**ESD SUBJECT MATTER LIST**  
(As of December 4, 2019)

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/](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)  
Annual Procurement Reports

**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)

**Division of Minority and Women’s Business Development**
Certification Applications  
Compliance and Policy Records and Correspondence  
Annual Reports  
Utilization Records  
Marketing Outreach and Promotional Materials  
Disparity Studies

**Planning, Environmental Review and Architecture**
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

**Entrepreneurship Assistance Centers (“EAC”)**
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
Contracts and Contract Information
Project Costs (for all funding awards since program was created in 1988)

**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**
Office and Budget Files for Foreign Office Contracts and Administered Programs
Export Marketing Assistance Service (EMAS) Files
Global NY State Trade Expansion Program (STEP) Files
Global NY Grant Fund Program Files
General Files and Other (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
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
Reasonable Accommodations
Telecommuter Work Plans
Employment Verification: I-9 Form Documentation
Job Description Database
Position Data Files
Examination Planning Files
Training Course, Workshop and Seminar Files/Other Educational Assistance Records
Employer Relations (counseling/discipline files)

**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
♥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
ESD Universal 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
Segment Tourism Marketing Initiatives Files
Tourism Industry Support Files
Licensing Files
International Tourism 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/Printed Collateral 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 (Advisory Board is inactive, but files are still maintained)
Small Business Interagency Task Force Minutes (Task Force is inactive, but files are still maintained)
Small Business Awards and Conferences (Program is inactive, but files are still maintained)
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)

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
- Investments
  - Regulatory Reports
  - Custody Statements with Holdings and Transactions
- Bonds/Debt
  - Regulatory Reports
  - Issuance Documents
  - Interest Rate Swaps Reports
- JDA Warrants