

**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))**

2021

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Published and Unpublished Advisory Opinions of OSC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
Information Technology

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

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
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
Planning and Budget Documents – Annual Documents

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/Proteges
Recognition Program Information and Lists of Recipients

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

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

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.)

DIVISION OF RETIREMENT SERVICES

Retirement Comprehensive Annual Financial Report (CAFR 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:

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 Iclaims-related mages)
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

Environmental Quality Bond Act of 1986 Hazardous Waste Monthly 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 1 yr. and 5 yr. 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)/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