Office of the
New York State Comptroller
Thomas P. DiNapoli

List of Records Maintained by the
Office of the New York State Comptroller
Pursuant to the
Freedom of Information Law
(Public Officers Law, §87 (3)(c))

May 2016

Records Access Officer
15th Floor
110 State Street
Albany, NY 12236
EXECUTIVE

Contact data for government officials, businesses and other external parties with whom OSC does business
Emergency contact data for OSC employees

OFFICE OF COMMUNICATIONS

Press Releases
Freedom of Information Law requests
Newspaper Clips
Brochures
Newsletters

DIVISION OF LEGAL SERVICES

Securities Litigation and Corporate Governance Unit:
Mitchell Lama Housing Project Mortgage Buyout or Modification Request and Dispositions
Public Housing Project Privatization Requests and Dispositions
Securities Litigation Files
Corporate Governance Legal Files

Local Government, School Accountability and Debt Management Unit:
Published and Unpublished Advisory Opinions of OSC
Special District Applications and Related Materials
Fire District Applications
Adirondack Park Approvals
Debt Exclusions
Approvals of Negotiated Sales of Discount Bonds
Approvals of Small City School Districts Exceeding Debt Limits
Sales Tax Agreement Approval
Codes of Ethics (up to 1991)
Litigation Files
New York State General Obligation Bond and Note Transcript
New York State Local Government Assistance Corporation (LGAC) Bond Transcripts
Comptroller's approvals of municipal refunds and related documents
Comptroller's letter commenting on applications to the Public Authorities Control Board (PACB)

Legislation and Special Projects Unit:
Files on bills introduced in the Legislature
Files on Regulations Promulgated
**House Counsel Unit:**
- FOIL Compliance Officer files
- Records Appeals Officer's FOIL files
- Employee disciplinary matters
- Americans with Disabilities matters
- Sexual Harassment Prevention Training
- Other Employee matters
- 529 College Savings
- Court of Claims Act payment matters
- Public Officers Law payment matters
- Public Lands Law payment matters
- Litigation files
- Subpoena files
- Writs and other Judgment Enforcement papers
- Procurement and Contracting files
- Oil Spill Fund files
- Condo Board files

**State Finance Unit:**
- Advisory Opinions for the Office of Operations and Supporting Documentation
- Abandoned Property Claims and Supporting Documentation
- Office of Unclaimed Funds Administrative Hearings Files
- Litigation Files for the Office of Operations
- Contract Award Protest Determinations and Supporting Documentation
- Advisory Opinions for Division of State Government Accountability and Supporting Documentation
- Litigation Files for the Division of State Government Accountability

**Retirement Unit:**
- Retirement System Litigation Files
- Legal Memoranda and Opinions

**Pension Investments Unit:**
- Contracts Investment recommendation memos
- Private Placement Memos
- Legal Memoranda and Opinions

**Ethics Unit:**
- Ethics training materials
- Ethics opinions
- Privacy Committee materials
Office of Internal Control:
Triennial Internal Control Audit of the Office of the State Comptroller
Annual Internal Control Certifications and exception reports
Internal Control Legislation
Internal Control Training and Education materials
Executive order and policy files, Agency Policies
Division and Office Descriptions for the General Administrative Manual

CHIEF INFORMATION OFFICE
Information Security
Information Technology

STRATEGIC PLANNING OFFICE
Strategic Planning General Files
Strategic Planning Training
Miscellaneous Executive Deputy Staff files (job description, personnel files, staff training, and purchasing information)

Enterprise Management:
Miscellaneous administrative files; performance measures, internal communications and privacy committees.

Information Security Office:
Enterprise Security Architecture (ESA) -- OSC's Strategic information security document
ESA Information Protection Manual -- A comprehensive set of enterprise standards for information protection
Vendor Contracts and project documents
Training Manuals and Presentations
Intranet Page materials
Risk and vulnerability documents -- Redacted assessment documents, remediation workplans and results
Software Security reviews -- Security analysis of software that business and IT units propose to purchase
Enterprise Systems Security Requirements -- Comprehensive system design and best practice standards and guidelines
Planning and budget documents -- Annual documents

HUMAN RESOURCES AND ADMINISTRATION
Administration:
Emergency Preparedness Records
**Finance Office:**

Agency Merchandise Vouchers
Agency Travel Vouchers
Agency Contracts and Contract Vouchers
Agency Journal Vouchers
Fixed Cost Appropriation Vouchers
Program Expenditure Report
Program Encumbrance Reports – current year
Agency Budget Certificates
Agency Payrolls (most current)
Agency Budget Request
State Records Retention Transfer List
Minority/Women-Owned Business Report
Agency Purchase Requests and Purchase Orders

**Bureau of Management Services:**

Hudson-Green Parking List
NY State ID card database
NY State ID card applications
Certified mailing records
Space and Telephone Project Files
Building Lease Files
110 State St. Condominium Board of Managers’ Records
Building repair and service requests
Health and Safety Records
Duplication Service Job Files

**OHR:**

Employee Handbook
HR Portion of General Admin Manual

**General Records:**

2266 Request to Fill
Applicant Tracking Logs
Arbitration Awards
Arbitration Files (current & historical)
BDA
Canvass files
Classification files (current & historical)
Confidential Medical
Confidential Agency Roster
Discipline Files (current & historical)
Duties Statements
Employee Engagement Programs Records
Employee Organization Leave Files
Examination files (current & historical)
Future Forward Internship Academy Records
Grievance Files (current & historical)
Health Insurance Benefits information and employee records
I-9 & documentation
Improper Practice Charge Files (current & historical)
Income Protection Plan information and employee records
Interview and Selection Documents
Labor Management Meeting Minutes
List of employees hired under section 211 & 212
M/C Life Insurance information and employee records
M/C Merit Awards
M/C Vacation exchange
Management Confidential Designation Files
OTT Approval
Out-of-Title Work Files
Payroll registers/microfiche back to 1981
Performance Evaluation Appeals Files
Performance Evaluations
Personnel History Folders
Policy Makers
Posting files
Probation Tracking Logs
Recruitment files (current & historical)
Service Awards List Per Year
Telecommuting Agreements
Time records for all employees
Traineeship Tracking Logs
Training Records by Individual
Workers' Compensation files

**Training Unit:**
Training Records by Individual
Training Materials
Service Awards Recipients List per Year
Tuition Reimbursement applications
Class Evaluations

**Employee Health Nurse:**
CPR/AED certification and CPR/AED1st Aid class attendance lists
Wellness program rosters
EHS Employee Health Records (Employee Medical Records)
Ergonomic assessment records for employee assessments and training
Flu administration records
Publications:
Employee Training and Staff Development Information

M/WBE Programs:
Directory of Frequently Purchased Commodities and Services by New York Agencies
Minority and Women Owned Business Enterprise (M/WBE) Goal

Program Management Office:
Miscellaneous OSC Project files; including training, internal consulting, business analysis and
project management, etc.
Project Summary and Detail Status Reports
Project Post Implementation Evaluation Review Reports (PIER)
IT Governance Support files
Intranet Files
NYS Forum presentations
International Institute of Business Analysis (IIBA) presentations, monthly treasurers’ report,
annual financial statement
Assistant Comptrollers’ Group Meeting materials and administrative files
Miscellaneous other office administrative files (staff training and personnel files, office
plots, monthly reports, purchasing information, budget files, etc.)

DIVISION OF RETIREMENT SERVICES

Retirement Comprehensive Annual Financial Report (CAFR available on line)
Individual Members’ File
Retirement System Legal Records (see Legal Svcs. Div)
Forms Master Catalog
Accounting Records
Employer Records

OPERATIONS

Bureau of Contracts:
Annual Emergency Construction Contracts Report
Annual Consultant Contracts Approved by Fiscal Year Report
Annual Prompt Contracting Report
Annual Procurement Stewardship Act Reports
Approved/Rejected Contracts
OSC Contract Management System (Additional Procurement Record Information)
OSC Contract Audit Module within the Statewide Financial System
VendRep Management System (Additional Procurement Record Information)
New York State VendRep System (Potentially additional Procurement Record Information)
User Manuals and Guides
G-Bulletins (Contracts)
The Guide to Financial Operations
Contract Reporter Exemption Request Access Database
Statewide Financial System (SFS) Data and Report Files

**Bureau of Accounting Operations:**

Statewide Financial System (SFS) Data and Report Files
Guide to Financial Operations
Statutory Certifications (e.g., Breast Cancer, Alzheimers research funds)
Certification to Budget Director of Capital Projects spending which is reimbursable from State General Obligation or Public Authority bonds
Quarterly-Governmental Funds Statement of Receipts by Major Revenue Source
Operational Advisories
Accounting transactions for Cash Receipts, Refunds to Appropriations, and Journal Entries
Monthly Tax Certifications from DTF Containing the Distribution of Tax Collections
Monthly Disposition Records Supporting the Amount of Tax Receipts Distributed to Other Government Units
State Appropriation Records
Budget Authorizations to Allocate, Segregate, Interchange, or Transfer State Appropriations
Federal Grant Awards and Related Reconciliations
Cash Management Improvement Act Annual Report of Interest Liability
State Bank Accounts and State Banking Services
Daily cash position for State investment and State cash flow
Investment of NYC Debt Service, Economic Development investments through Linked Deposit, Banking Development and State Charter programs

**Bureau of State Expenditures:**

Article 86 CPLF Annual Report
Travel Manual
Guide to Financial Operations and Advisories
Section 179(m) –SFL report on prompt payment interest paid/savedDirectory of Frequently Purchased Commodities and Services
1099 Reporting
Vendor File Maintenance and Enhancements
Offset Workbook (Liens)
Lien Docket
Comptroller’s Lien Account
Comptroller’s Escrow Account
Workers’ Compensation Board Data and Report Files
Department of Labor Unemployment Insurance Benefit Data and Report Files
Department of Taxation and Finance Data and Report Files
State Insurance Fund Data and Report Files
Intertrac Agency Contact Database
FOIL Response Tracking
Media Response Tracking
**Bureau of Financial Reporting and Oil Spill Remediation:**

Comprehensive Annual Financial Report (CAFR)
Financial Condition Report
Quarterly GAAP Financial Statements
Citizen’s Guide
State Accounting Policies Manual
Fund Classification Manual
Guide to Financial Operations related to BFROSR
Operational Advisories related to BFROSR
GAAP Closing Procedures Manual
Various Public Authority Reports
Debt Confirmations
Housing Debt Receivables
GAAP Financial Statements Work papers
Chapter 551 Functional Reporting
Five Year Comparative Financial Statements
Schedule of Expenditures of Federal Awards
Local Government Assistance Corporation GAAP Financial Statements
Oil Spill Fund Monthly and Annual Financial Statements
Annual Cash Basis Report on State Funds
Monthly Reports on Receipts and Disbursements (Cash Basis Report on State Funds)
Summary of Annual State Spending and Receipts
Any request for Oil Spill Fund information

**Office of Unclaimed Funds:**

Unclaimed Funds Processing System (all account records, claims and claims related images)
Public Access Unclaimed Funds Account Owners List (Comptroller's website)
Public Record of Unclaimed Funds Account Owners
Pre-1986 Abandoned Property Reports
Federal Tax Reporting Records

**State Payroll Services:**

Current Employee Records
Employee History Records
Payroll Reports
Deductions Reports
Agency Payroll Reports (Control D Reports)
Instruction Materials
Payroll Bulletins

**BUDGET AND POLICY ANALYSIS**

Annual Review of the Executive Budget
Annual Review of the Enacted Budget
Annual Report on Estimated Receipts and Disbursements
Periodic Fiscal Updates
Policy reports

All recent reports are available on the OSC Internet website under the Reports and Publications tab at the bottom right hand side of the home page, while older reports are available upon request.

Public Authority reporting through the Public Authority Reporting Information System.

Some public authority financial data is available on Open Book New York.

**Bureau of Debt Management with Office of Budget and Policy Analysis:**
Debt Issuance Approvals for certain public authorities, local governments and school districts
Debt Issuance Approval Policy Statement and Guidelines
Securities Coordinating Committee Forward Bond Issuance Calendars

**NY General Obligation Bonds:**
Monthly Bond Use Report
Monthly Bonds Authorized, Issued and Outstanding Report
Environmental Quality 86 Hazardous Waste Monthly Report
Clean Water/Clean Air Monthly Report
Annual and quarterly data submissions to OSC Bureau of Financial Reporting
Weekly Interest Rate Activity

**New York Local Government Assistance Corporation:**
Budget and Multi-Year Financial Plan and Quarterly Updates
Annual and Quarterly Investment Reports
Annual Procurement Report
Annual Report and Financial Statements
Monthly LGAC Swap Report
Weekly Interest Rate Activity Reports
Interest Rate Exchange Agreement Confirms Contracts
Public Authority Reporting Information System (PARIS) filings
Annual and quarterly data submissions to OSC Bureau of Financial Reporting
Chair Certificates
Financial Statements
Report on Internal Controls over Financial Reporting
Organization Chart
Board and Committee Meeting Agendas
Board Resolutions
Board and Committee Meeting Minutes
Mission Statement and Performance Measurement Report
By-Laws
Code of Ethics
Directors and Officers (listing)
Enabling Legislation
Lobbying Contacts Policy
Schedule of Debt

DIVISION OF STATE GOVERNMENT ACCOUNTABILITY

Audits of State Agencies & Authorities
Work Papers and Data Bases for Audits
Annual 1 yr. and 5 yr. List of Audits
Annual Report of Special Education Audits
Notes from new hire interviews

DIVISION OF LOCAL GOVERNMENT AND SCHOOL ACCOUNTABILITY

Audits and other service reports for local governmental entities and related work papers
Correspondence related to local governmental entities
Annual financial reports, independent CPA reports, electronic local government financial data, other financial documents and other information for local governmental entities
Schedules of distributions for Aid and Incentives for Municipalities (AIM) program (formerly known as General Purpose Local Government Aid)
Schedules of distributions from the Indigent Legal Services Fund (ILSF)
Local official mailing addresses and telephone numbers (Computer printout)
Research reports (local government issues) and background material
Publication listing and order form

Justice Court Fund:

Town and Village Justice Monthly Report
City Parking Surcharge Monthly Reports
Nassau County Traffic and Parking Violations Agency Monthly Reports
Suffolk County Traffic and Parking Violations Agency Monthly Reports
Buffalo Traffic Violations Agency Monthly Reports
DMV Administrative Adjudication Monthly Reports
Bingo and Games of chance License Fee Monthly Reports
Handbook for Town and Village Justices and Court Clerks
Quarterly Statements for Town and Villages Courts
Monthly Statements for Town and Village Courts
Quarterly Combined Statement for Counties
Monthly DMV Administrative Adjudication Statements
Monthly City Parking Surcharge Statements
Monthly Nassau County Traffic and Parking Violations Agency Statement
Various computerized reports for accounting and cross-reference of distributions
Correspondence to courts (delinquent report letters, court advisories)
Correspondence to town and village CFO's (accounts receivable follow up letters)
Annual justice court ranking report (revenues collected by town and village courts)
Refunds to Justice Courts
Payments to Municipalities
Annual Distribution to State Agency (Indigent Legal Services Fund (ILSF))

OFFICE OF THE STATE DEPUTY COMPTROLLER FOR NYC

OSDC Generated Reports- Economic and Budget Reports, and Associated Work papers (maintained for 4 years)
NYC Financial Plan Modifications and Documentation
Covered Organizations Reports and Financial Plans
City Comptroller Reports
Draft NYS and NYC Official Statements reviewed by OSDC
Proposed State Legislation reviewed by OSDC
Reports prepared by NYC’s Financial Information Service Agency (FISA)/IFMS
NYS Financial Reports (NYS Tax & Finance, State Budget, etc.)
General Monitoring Reports
Citywide Monitoring Reports and Information Agency Monitoring Reports
OMB and Other Mayoral Agency Reports

DIVISION OF PENSIONS, INVESTMENTS, AND CASH MANAGEMENT

Investment records
Investment contracts

INTERGOVERNMENTAL RELATIONS

Weekly reports
Itineraries
Constituent correspondence