

## **ESD SUBJECT MATTER LIST**

(As of March 12, 2021)

**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  
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 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  
NYS MWBE Directory of Certified Firms

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

Film and Post-Production Tax Credit Applications  
Musical and Theatrical 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

### **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)  
Wellness Screening Database  
DocuSign Mailbox Folder (various letters, memos, forms, vouchers with signatures via DocuSign)

## **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  
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

**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  
Phase I Environmental Site Assessments for 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 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