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))

2022

Records Access Officer
15th Floor
110 State Street
Albany, NY 12236
OFFICE OF COMMUNICATIONS

Press Releases
Freedom of Information Law requests
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Published and Unpublished Advisory Opinions of OSC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, Budget and Policy:
Files on Bills Introduced in the Legislature
Files on Regulations Promulgated

House Counsel Unit:
FOIL Compliance Officer Files
529 College Savings Files
NY ABLE Files
Procurement and Contracting Files
Condo Board Files
Privacy Officer Files
Data Sharing Agreements and MOUs
Procurement Lobbying Correspondence
Legal Memoranda and Opinions

**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
Contract Award Protest Determinations and Supporting Documentation

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

**Pension Investments Unit:**
Contracts Investment Recommendation Memos
Private Placement Memo
Legal Memoranda and Opinions

**Ethics Unit:**
Ethics Training Materials
Ethics Opinions
FOIL Appeal Files

**State Audit and Litigation:**
Litigation Files for the Office of Operations
Litigation Files for the Division of State Government Accountability
Advisory Opinions for the Division of State Government Accountability and Supporting Documentation
Employee Disciplinary Matters
Americans with Disabilities Matters
Sexual Harassment Prevention Training
Other Employee Matters
Court of Claims Act Payment Matters
Public Officers Law Payment Matters
Public Lands Law Payment Matters
Other Litigation Files
Subpoena Files
Writs and Other Judgment Enforcement Papers
Oil Spill Fund Files

**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 Office:
Enterprise Security Architecture (ESA) – OSC’s Strategic Information Security Document
OSC Information Security Policies and Standards – Comprehensive Set of Enterprise Policies and
Standards for Information Protection
Vendor Contracts and Project Documents
Security Training Manuals and Presentations
Intranet Page Materials on Information Security
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
Planning and Budget Documents – Annual Documents
Cloud Security Documentation

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 Plans,
Monthly Reports, Purchasing Information, Budget Files, etc.)

STRATEGIC PLANNING OFFICE

Strategic Planning General Files
Strategic Planning Training
Miscellaneous Executive Deputy Staff Files (Job Descriptions, Personnel Files, Staff Training,
and Purchasing Information)

Enterprise Management:
Miscellaneous Administrative Files
Performance Measures
Internal Communications
Privacy Committees

DIVISION OF HUMAN RESOURCES

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
- Class Evaluations
- Tailored Training Programs
- Mentoring Program Information and Lists of Mentor/Protégés
- Recognition Program Information and Lists of Recipients
- Records of Agency CPAs
- Mediation Agreements
- Leadership Development Program Applications
- Signed Coaching Agreements

**Employee Health Nurse:**
- CPR/AED Certification and CPR/AED 1st 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

**FINANCE AND ADMINISTRATION (F&A)**

**F&A Executive:**
- 110 State St. Condominium Board of Managers’ Records

**Emergency Preparedness & Internal Communications (EPIC):**
- 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
Building Repair and Service Requests
Health and Safety Records
Duplication Service Job Files

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

**DIVISION OF RETIREMENT SERVICES**
Retirement Annual Comprehensive Financial Report (ACFR Available Online)
Individual Members’ File
Retirement System Legal Records (See Legal Services Division)
Forms Master Catalog
Catalog of All Publications and Web Content
Accounting Records
Employer Records

**OPERATIONS**

**Bureau of Contracts:**
Annual Prompt Contracting Report
Annual Procurement Stewardship Act Reports
  - Active Agency Contracts
  - OSC Reviewed Contracts
  - Agency Purchases from Centralized Contracts
  - Annual Employment Reports for Consultant Contracts
  - Bid Protest Determinations
Contracts by the Numbers Report
OSC Contract Audit Module within the Statewide Financial System (SFS)
VendRep Management System (Additional Procurement Record Information)
New York State VendRep System (Potentially Additional Procurement Record Information)
Contract and Procurement User Manuals and Guides
The Guide to Financial Operations (Chapter XI) and Contract Advisories
SFS Data and Report Files
Electronic Document Submission System (EDSS)/Electronic Document Storage (EDOCS)
Contract Submission System (CSS)
Bid Protest Database

**Bureau of Accounting Operations:**
Statewide Financial System Data and Report Files
Guide to Financial Operations
Statutory Certifications (e.g., Breast Cancer, Alzheimer’s 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:**
Travel Manual (Available from Attorney General’s Office)
Guide to Financial Operations: Vendor/Customer Management, Purchasing, Expenditures, and
Employee Expense Reimbursement
Accounts Payable, Travel, Vendor File Advisories
Purchasing and Payments, Travel, and Vendors Forms
Section 179(m) – SFL Report on Prompt Payment Interest Paid/Saved
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:**
Annual Comprehensive Financial Report (ACFR)
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 Reviews of the Executive Budget, Enacted Budget and Enacted Budget Financial Plan
Annual Report on Estimated Receipts and Disbursements
Periodic Fiscal Updates
Policy Reports
All recent reports are available on the OSC website, while some older reports are available upon request.
Certain data on New York public authorities that is reported through the Public Authorities Reporting Information System. In addition, some public authority financial data is available on Open Book New York.

Bureau of Debt Management:
Debt Issuance Approvals for Certain Public Authorities, Local Governments and School Districts, and Certain Supporting Information
Debt Issuance Approval Policy Statement and Guidelines
Securities Coordinating Committee Forward Bond Issuance Calendars

**New York State General Obligation Bonds:**
Monthly Bond Use Report
Monthly Bonds Authorized, Issued and Outstanding Report
Clean Water/Clean Air Bond Act Monthly Report
Annual and Quarterly Data Submissions to OSC Bureau of Financial Reporting
Weekly Interest Rate Activity

**New York Local Government Assistance Corporation (LGAC):**
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
LGAC Filings to Public Authorities Reporting Information System
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 Databases for Audits
Annual One-Year and Five-Year List of Audits
Annual Report of Special Education Audits
DIVISION OF LOCAL GOVERNMENT AND SCHOOL ACCOUNTABILITY

Audits and Other Service Reports and Correspondence for Local Governmental Entities,
   Related Work Papers and Various Accountability Tracking Systems
Correspondence Related to Local Governmental Entities
Staff Training Records
Annual Financial Reports, Independent CPA Reports, Electronic Local Government Financial
   Data, Other Financial Documents and Other Information for Local Governmental Entities
Requests From Local Governments for Special District Approvals, Refunding Approvals,
   Debt Exclusion Approvals and Associated Records
Fiscal Stress Monitoring System and Related Records
Payment Information for Various Local Government Assistance Programs
Local Official Contact Information
Research Reports (Local Government Issues) and Supporting Material
Publications and Publication Lists
Training Materials and Supporting Material
Monthly Reports for Town and Village Justices and Other Justice Court Fund (JCF)
   Reporting Entities
Various Internal Reports Related to JCF Processing, Distribution and Payments
Correspondence To and From Local Government Officials and Other JCF Reporting Entities

OFFICE OF THE STATE DEPUTY COMPTROLLER FOR NYC

OSDC Generated Reports – Economic and Budget Reports, and Associated Work Papers
   (Maintained for Four Years)
NYC Financial Plan Modifications and Documentation
Covered Organizations Reports and Financial Plans
City Comptroller Reports
Financial Control Board 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)/Integrated Financial
   Management System (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
MTA Ridership Dashboard Report

DIVISION OF PENSIONS, INVESTMENTS, AND CASH MANAGEMENT

Investment Records
Investment Contracts
Corporate Governance Activities
INTERGOVERNMENTAL RELATIONS

Weekly Reports
Itineraries
Constituent Correspondence