality Review Act ("SEQRA") Review Documents for Special Projects and Grant/Loan Projects
Phase I Environmental Site Assessments for Loan Projects
State Historic Preservation Office ("SHPO") Review Documents for Special Projects and Grant/Loan Projects
Master Plans and Strategic Plans for Projects (throughout the State)
State Agency Environmental Audit and Toxic Release Inventory Compliance Documents
Smart Growth Impact Statements

Entrepreneurial Assistance Program ("EAP")

EAP Standard Applications/ESD Application for Financing and Application Review Checklist
Board Materials

Grant Disbursement Agreements
General Correspondence (including award letters, non-compliance letters and written requests for information)
Program Reports
Reports to the Governor and the State Legislature
Database Program Reports
Program Payment Requisitions

Environmental Management Investment Group

Applicant/Application Information
Performance Measures
Contracts and Contract Information
Project Costs (for all funding awards since program was created in 1988)
Information on Individual Funding Cycles

ESD Subsidiaries

Transaction Documents, Including Leases, Declarations, Development Agreements
Litigation Documents (including valuation appraisals)
Architectural Drawings
Financial Records

Finance

Employee Timesheet Folders
ADP Pay-Registers, Quarterly Registers/941's and W-2 copies
Workers Comp Audit Reports
NYS Employees Retirement System Records and Payments
NYS Unemployment Records and Payments
Employee Expense Reports
Employee Credit Union, United Way and Deferred Comp Remittance Reports
Employee Pay Information
Petty Cash Records
Audited Financial Statements
Annual Board Approved Operating Budget
OSC Paris Budget and Financial Plan Report
NYS Voluntary Defined Contribution Plan Records and Payments
NYS Employee Health Insurance Bills and Payments
NYS Disability Insurance Bills and Payments
Flexible Spending Account (FSA) and Dependent Care (DCAP) Records and Claim Payments
Annual Certification of Employees on Payroll Records
Citibank Corp Card Bills and Payments
W-9 Vendor Tax Forms
1099 Report

Fiscal Management

Employee Travel Files
General Files (Records to support general agency fiscal management, budget preparation, and internal fiscal policies and procedures)
Fiscal Status Reports
Budget Documents and Records
Accounting Files
Accounts Payable Tracing Records (Non-Agency)

Receipts and Payment History (Non-Agency)
Accounts Payable Tracking Records (Agency)
Purchasing Records and Documents
Telecommunications Records

Global NY

Budget Files for Foreign Office Contracts and Administered Programs
Office Files for Foreign Offices
Export Marketing Assistance Service Files
Trade Show Files
Trade Missions
General Files (including announcements of upcoming Global NY trade show missions and other trade promotion opportunities)

Human Resources

Employee Personnel Folders
Employee Medical Folders
Workers Compensation Files
Tuition Reimbursement Files
Vendor Invoices/Payment Authorizations
Active Vendor Service Information/Agreements
Benefit Plan Documents/Summary Plan Descriptions
Personnel Policies and Procedures/EE Handbook
Personnel History Files
Civil Service Eligible List and Reports of Canvass

Industrial Effectiveness Program

Program Files, including grant applications, progress reports and contracts

Legal

Internal Memoranda
Closing Documents for all ESD Real Estate Related Transactions
Minutes and Directors' Materials for ESD, JDA and ESD Subsidiaries
ESD, JDA and ESD Subsidiary By-Laws and Certificates of Incorporation
Bond Issuance Materials
FOIL Requests and Appeals and Responses Thereto
Retainer Agreements for Outside Counsel
Litigation Documents (relating to litigation and administrative proceedings, including employment matters)
PACB Related Documents Interagency Agreements
General Project Plans and Related Documents
Program Regulations and Guidelines
NYSDED Contract Files
Legislative Files
I♥NY and Trademark Related Files
MWBE Appeal Files
Tax Credit/Regulation Files
Internal Control Assessment Files

Linked Deposit Program

Data on Applicants and Participants

Loans and Grants

Correspondence Related to Offers of ESD Assistance
Quarterly Reports to Legislation per Legislation
Annual Reports to the Governor and Certain Legislative Chairpersons per Legislation
Signed Offer Letters
Applications
Background Information Gathered During Application Review
Award Letters to Grantees/Borrowers
Directors Materials
Public Hearing Documents
PACB Related Documents
Grant Disbursement Agreements
Loan Agreements
Invoices/Closing Documentation
Project Certifications
Confidentiality Agreements
Program Guidelines

Marketing, Advertising and Tourism

Administrative Files
Marketing Files for ESD
Advertising
Business Marketing Files (Brochures, Budget, Plans, etc.)
Earned Media/Public Relations Files
Web Site, Digital Media and 1-800-ILOVE-NY/800-CALL-NYS Records
Publications/Printed Collateral Files
Segment Tourism Marketing Initiatives Files
Tourism Industry Funding Files
Licensing Files

Motion Pictures and TV Development

Administrative Files
Location Files
Facilities and Services Files
Film and Post Production Tax Credit Files
Travel and Event Documents
Marketing, Advertising and Communication Files
Industry Report and Research Files

Public Affairs

Press Releases
Media Advisories
Meeting Agendas
Newsletters
Press Briefings
Broadcast Messages
Public Agendas
Public Memos

Publications Division – Graphic Design Unit

Project Files
Formal Bid Project Files

Publications Division – Photography Unit

Governor Photo Assignments
ESD Photo Assignments
Lab Orders
Slide Orders
Tourism Stock Library
Negative Library

Small Business Division

Administrative Files
Small Business Advisory Board Minutes
Small Business Interagency Task Force Minutes
Small Business Awards and Conferences
Programmatic Information (contractual materials and documents and reporting documents)

Small Business Environmental Ombudsman *(please note Economic Development Law §137 concerning confidentiality)*

Administrative Files
Annual Reports
Client Contact Files (case materials, databases, SBEO-related seminars, workshops, conferences, meetings, etc., and Clean Air Act impact related documents)
Project Work Files (EPA Grants, Outreach)

Strategic Business Division

Records on Industrial Sites, Buildings and Shovel-Ready Sites
Administrative Files
Key Account Files

Training and Professional Development

Training Course, Workshop and Seminar Files

Treasury

Investment Confirms/ Tickets
Investment Letters
Annual Investment Reports Official Statements for Bonds
Bond Related Documents
Bond Arbitrage Documents and Computations
SWAP Reports
JDA Warrants
JDA ACH Debit Transfers
Custodial Account Statements