

## **ESD SUBJECT MATTER LIST**

(As of March 22, 2023)

**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 Administration and Office of Contractor & Supplier Diversity**

Executed Procurement Contracts and Executed Grant Agreements  
Payments for Procurement Contracts and Grant Agreements  
Purchase Requests/Purchase Orders  
Bid Proposal Documents (and other procurement records)  
Annual Procurement Reports  
MWBE/SDVOB Goal Information  
MWBE/SDVOB Project-Specific Compliance Data  
Quarterly MWBE/SDVOB Compliance Reports MWBE/SDVOB Utilization Plans /Addition Requests

### **Division of Economic Analysis and Research**

Library Reports  
Administrative Files  
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  
NYS MWBE Directory of Certified Firms

### **Economic Incentives – Tax Benefit Programs**

Film and Post-Production Tax Credit Applications  
NYS Musical and Theatrical Tax Credit Applications  
NYC Musical and Theatrical Tax Credit Applications  
NYS Digital Game Development Tax Credit Applications  
Commercial Tax Credit Applications  
Excelsior Jobs Program Applications  
Jobs Retention Program Applications  
START-UP NY Applications  
Employee Training Incentive Program Applications  
Life Sciences Tax Credit Program Applications  
Restaurant Return-To-Work Tax Credit Applications

### **Entrepreneurship Assistance Centers ("EAC")**

Response for Applications (RFA) Proposals and RFAs Responses  
Board Materials Grant Disbursement Agreements  
General Correspondence (including award letters, non-compliance letters and written requests for information)  
Program Reports  
Annual Report to the Governor and the State Legislature  
Database Program Reports  
Program Payment Requisitions

### **Environmental Investment Program (EIP)**

Summary of Awards (since 1996)  
Project Summaries of Completed Awards (since 1994)

### **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  
JP Morgan/Citibank Corp Card Bills and Payments  
W-9 Vendor Tax Forms  
1099 Report

### **Fiscal Management**

Temporary Employee Timesheets  
Employee Expense Reports  
JP Morgan Corporate and Procurement Credit Card Payments  
Fiscal Status Reports  
Budget Documents and Reports  
Accounting Documents and Records  
Accounts Payable Records – Agency  
Accounts Receivable Records – Agency  
Procurement Records- Agency  
Contract Management (to include bid solicitations, bid process and awards)

## **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**

Personnel Folders/Personnel History Files  
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  
Civil Service Eligible List and Reports of Canvass  
Reasonable Accommodations  
Severance Agreements  
Telecommuter Agreement & 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  
Performance/Annual Reviews  
Employer Relations (counseling/discipline files)  
DocuSign Mailbox Folder (various letters, memos, forms, vouchers with signatures via DocuSign)  
Organizational Charts  
Probationary Reports  
Broadcast Messages (related to Human Resources)

## **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  
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  
Confidentiality Agreements

## **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 – projects administered by Loans and Grants  
Confidentiality Agreements Program Guidelines – programs administered by Loans and Grants

## **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  
Experiential/ Event Marketing Files

## **Motion Pictures and TV Development**

Administrative Files  
Location Files  
Facilities and Services Files  
Travel and Event Documents  
Marketing, Advertising and Communication Files  
Industry Report and Research Files

## **Planning, Environmental Review and Architecture**

Architectural and Engineering Plans, Specifications, Studies and Reports  
Design Guideline Compliance Submissions  
State Environmental Quality Review Act (“SEQRA”) Review Documents for Special Projects and Grant/Loan Projects  
State Historic Preservation Office (“SHPO”) Review Documents for Special Projects and Grant/Loan Projects  
State Agency Environmental Audit and Toxic Release Inventory Compliance Documents  
Smart Growth Impact Statements

## **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 and Tourism Photo Assignments  
Lab & Print Orders  
Photo Database and Library for Tourism and ESD  
Video Database and Library for Tourism and ESD  
Tourism Stock 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**

Administrative Files  
Annual Reports  
Outreach Efforts (SBEO-related seminars, workshops, conferences, meetings, and Clean Air Act related documents)

### **Strategic Business Division**

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

### **Training and Professional Development**

Training Course, Workshop and Seminar Files  
Mandated Training Compliance Reports

### **Treasury**

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