

## **New York State Department of State**

This subject list of Department of State records is alphabetical, by division.

A link to the Committee on Open Government can be found at: <http://www.dos.ny.gov/coog/index.html>

**CURRENTLY: March 1, 2017**

All correspondence to the Department in Albany must be addressed as follows,

New York State Department of State  
(director, division name)  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

Other inquiries about Department of State records under the Personal Privacy Protection and /or Freedom of Information Laws should be sent to the attention of the Director of Administration at the above address.

Certain records contain personal or confidential information and may not be released; other information is a matter of public record and may be obtained either free of charge or for a nominal copying fee. Various statutes, rules and regulations govern records access and may define specific fees.

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### **PROGRAMS**

Administrative Hearings

Administrative Rules

Administrative Support Services

Affirmative Action

Athletic Commission

Building Standards and Codes

Cemeteries

Community Services

Consumer Protection

Corporations/UCC/State Records/Miscellaneous Records

Executive

Fiscal Management

General Counsel

Human Resources

Licensing Services

Local Government

New Americans

Open Government

Planning and Development

## **DIVISION/RECORD TITLE/DESCRIPTION**

### **ADMINISTRATIVE HEARINGS, OFFICE OF**

#### Record Location:

Office of General Counsel  
One Commerce Plaza, 11<sup>th</sup> Floor  
99 Washington Avenue  
Albany, New York 12231

Office of Administrative Hearings  
One Commerce Plaza, 11<sup>th</sup> Floor  
99 Washington Avenue  
Albany, New York 12231

Records Retention Center  
Building 21  
Governor W. Averell Harriman  
State Office Building Campus  
Albany, NY 12226

- **General Correspondence**
- **Program Administration**, including: master copy of agency forms; case inventory database (hearing record, correspondence with parties and ALJ, and transcripts via the G Drive), administrative documents
- **Publications**, including: final decisions (the original decision is in OAH 11th Floor and original appeals are in Counsel's Office; a copy is kept in the Records Retention Center and on the OAH webpage)

## **ADMINISTRATIVE RULES, DIVISION OF**

### Record Location:

6th Floor, Suite 650  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

### **General Correspondence**

### **General Administration**

#### **Forms Control Program Administration**

- Master copy of agency forms
- Inventory database, including: number, title, revision date, description, type, and file format

#### **Publications**

- Draft and original manuscripts with photographs and current digital copy of agency publications
- Requests for publications
- Back copies of Department of State publications, including:
  - *New York State Register* - Please note that a hardcopy weekly edition is available through subscription, and current digital versions of each edition are maintained on our website
  - Division Publication List - Please note that a current list of publications is maintained on our website; in addition, a written request for such list may be sent to:

New York State Department of State  
Division of Administrative Rules  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

#### **Printing**

- Data files of Department of State forms and publications

#### **State Register and Compilation Unit**

- *New York State Register* filings, for current year, including state agency filings submitted for publishing notices of rule proposals and adoptions
- *Official Compilation of Codes, Rules and Regulations of the State of New York* (NYCRR) master compilation and filings, including official agency filings that amend NYCRR, outdated NYCRR pages, and material incorporated into regulations by agency referencing of such material in the text of regulations
- Please write to the address indicated above for subscription information on semi-monthly updates of individual NYCRR volumes.

## **ADMINISTRATIVE SUPPORT SERVICES, BUREAU OF**

### Record Location:

6th Floor, Suite 620  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

- **General Correspondence**
- **General Administration**
- **Health and Safety**, including: correspondence and technical data related to the enforcement of standards and responses to oversight agency directives; Material Safety Data Sheets; correspondence on Joint Labor/ Management Health and Safety Committee, Health and Safety subject files.
- **Maintenance Agreements**, including: DOS equipment maintenance agreements for Facsimile machines, copiers and mailroom machines; and other miscellaneous equipment covered under both the REMI Program and individual vendors. Correspondence for Services performed on Contractor Service Report Forms, Partial Payments, Denials, JV's and Equipment History Reports.
- **Parking**, including: parking agreements with each Union; staff parking assignments per parking lot.
- **Postage**, including: postage requests from various DOS locations (meter and stamp requests); monthly/yearly usage reports from all locations, Permit Renewals and charges associated with each permit; PO Box rentals, Postage Accounts - Pitney Bowes.
- **Property Management**, including: program requests for equipment and furniture; OGS bid and contract award information; standard OGS forms requesting surplus property; disposition reports.
- **Records Management Program Administration**, including: record series inventory forms; index of existing records disposition authorizations; State Records Center and Archives transfer lists.
- **Space Planning**, including building plans showing existing or proposed office layouts, electrical and telephone hookups; copies of existing and proposed leases to buildings; payments for building leases (computer disc); OGS Tenant Alteration Requests
- **Telecommunications**, including: manuals, repots, studies, plans, notes, working diagrams of proposed networks and related records used to plan and implement telecommunication systems; Verizon Virtual Call Center invoices; OFT telephone charges; Verizon wireless usage reports; telephone and fax installation and service files, wiring schematics and diagrams, directories, logs and listings; OITS Pinnacle order system notifications.
- **Office Services Management**, including: purchase orders; stockroom inventory reports; program supply requests.

## **AFFIRMATIVE ACTION, DIVISION OF**

### Records Location:

New York State Department of State  
Maria C. Herman, Division of Affirmative Action Programs

One Commerce Plaza  
11<sup>th</sup> Floor, Suite 1150  
99 Washington Ave  
Albany, New York 12231

New York State Department of State  
Linda Baldwin, Office of General Counsel  
One Commerce Plaza  
11<sup>th</sup> Floor, Suite 1120  
99 Washington Ave  
Albany, New York 12231

- **Director's Resource Files**, including: general correspondence, copies of applicable laws, rules and regulations, training materials, annual and other reports, and agency's policies and procedures related to Affirmative Action, Equal Opportunity and Diversity.
- **Affirmative Action/Equal Employment Opportunity Compliance, Monitoring and Complaint Information**
- **Internal and External Complaint Investigation Filings, Investigation documentation, Investigation reports**
- **Reasonable Accommodation Requests and Determinations**
- **Minority and Women-Owned Business Enterprise Program Compliance and Monitoring Files**, including annual agency goal plans, contractor/grantee monitoring files, MWBE waiver requests, and quarterly utilization reports to Empire State Development's Division of Minority and Women's Business Development.
- **Service Disabled Veterans-Owned Business Enterprise Program Compliance and Monitoring Files**, including annual agency goal plans and quarterly utilization reports to the Division of Service Disabled Veterans-Owned Business Development (Office of General Services).

#### **ATHLETIC COMMISSION, STATE OF NEW YORK**

Record Location:

2<sup>nd</sup> Floor  
123 William Street  
New York, NY 100138

- **General Correspondence;**
- **Executive Records**, including, but not limited to: Commission meeting minutes and agendas, correspondence and records of disciplinary proceedings, etc.
- **Boxing Events**, including, but not limited to: judge's score cards, inspectors' reports, admissions and tax records, etc.
- **Professional MMA Events**, including, but not limited to: judge's score cards, inspectors' reports, admissions and tax records, etc.
- **Professional Wrestling Events**, including, but not limited to: inspectors' reports, etc.
- **Third Party Sanctioned Events**, including, but not limited to: inspectors' reports, etc.
- **Contracts** (Boxer/Manager; Event);

- **License Applications/Renewals** for licensed/permitted disciplines, including, but not limited to:
  - Promoters
  - Combatants
  - Judges
  - Managers
  - Matchmakers
  - Referees
  - Seconds
  - Training Facilities
  - Timekeepers
  - Third Party Sanctioning Organizations
  
- **Medical Advisory Board Administration**, including: list of board members; panel physicians; meeting agendas and minutes; training documents for medical symposiums and seminars.

## **BUILDING STANDARDS AND CODES, DIVISION OF**

### **Record Locations:**

New York State Department of State  
 Division of Building Standards and Codes  
 One Commerce Plaza, 11th Floor  
 99 Washington Avenue  
 Albany, New York 12231

Records Retention Center  
 Building 21  
 Governor W. Averell Harriman  
 State Office Building Campus  
 Albany, NY 12226

### **Administrative Unit:**

- **General Correspondence** – Day Book File
- **Administrative Resource Records, including:**
  - **Copies of applicable laws, rules, and regulations – Title 19 (NYCRR) Part 434 through Part 1264** - on file.
  - **Approved Portable Kerosene Heater List** – on file.
- **Local Government Financial Assistance**, including original applications, vouchers, and related documents required for the Financial Assistance Grants Program for local government enforcement activities – on file. (The last year this program was active was 2003.)

### **Regulatory Affairs Unit:**

#### **State Fire Prevention and Building Code Council files, including:**

- **More Restrictive Local Standards** – on file.

- **Acceptance Letters for Local Governments** – on file.
- **Meeting Minutes of State Fire Prevention and Building Code Council** - on file.
- **Transcripts of Public Hearings related to Uniform and Energy Code Updates** – on file.
- **Code Interpretation**, including applications – on file.
- **Technical Bulletins and Letters pertaining to matters involving the Uniform Code and Energy Conservation Construction Code** – on file.
- **Certificates of Acceptability** - outdated 2003 (Refer ICC-ES (Evaluation Services.)
- **Laboratory Accreditations** – outdated 2003.

#### **Educational and Technical Support Unit:**

- **Training Course Presentation Files**, including student applications, course attendance records, and related materials used to certify completion of required training – on file.
- **Training Workbooks and Lesson Plans** – on file.
- **Part 1203 Annual Reports of Enforcement Activities by Local Governments** – on file.
- **Part 1204 Annual Reports of Enforcement Activities by State Agencies and Authorities** – on file.
- **Manufactured Housing Program Certification of manufacturers, retailers, installers and mechanics** – certification information on file.

#### **Compliance and Inspection Unit:**

- **List of opted-out local governments** for which the Division performs enforcement activities – on file.
- **Building Permit Applications and Certificates of Occupancy** for buildings under Department of State jurisdiction – on file.
- **Fire Inspection and Property Maintenance reports** for buildings under Department of State jurisdiction – on file.
- **Variance Applications, including transcripts of hearings and written decisions** for buildings under Department of State jurisdiction – on file.
- **Written Complaints** relating to local level code enforcement, or non-compliance DOS regulations 19 NYCRR - on file (now Part 1203).
- **Review of Code Enforcement Programs at local level.** Each visit typically results in issuance of written report with findings, suggestions, or orders to correct noted deficiencies - on file.
- **Written complaints and actions related to the Manufactured Housing Complaint Program** - on file.
- **Factory-Manufactured (Modular) Building (Modular) Approvals, including applications, correspondence, plans, specifications, and quality assurance manuals** – on file.
- **Written Complaints submitted to Factory-Manufactured (Modular) Building Complaint Program** – on file.

## CEMETERIES, DIVISION OF

### Record location:

20th Floor  
123 William Street  
New York, New York 10038

5th Floor, Suite 510  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

(Downstate Cemetery Records maintained in New York City)

(Upstate Cemetery Records maintained in Albany)

- **General Correspondence**, including staff activity reports.
- **Cemetery Advisory Committee Correspondence and Minutes** (1988 – 1990)
- **Cemetery Board Correspondence**, Minutes and Orders, topics covering: service charges, certificates of indebtedness, major renovations, land sales/purchases, etc. for cemeteries under Board jurisdiction.
- **Cemetery File** (Separate for each), including Annual Financial Reports; staff accountant audits; petitions, motions and orders of the Supreme court, if any, regarding approvals of land purchases/ sales, permanent maintenance loans; complaints; vandalism reports; current rates/ charges; rules, regulations; staff inspection reports; lists of officers and trustees.
- **Master Cemetery Index Card File** (name and address of every known cemetery. Including those exempt from Department Jurisdiction); Lot Transfer Orders for Third Party Transfer. (Albany only)
- **Monthly/ Quarterly Reports of Cemetery Activity** (for staff accountants and field inspectors use including: delinquent/inspection/audit and annual financial report receipt lists; and names /addresses of cemetery officers). Personal addresses are not available under Freedom of Information Law (FOIL).

### NOTE:

- Complaint data is maintained at the regional offices that received the complaint, not just Albany and NYC.
- Files on legislation, including bills under consideration, are kept in office of counsel to the NYS Cemetery Board.

Record inquiries should be addressed to the Albany Office. Complaints or other specific cemetery matters should be directed based on the location of the cemetery (downstate/upstate) correspondence will be re-routed, if misdirected.

### Record Location:



New York State Department of State  
Division of Cemeteries  
123 William Street  
New York, New York 10038

New York State Department of State  
Division of Cemeteries One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

### **COMMUNITY SERVICES, DIVISION OF**

Record Location:

10 Floor, Suite 1020  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

- **General Correspondence**
- **Administration**, Federal Funds, including: source correspondence; interagency agreements; applications for financial assistance; management plans; public hearing transcripts; program instructions, contract boilerplates and information regarding AmeriCorps and AmeriCorps VISTA.
- **Administrative Resources**, including: federal and state guidelines and regulations; instructions / guidelines to local service agencies; poverty, census and other data; lists of local service agency boards of directors; travel policies; mailing lists.
- **Community Services Block Grant (CSBG) Advisory Council**, including: meeting agenda and minutes; record of resolutions and decisions; committee and membership lists; reports; travel records.
- **CSBG Discretionary Grants**, including: copies of proposals requesting funds; legal, contractual and fiscal documents pertaining to funded grants; reporting and monitoring data; budget amendments, payment history, work programs and audits.
- **AmeriCorps and AmeriCorps VISTA**, including copies of proposals requesting funds; legal, contractual and fiscal documents pertaining to funded grants; reporting and monitoring data; budget amendments, payment history, work programs and audits.
- **CSBG Discretionary Grants Denials**, including: copy of proposals denied funding.
- **CSBG Entitlement Agencies Contract**, including: legal contracts; program monitoring reports; budgets, amendments, work programs; progress and statistical reports.
- **CSBG Management Planning and Reporting**, including: documents pertaining to annual program application to federal government (State Plan and Application); related documentation such as testimony, notice of grant award, backup and support information; Annual Report and background research materials, copies of reports.

## **CONSUMER PROTECTION, DIVISION OF**

Record Location:

### **NYS Department of State Division of Consumer Protection**

One Commerce Plaza, Suite 640

99 Washington Avenue

Albany, New York 12231

### **Summary of documents maintained by the Division of Consumer Protection:**

#### **Consumer Assistance Unit:**

Consumer complaints, referrals to other State or federal agencies, statistical data

#### **Education & Outreach Unit:**

Calendar of events, planning correspondence, power point presentations, brochures, publications, research material

#### **Do Not Call Unit:**

Complaint correspondence, research/ investigation materials, enforcement files, referrals to the Office of Attorney General, settlement records

#### **Utilities Intervention Unit:**

Discovery, testimony, comments, statements, briefs, petitions, motions, general correspondence

#### **Policy, Research, & Administration:**

General correspondence, administrative records, research material, testimony, comments, policy reports, Division reports, security breach notification forms, children's product safety notice of incident forms, children's product safety certificate of disposition forms, children's product safety request for extension to file certificate of disposition forms, recall investigation files, United State Consumer Product Safety Commission collaboration files

## **CORPORATIONS, STATE RECORDS & UNIFORM COMMERCIAL CODE, DIVISION OF**

Record Location:

6th floor, Suite 600

99 Washington Avenue

Albany, New York 12231

- **General Correspondence**
- **Administrative files**, production and revenue reports; work load and filing statistics.

(Corporations Unit)

- **Corporate and other Business Entity Certificates Filed** pursuant to the Business Corporation Law, Not-for-Profit Corporation Law, General Business Law, General Associations Law, Partnership Law, Limited Liability Company Law and Tax Law; or any other certificate required by statute to be filed with the Department of State

- **Daily Report of Corporate Filings** (Note: available by subscription via e-mail.)
- **Biennial Statements for Business Corporations and L.L.C.'s**, and Five Year Statements for LLP's.
- **Secretary of State Proclamations – Corporations and LLPs:**
  1. Quarterly proclamations list of domestic stock corporations dissolved by proclamation and foreign stock corporations whose authority has been annulled pursuant to **pursuant to Tax Law sections 203-a and 203-b.**
  2. Quarterly proclamations list of Registered Limited Liability Partnerships whose registration has been revoked pursuant to PL 121-1500(g) and Registered foreign limited liability partnerships whose status has been revoked pursuant to PL section 121-1502(f)(I).
- **Process, including Summons and Complaints**, served on the Secretary of State, acting as agent for certain foreign and domestic corporations, L.L.C.'s, L.L.P.'s, L.P.'s, condominium boards of managers and other entities served pursuant to laws including the Business Corporation Law, Not-for-Profit Corporation Law, Partnership Law, General Associations Law, Real Property Law and Executive Law ); includes: transmittal letters; service receipt; certified mail return receipts; service of process/notice of claim cover sheet.
- **Summons and Complaints/Motor Vehicles**, served on the Secretary of State as agent for non-resident owners and operators of motor vehicles, motor boats and aircraft; service receipt.
- **Notices of Claim-** Notices of Claim against public corporations served on the New York Secretary of State pursuant to General Municipal Law section 53, service of process/notice of claim cover sheet and service receipt.

**(State Records Unit)**

- **Adirondack Park Agency Orders**, \* including: copies of orders and certified descriptions of map amendments to the official Adirondack Park and use and development plan map.
- **Civil Service Rules, Regulations and Resolutions** filed by Department of Civil Service and City of New York.
- **Clemency Good Conduct**, \* Pardons (duplicates) created by the Governor's office-
- **Code of Ethics Filing**; original signed statements from state employees disclosing a financial interest in excess of \$10,000 in any state regulated enterprise.
- **Commissioner of Deeds Appointments**, \* including application, impression of seal, oath of office, bound volume index.
- **County Officers, Notices of Election** \* and Certifications from County Boards of Elections, as to persons elected to county office and certifications filed annually for all county officers and deputies.
- **County Clerks and Surrogates**, \* Seal and Signatures used to authenticate signed documents.
- **Department of Transportation Appropriation Maps**, generally related to construction and repair of roads.
- **Department of Transportation Official Orders**, pertaining to abandoning or transferring interest in land.
- **Designations for Service of Process related to Securities Offerings**, designating the Secretary of State as agent for service of process arising out of any transaction relating to sale of securities.

- **Games of Chance**, in connection with the sale of commodities, including: registration forms pursuant to General Business Law 369-e; surety bonds and certificates of deposit; rules and regulations; winners lists and correspondence; index cards.
- **Hotel / Motel Names, and Names, Marks and Devices**, including: business applications to register a hotel/ motel name, mark and device; index.
- **Income Executions** - Pursuant to Tax Law section 174-c, the New York State Department of Taxation and Finance ("DTF") files lists of the names of the taxpayers who have been served with income executions or whose income executions have been cancelled or discharged under such law.
- **Land Recordings** \* between the State of New York and individuals or business (Letters of Patent and Miscellaneous Deeds and Title Papers).
- **Land Records Microfilm** (original documents on file with the New York State Archives, 1765-1958).
- **Miscellaneous Appointments**, \* including: designations of authority and facsimile signatures for authentication of documents.
- **Municipal Agencies and Authorities Memberships**, \* including: certificates of appointment covering membership to various entities including Municipal Housing Authorities, Urban Renewal Agencies, Industrial Development Agencies.
- **Municipal Agencies and Authorities Filings**, including: original certificates covering creation of various entities including Municipal Housing Authorities, Urban Renewal Agencies, Industrial Development Agencies and related documents.
- **Municipal Filings** \* by cities, counties, towns, villages and school districts pursuant to various statutes, including:

- Orders of Removal from Office of Town Assessors (elected)
- Town/Village Classification
- State of Emergency Orders
- County Participants in Regional Off-Track Betting Corporation
- Continuity of Local Governments
- Report of Federal Census
- Suburban Town
- Local Sales and Use Tax Resolutions
- Utility Tax
- Registrars Bonds
- Economic Development Designation
- Certificate of Election for Consolidation or Reincorporation

- **Oath of Office/Statement in Lieu of Oath** signed by every state employee as a condition of employment, acknowledges receipt of copy of the Public Officers Law.
- **Railroad Police Commissions**
- **State Notices and Further State Notices and Stock Exchange Lists**
- **Trademarks and Service Marks**, including: original applications and index.
- **Trading Stamp Registrations**, including: registration statements; bond and trading stamp booklet.
- **Waivers of Extradition and Extradition "D" Cases**; Waivers filed by Sheriffs, County Courts and others, signed by persons permitting extradition to other states without formal proceedings; "D" cases are requests to other states for the return of a fugitive, received from the Governor's Office

- **Electoral College**, \* including: oaths of office and a notice from the State Board of Canvassers as to members.
- **Governor's Official Executive Office Filings**, \* including: signed letters appointing individuals to head various state agencies and to membership in agencies, authorities, boards, commissions and confirmation sheets from the N.Y.S. Senate; official docket registration book; notices of death; removal from office Executive orders; Proclamations.
- **Public Officer Law filings**, includes oaths of office, deputy designations, designations of order of succession and resignations
- **Inter Local Agreements**, filed pursuant to Section 469, General Municipal Law.
- **Interstate Compacts and Agreements**, \* between New York State and other states, and interstate filings pursuant to Section 107, Executive Law.
- **Local Laws** adopted by various municipalities and filed pursuant to Section 27, Municipal Home Rule Law
- **Resolutions (Joint) of the Senate/ Assembly**, \* amendments to Constitution.
- **Session Laws of New York**: \* originals, bearing the Governor's signature; recording journals. Registrations of Names or Marks in relation the Use of Carts, Cases, Trays, Baskets, Boxes and Other Containers under General Business Law, §399-q.
- Concurrent Resolutions of Legislature proposing amendments to the constitution
- Notice of discovery – Public Lands Law section 82
- Miscellaneous documents required by law to be filed with the Secretary of State.

**(\*Older records transferred to New York State Archives)**

**(Uniform Commercial Code Unit)**

**UCC Filings** - filed with the Department of State Pursuant to Article 9 of the Uniform Commercial Code, Article 10-A of the Lien Law, and the Tax Law including:

- UCC-1. Financing Statement
- UCC-3. Financing Statement Amendment
- Federal Tax Liens
- Miscellaneous UCC Forms

**-Uniform Commercial Code Search and Copy Requests** : UCC-11 request form contains the names and addresses of persons or business entities to be searched and of those requesting the search.

**-Program Fiscal Records**, including: Federal Tax Lien billing sheets; refund vouchers; currency receipts and uncollectible fees.

**State Tax Warrant Notices**- Pursuant to section 6 of the Tax Law, Department of Taxation and Finance sends the Department of State a notice of the fact that tax warrants have been filed in county clerks' offices throughout the state.

**Child Support Enforcement Notices** -The New York State Department of Taxation and Finance ("DTF") files warrants in county clerks' offices throughout the state pursuant to Chapter 60, Article 8, Section 171-i of the Tax Law to enforce collection of child support and/or combined spousal and child support

arrears. Pursuant to Chapter 60, Article 1, Section 6 of the Tax Law, DTF sends the Department of State a notice of the fact that such warrants have been filed.

### **EXECUTIVE OFFICES**

#### **Record Location:**

11th Floor, Suite 1100  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

- **General Correspondence**
- **Administrative Projects**, including: files for program areas and Secretary of State's participation; profiles of elected official and municipalities; event briefings; monthly staff reports; copies of Executive Directives; Liaison with Executive Chamber and Boards/ Committees the Secretary serves.
- **Administration and Management**, Director of
- **Privacy Law Requests**: original request and response.

#### **Public Information Officer**

- **Freedom of Information Law (FOIL) Requests**: original request and response.
- **News Releases including**: certain background materials, manuscript and copy of printed releases; and regional media mailing lists.

### **FISCAL MANAGEMENT, BUREAU OF**

#### **Record Location:**

11th Floor, Suite 1110  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

- **General Administration**
- **General Correspondence**
- **Agency Budget**, including: budget submission documents, fiscal plan, program allocations and segregations.
- **Interagency Journal Transfers**, including: transmittals, transaction description and date processed.
- **Purchase Order files**, including: procurement documents, approved purchase orders, invoices, payments issued, and pay dates.
- **Procurement Card files**, including: statements, requisitions, and reconciliations.
- **Bank Records**, including: bank statements, cancelled checks, and reconciliations.

- **Miscellaneous payments:** Examiner and Use of Space vouchers, refunds (overpayments, cancelled service requests).
- **Daily, Weekly and Monthly Revenue Transmittals,** including currency slips.
- **Reports of Monies Received,** including: transaction description, AC-909 forms.
- **Petty Cash and Travel Advance Accounts:** check registers including payee, amount and date.
- **Vehicle Inventory,** including: original registration, original title, and purchase documentation.
- **Vehicle File,** including: credit card assignment, E-Z pass assignment, staff assignment, monthly vehicle cost reports, accident reports.
- **Travel Reimbursement Records:** non-employee (hardcopy) and employee (electronic).
- **Contracts,** including: procurement approval, vendor responsibility review documents, insurance certificates, contracts and amendments, payment and financial report forms, progress reports, audits, and correspondence.
- **Interagency Memorandums of Understanding,** including: executed agreements, journal transfers, and correspondence.
- **Federal Grant Awards,** including: grant award notifications, federal reports, state accounting system reports, status reports, audits, and correspondence.

## **COUNSEL, GENERAL**

### Record Location:

11th Floor, Suite 1100  
 One Commerce Plaza  
 99 Washington Avenue  
 Albany, New York 12231

- **Correspondence and Legal Research**
- **Administrative [Counsel] Operations,** including: instructions, policies and procedures for the conduct of unit activities including fiscal and personnel matters; and statistical and other data needed for expenditure and personnel decisions.
- **Declaratory Rulings and Legal Opinions,** including: copy of text, letter or memoranda issued by the Department, pursuant to the State Administrative Procedures Act (SAPA),] with correspondence and legal research.
- **Litigation,** including: status forms, pleadings, correspondence, reports and supporting documents relevant to all cases in which the Secretary of State or the Department is a plaintiff or defendant.
- **Program Subject Files,** including: correspondence and research materials relating to specific Department programs and issues.
- **Administrative Adjudicatory Determinations** often involving discipline of licensees, decisions to grant or deny applications, and some contract disputes.

## **HUMAN RESOURCES MANAGEMENT, BUREAU OF**

### Record Location:

11th Floor, Suite 1150  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

- **General Correspondence**
- **General Administration**, including: resource/research documents covering agency divisions/ programs.
- **Classification**, including: lists of Civil Service job titles, descriptions, classification and compensation forms, postings.
- **Examination**, eligible lists are on-line at: <http://www.cs.ny.gov/elmspublic/>
- **Labor Relations**, including: grievances, disciplinary actions, time and attendance activities, union activities.
- **Personnel History**, including: employee appointment letters, probationary reports, correspondence from employee to Personnel, performance evaluation reports, status letters.
- **Resume File**: from individuals seeking employment, are retained for six months.
- **Training**, individual training activities/achievements maintained electronically in the Statewide Learning Management System: <https://nyslearn.ny.gov/>

### **(Personnel/Payroll Records)**

- **Attendance Records Timesheets**; all employees.
- **Payroll Data**; bi-weekly payroll and special payroll transactions
- **Personnel Information**; maintained electronically in the Human Capital Management (HCM) system.
- **Personnel Roster**; data on employment activity maintained for the current fiscal year only.

## **LICENSING SERVICES, DIVISION OF**

### Record Location:

5<sup>th</sup> and 6<sup>th</sup> floors  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

2nd and 20th floors  
123 William Street  
New York, NY 10038

- **General Correspondence**



- **General Administration**, including: copies of employee evaluations and probation reports; program unit workload and statistical reports; requisitions.
- **Examination Papers**; for all disciplines tested.
- **Hearing Files and Determinations**, including; copies of hearing notices, transcripts, determinations.
- **Licensee Investigations**, including: original request for applicant investigation or complaint registered against a licensee; investigation report.
- **Licensee Files**, may include: copies of original and renewal application forms, investigation reports and determinations.
- **Apostilles**, Ledger of Apostilles/Authentications, County Clerk and designee signatures, original Apostille/Certificate of Authentication Request forms.

**The following disciplines and/or subject matters are among those licensed through the Division of Licensing Services and/or are required to file records with the Division:**

**Apartment Information Vendor/Sharing Agent**- Real Property Law Article 12C effective 1980  
**Appearance Enhancement**- General Business Law Article 27 effective 1947 (amended 1994 nail specialty, Natural Hair styling, esthetics -amended 1999 waxing)  
**Armored Car Carrier/Armored Car Guard**- General Business Law Article 8B effective 1998  
**Athlete Agent**- General Business Law Article 39B effective 2003  
**Automobile Broker** – General Business Law Article 35B effective 2011  
**Bail Enforcement Agent**- General Business Law Article 7 effective 2001  
**Barbering**- General Business Law Article 28 effective 1946  
**Bedding**- General Business Law Article 25A effective 1999  
**Central Dispatch Facility**-Executive Law Article 6F effective 1999  
**Children’s Product Safety and Recall Act**-General Business Law Article 28E effective 2013  
**Coin Processor**- General Business Law Article 27A effective 1999  
**Document Destruction Contractor**-General Business Law Article 39G effective 2008  
**Health Club Services**- General Business Law Article 30 effective 1979  
**Hearing Aid Dispenser**- General Business Law Article 37A effective 2000  
**Home Inspector**- Real Property Law Article 12B effective 2005  
**Notary Public**- Executive Law Article 6 effective 1951  
**Pet Cemeteries**- General Business Law Article 35C effective 1994  
**Political Consultants** – Executive Law Article 109 effective 2016  
**Private Investigator**- General Business Law Article 7 effective 1909  
**Real Estate Salesperson/Real Estate Broker**- Real Property Law Article 12A effective 1922  
**Real Estate Appraiser**- Executive Law Article 6E effective 1991  
**Security and Fire Alarm Installer**- General Business Law Article 6D effective 1992  
**Security Guard**- General Business Law Article 7A effective 1994  
**Telemarketer Business**- General Business Law Article 26 effective 2001  
**Ticket Reseller**- Arts and Cultural Affairs Law Article 25 effective 2008  
**Watch, Guard and Patrol Agencies**- General Business Law Article 7 effective 1941

**LOCAL GOVERNMENT, OFFICE OF**

Record Location:  
 10th Floor, Suite 1015  
 One Commerce Plaza

99 Washington Avenue  
Albany, New York 12231

### **General Administration**

- Records including: policy and program files, and purchase requisitions

### **Appalachian Regional Development Program**

- Records consisting of blank applications, application guidance information, mailing lists, workshop information, applications received and supporting documentation, application logs, documentation of application review, support letters, New York State project recommendations, copies of award and non-award letters to applicants, and press releases
- Project Management - Records deriving from activities related to assisting Appalachian Regional Commission (ARC) staff with managing contracts with contractors, including: correspondence/memoranda, products, payment information, amendment requests, and project closeout

### **Northern Border Regional Development Program**

- Records consisting of blank applications, application guidance information, mailing lists, workshop information, applications received and supporting documentation, application logs, documentation of application review, support letters, New York State project recommendations, copies of award and non-award letters to applicants, and press releases
- Project Management - Records deriving from activities related to assisting Northern Border Regional Commission (NBRC) staff with managing contracts with contractors, including: correspondence/memoranda, products, payment information, amendment requests, and project closeout

### **Local Government Efficiency Program**

- Records consisting of blank applications, application guidance information, mailing lists, workshop information, applications received and supporting documentation, application logs, documentation of application review, support letters, OSC procurement information, and copies of: award and non-award letters to applicants, press releases, and presentations and publications related to local government reorganization and cooperation
- Contracts and Project Management - Records deriving from activities related to managing contracts with contractors, including copies of: contracts, correspondence/memoranda, products, payment information, local government reorganization plans, documents confirming implementation of service delivery programs and other efficiency efforts

### **Local Government Training and Technical Assistance Program**

- Records consisting of training courses and publications, comprehensive plans, local zoning regulations and other sample regulations, and technical subject files pertaining to: land use planning and regulation, economic development, and other issues affecting New York's local governments

## **Mailing List Management**

- Records consisting of contact information for elected officials

## **NEW AMERICANS, OFFICE OF**

### Record Location:

123 William Street, 20<sup>th</sup> Floor  
New York, NY 10038

- **Administration**, Federal and State Funds, including: source correspondence; interagency agreements; program instructions and contract boilerplates.
- **Administrative Resources**, including: federal and state guidelines and regulations; travel policies; mailing lists
- **ONA Grants**, including: copies of proposals requesting funds; legal, contractual and fiscal documents pertaining to funded grants; reporting and monitoring data; budget amendments, payment history, work programs and audits, progress and statistical reports.

## **OPEN GOVERNMENT, COMMITTEE ON**

### Record Location:

6th Floor, Suite 650  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 11231

- **General correspondence**
- **General Administration**, including: monthly reports, briefing materials, newspaper clippings.
- **Advisory Opinions**, including: initial request and responses to applicants (representatives of state and local governments, the public and news media) requesting advisory opinions on Freedom of Information, Open Meeting and Personal Privacy Protection activities.
- **Appeal and Determinations**; involving denials of requests for records and agencies' final determinations.
- **Committee Meetings Materials**, including: agenda, minutes, background. Annual Report to the Governor and State Legislature
- **Legislative Memoranda**; recommendations concerning legislation.
- **Master State Agency Index**, including: name, address, number of notices of systems or records received, date received, date regulations promulgated, yearly responses relating to requests and determinations made under the law for each agency subject to Personal Privacy Protection Law.
- **Personal Privacy Protection Law (PPPL) Reports**, including: notices of systems of records that pertain to one or more persons from which personal information may be retrieved by use of the name or other identifying particulars; privacy impact statements (required by state agencies creating a system); Directory of Systems of Records, name of each system, agency (sub) division maintaining it, title and business address of person responsible for it, approximate number of persons and categories of information collected, information on rules that authorize

maintenance of the information; yearly responses by state agencies regarding the number of requests for PPPL records and whether requests were granted or denied.

- **Regulations, including:** submissions to the Committee by state agencies, authorities and public corporations; and, local municipalities.

## **PLANNING AND DEVELOPMENT, OFFICE OF**

### Record Location:

10th Floor, Suite 1010  
One Commerce Plaza  
99 Washington Avenue  
Albany, New York 12231

### **General Administration/Correspondence**

- Internal Communications w/other DOS divisions
- General Procedures
- Executive Correspondence
- Communications w/DOS Executive Office - memos, press releases
- Communications w/Governor's Office

### **NOAA - Ocean & Coastal Resources Management (OCRM)**

- Federal Grant
- Correspondence w/NOAA OCRM

### **Federal Consistency Reviews**

- Federal projects for consistency review
- Technical consultations and communications for consistency review of New York Rising Implementation Projects

### **State Consistency Reviews**

- State projects for consistency review

### **Local Waterfront Revitalization Program (LWRP)/Environmental Protection Fund (EPF)**

- General Correspondence
- Community files - participating community
- Application guidance information
- EPF Workshop info
- Contracts - all activities relating to management of contract, correspondence, products, payment information

### **Ocean and Great Lakes Program - Environmental Protection Fund (EPF)**

- General Correspondence
- Project files and documents - participating partners
- Contracts - all activities relating to management of contract, correspondence, products, payment information

**South Shore Estuary Reserve Program - Environmental Protection Fund (EPF)**

- General Correspondence
  - Project files and documents - participating partners
- Contracts - all activities relating to management of contract, correspondence, products, payment information

**Brownfield Opportunity Area**

- General Correspondence
- Community files - participating community
- Application guidance information
- Contracts - all activities relating to management of contract, correspondence, products, payment information

**NYC Watershed Protection Program**

- General Correspondence
- Application guidance information
- Contracts - all activities relating to management of contract, correspondence, products, payment information
- Workshop information

**Smart Growth**

- General Correspondence
- Application guidance information
- Contracts - all activities relating to management of contract, correspondence, products, payment information