

## **ESD SUBJECT MATTER LIST**

(As of October 6, 2016)

**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)  
Procurement Assistance Unit Annual Report Files

### **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)  
Database Searching Records

### **Division of Minority and Women's Business Development**

Certification Applications  
Compliance and Policy Correspondence  
Annual Reports  
Utilization Records  
Marketing and Promotional Materials

### **Design and Construction**

Budgets  
Cost estimates  
Contracts  
Addenda  
Funding Agreements  
Bid Advertisements in the New York State Contract Reporter  
Bid Documents  
Bidders' Responses and Qualifications (to RFQ's and RFP's)  
Tabulated Bid Results  
Bid Process Documented  
Notices to Proceed  
Architectural and Engineering Plans, Specifications, Studies and Reports

Construction Schedules  
Requests for Information  
Change Orders  
Architects, Engineers, and Other Consultants' Invoices  
Payment Requests  
Lien Waivers  
Payment and Performance Bonds  
Construction Status Reports  
Project Cost Control Reports  
Architects and Engineers Certification Letters of Work Performed  
Contractor Submittals  
Time and Material Sheets  
Violation Notices  
Accident Reports  
Permits  
Daily Work Reports  
Copies of Building Permits  
Signoff  
Construction Photos  
Certificates of Occupancy  
Asbestos-Free Certifications  
Environmental Reports  
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  
Master Plans and Strategic Plans for Projects (throughout the State)  
State Agency Environmental Audit and Toxic Release Inventory Compliance Documents  
Smart Growth Impact Statements

**Economic Development Zones ("EDZ")**

Annual Reports  
EDZ Applications  
Boundary Revisions

**Empire Zones**

Administrative Contracts and Audit Reports  
Forms Z7's and Z5's  
Zone Annual Reports  
Interim Reports from Empire Zones  
Applications for Empire Zone Designation  
Certification Applications for Empire Zone Businesses  
Capital Credits Projects  
Boundary Revisions

### **Entrepreneurial Assistance Program (“EAP”)**

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  
Performance Measures  
Contracts and Contract Information  
Project Costs (for all funding awards since program was created in 1988)  
Information on Individual Funding Cycles

### **ESD Subsidiaries**

Transaction Documents, Including Leases, Declarations, Development Agreements  
Litigation Documents (including valuation appraisals)  
Architectural Drawings  
Financial Records

### **Executive**

Memoranda to the Governor and Chairman  
Travel Budget/Requests  
Division Initiatives Report  
Personnel/Staffing Information  
Budget Materials

### **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

### **Fiscal Management**

Employee Travel Files

General Files (Records to support general agency fiscal management, budget preparation, purchasing, internal fiscal policies and procedures, etc.)

Status Reports (end of year status, fiscal status)

Budget Documents and Records

Accounting Files

Accounts Payable Tracing Records (Non-Agency)

Receipts and Payment History (Non-Agency)

Accounts Payable Tracking Records (Agency)

Agency Contract Files (documents pertaining to certain contracts, leases, bonds bid proposals, specifications, request for proposals, purchase orders, etc.)

Telecommunications Records

Management Services Records

Purchasing Records and Documents

### **Global NY**

Budget Files

Office Files for Foreign Offices in Montreal, Ontario, London, Israel, Mexico, South Africa, and China

Export Marketing Assistance Service Files

Foreign Direct Investment Files, including investment attraction (marketing) and export promotion files

Global Export Marketing Service Files

Trade Show Files

Trade Missions

Personnel Files

General Files (including, but not limited to, A-Z files of general international information requests; announcements of upcoming Global NY trade show missions; foreign companies looking to relocate or invest in the State; Consulate Generals; export finance; regional office correspondence; and special projects)

### **Human Resources**

Employee Personnel Folders

Employee Medical Folders

Workers Compensation Files

Tuition Reimbursement Files

Dependent Care 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

### **Industrial Effectiveness Program**

Program Files, including grant applications, progress reports and contracts

## **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 Subsidiary By-Laws and Certificates of Incorporation  
Bond Issuance Materials  
FOIL Requests  
Retainer Agreements for Outside Counsel  
Litigation Documents  
PACB Related Documents  
Interagency Agreements  
General Project Plans and Related Documents  
Program Regulations  
NYSDED Contract Files  
Legislative Files  
I♥NY and Trademark Related Files  
MWBE Appeal Files  
Tax Credit/Regulation Files  
Internal Control Assessment Files

## **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  
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  
Confidentiality Agreements  
Program Guidelines

## **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

Publications/Printed Collateral Files  
Segment Tourism Marketing Initiatives Files  
Tourism Industry Funding Files  
Licensing Files  
Research

**Motion Pictures and TV Development**

Administrative Files  
Location Files  
Facilities and Services Files  
Film and Post Production Tax Credit Files  
Travel and Event Documents  
Marketing, Advertising & Communication Files  
Industry Report and Research Files

**Public Affairs**

Press Releases  
Media Advisories  
Meeting Agendas  
Board Memos  
Newsletters  
Press Briefings  
Broadcast Messages  
Public Agendas  
Public Memos

**Publications Division – Graphic Design Unit**

Project Files  
Formal Bid Project 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  
Small Business Interagency Task Force Minutes  
Small Business Awards and Conferences  
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)

Project work files (EPA Grants, Outreach)

**Strategic Business Division**

Semi-NY, Build Now NY & NYSite Finder Records

Administrative Files

Key Account Files

**Training and Professional Development**

Training Course, Workshop and Seminar Files

**Treasury**

Investment Confirms/ Tickets

Investment Letters

Annual Investment Reports

Official Statements for Bonds

Wire Transfers/Bond Requisitions

Bond Related Documents

Bond Arbitrage Documents and Computations

SWAP Reports

JDA Warrants

JDA ACH Debit transfers

Custodial Account Statements