

ESD SUBJECT MATTER LIST

(As of November 26, 2018)

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) 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 Correspondence

Annual Reports

Utilization Records

Marketing and Promotional Materials

2016 Disparity Study

Planning & Environmental Review

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
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

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
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
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
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 (*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
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- Bonds/Debt
 - Regulatory Reports
 - Issuance Documents
 - Interest Rate Swaps Reports
- JDA Warrants