



Catalog of Records – Updated January 2021

Link to [Committee on Open Government](#)

For assistance call: 518.457.9375 or email pio@cs.ny.gov

Please Note: A person who has been denied access to a requested record by the Records Access Officer shall have the right to appeal the denial of access to the Records Appeals Officer. An appeal to the Records Appeals Officer must be in writing and shall be addressed to:

Records Appeals Officer
New York State Department of Civil Service
Empire State Plaza
Albany, NY 12239

I. LIST OF RECORDS

This List of Records constitutes a reasonably detailed current list by Program Area of records in the possession of the New York State Department of Civil Service and the Civil Service Commission, whether or not available under the State Freedom of Information Law. By providing a description of the information sought, the Records Access Officer can provide assistance in identifying records.

II. RECORDS NOT AVAILABLE FOR PUBLIC INSPECTION OR COPYING

The State Freedom of Information Law authorizes the department to deny access to certain records or portions thereof, including, but not limited to:

- Records which are specifically exempted from disclosure by state or federal statute
- Examination questions and answers
- Records whose disclosure would constitute an unwarranted invasion of personal privacy
 - Inter-agency or intra-agency records that do not affect the public or are not final agency policy or determinations or statistical or factual tabulations
 - Reference should be made to the State Freedom of Information Law, Article 6 of the Public Officers Law, for a complete description of agency records not subject to public inspection and copying

III. REQUESTS

Requests for access to or copies of department records should be submitted to the attention of the Records Access Officer via e-mail to pio@cs.ny.gov or by mail:

NYS Department of Civil Service, Empire State Plaza, Albany, NY 12239

Note: No street address is required for mailing purposes. All requests will be acknowledged within five business days of receipt by the Public Records Access Officer. Records are typically e-mailed.

IV. FEES

In general, a fee of 25 cents a page may be charged for copying documents of standard or legal page size. There is no charge for inspection of records or for any search for records or certification of a record.

V. APPEAL FROM DENIAL OF REQUEST FOR PUBLIC INSPECTION OR COPYING

A request may be denied upon a determination by the Records Access Officer that public access to the record is not required or is prohibited by law. You have the right to appeal a denial. If a request is denied, the denial and appeal procedures will be explained and transmitted in writing. An appeal of a denial must be made in writing to the Appeals Officer within 30 days after receipt of the denial. The Appeals Officer will issue a written decision within ten business days of receipt of the appeal.

VI. AUTHORITY

These procedures are based upon the State Freedom of Information Law, Article 6 of the Public Officers Law, and Part 80 of Title 4 of the New York Code of Rules and Regulations, which are available at local civil service commissions, libraries and many organizations that are concerned with public activities.

Program Area: Administrative Services

Building and Grounds

- Building Leases
- Parking Lots Assignments
- Space Utilization

Central Files

- Department File - Correspondence and Personnel Transactions
- Eligible Register Card File (Inactive - Eligibility Expired)
- Employment History File (Inactive - Former Employees)
- Examination Application and Answer Paper File
- Microfilm Records - Correspondence

Directories

- Functional/Telephone Directory

Finance

- Bank Balance Report
- Contracts & Amendments
- Department Cash Expenditure Report
- Fiscal Management (Division of Budget Spending Plan)
- Credit Card Reports
- Petty Cash Reconciliation
- Premium Rates and Costs
- Procurement Materials
- Program Invoices
- Purchase Orders
- Accounts Payable Vouchers
- Report of Money Received
- Purchases from Minority and Women-Owned Business Enterprises
- Telephone Toll Reports

- Travel and Transportation Expense Reports

Mail and Supply Operations

- Postage Meter Readings (Monthly)
- Supplies Inventory

Management Assistance

- Application Fee Due Reports

Program Area: Audit and Risk Management

Charter

- Policies and Procedures

Audit Services

- Department Program Audits
- NYSHIP Vendor Audits
- Certification of Internal Controls over the Payment Process Audits

Risk Management Services

- Consulting Services Memoranda and Supporting Documentation
- Continuity of Operations Plan and Emergency Recovery Plans
- Division of Budget Internal Control Memoranda/Items
- Internal Control Certifications
- Internal Controls Correspondence and Memoranda
- Internal Control Guidance Documents
- Internal Control Program Documentation
- Internal Control Reviews and Compliance Tests
- Internal Control Summary Reports
- Internal Control Training Materials
- Statewide Financial System Reviews
- NYSHIP Vendor HIPAA event notifications and risk assessments

Program Area: Classification and Compensation

General

- General Correspondence-Classification and Compensation

Recommendations, Determinations and Appeals

- Traineeship Proposals
- Classification & Allocation Requests
- Negotiating Unit Change Requests
- Out-of-Title Work Grievance Recommendations
- Overtime Eligibility Determinations
- Salary Differentials Requests

Reference Material

- Classification Standards
- Title and Salary Plans (Current and Historical)
- Salary Allocation File
- Title Salary Grade History
- Title File for Each Active State Title
- Working Papers - Background Material on Agency Programs, Organizations and Subjects

Studies and Surveys

- Salary Surveys
- Occupational Studies - Specific Titles
- Studies of Classification and Compensation System

Program Area: Commission Operations

General

- Appeal Guidelines
- Correspondence
- Leave of Absence Requests
- Reinstatement Requests
- Suspension of Attendance Rules

Jurisdictional Classification

- Earmark Removal Requests and Supporting Documentation
- Jurisdictional Classification Requests and Supporting Documentation Submitted by State Agencies
- Resolutions

Manuals and Forms

- Civil Service Commission Meetings
- Minutes and Indexing

Program Area: Counsel

Subject Matter and Correspondence

Program Area: Diversity and Inclusion Management

Brochures and Publications

- Workforce Diversity and Inclusion Strategic Plan
- Workforce Diversity and Inclusion Framework and Implementation Plan
- Procedures for Implementing Reasonable Accommodation for Applicants and Employees with Disabilities and Pregnancy-related Conditions in New York State Agencies

General

- Correspondence
- Agency Assessment Survey Responses
- Agency Annual Report Responses
- Agency Quantitative Worksheet Responses
- Annual DCS-ODIM Feedback to Agencies
- 55b/c Application Materials

Manuals

- ODIM Standard Operating Procedures Manual (in development)

Disability Identification, Gender and Ethnicity

- Reports
- Self-Identification Report

55 b/c Unit

- General/Administrative
- Division/Department Policies
- Monthly and Weekly Reports
- Client Files
- Related Files

Program Area: Employee Benefits

General

- Benefit Brochures, Publications & Mailings
- Correspondence
- Insurance Certificates
- Health Benefit Administrator's (HBA) Handbook
- Local Government Participation Approvals
- Resolutions Electing Participation in State Health Insurance Plan
- Enrollment/Experience Reports
- Policy Memorandum
- HBA Memos

Program Area: Employee Health Service

General Administration

- Clinic Locations and Hours of Operation
- Location of Nurse Units
- Daily Clinic Schedules
- Monthly Operational Reports
- Workload Statistical Reports
- Internal Control Files
- Agreements with Agencies for the Provision of Services
- Agreements and Contracts with Medical and Psychological Service Providers

Manuals

- Administrative and HIPAA Policies and Procedures
- Clinic Policies and Procedures
- Nursing Services Manual

Medical Records

- Individual (Client) Medical Records
- Individual (Client) Nursing Records
- Group Medical Standards
- Patient Immunization Logs
- Radiology (X-Ray) Film Files

Program Area: Human Resources and Administrative Planning

Employee-Related

- Confidential Employee Personal History Files
- Employee Performance Evaluations
- Labor Relations Files
- Employee Personal and Emergency Contact Information
- Ethics Filers
- FMLA Designation Records
- Performance Evaluation Program – Rules and Procedures
- Processed Personnel/payroll transactions
- Transactional Correspondence

General Personnel Administration

- Attendance and Leave - Practices and Policies
- Correspondence File
- Employee Handbook
- Employee Management Relations (Organized Employee Groups)
- General Reports & Surveys
- General Administration Manual

Recruitment

- Application for Employment
- Resumes
- Classification Request Records
- Request to Hire forms
- Interview Evaluation forms
- Onboarding/Offboarding Records
- Job Vacancy Announcements

General

- Employee Emails
- Mentoring Program Applications
- Telecommuting Program Applications
- Reasonable Accommodations
- Workplace Violence Prevention Policy
- Domestic Violence & the Workplace Policy

Program Area: Municipal Services

Examinations

- Examination Correspondence
- Local Examination Information
- Master Examination Schedule (Yearly)
- Questions and Answers on Municipal Civil Service Examinations

General

- Correspondence
- Local Civil Service Agency Advisory Memoranda
- Circular Letters
- Policy Advisory Reports
- Information Memoranda
- Job Specifications
- Legal Opinions on Municipal Civil Service Issues
- Local Civil Service Agency Rules

Civil Service Commission Operations (Local Government) Annual Reports of Local Civil Service Agencies

- Annual Report Summaries and Analysis
- Jurisdictional Classification Requests and Supporting Documentation Submitted by Municipal Civil Service Agencies
- Staff Memoranda to State Civil Service Commission
- State Civil Service Commission Policy Documentation

Manuals and Forms

- Application Review
- Civil Service Commission Meetings
- Civil Service Management Procedures for New Commissioners
- Civil Service Rights of Veterans
- Employee Discipline
- Examination Administration
- Jurisdictional Classification of Civil Service Positions
- Position Classification
- Recruitment and Job-Related Selection
- Reductions in Force in Local Government (Layoffs)
- Payroll Certification
- Personnel Transaction Management
- Roster Record Maintenance

Section 211 Waiver Processing

- Applications and Supporting Documentation Related to Requests to Re-employ Public Retirees Pursuant to Section 211 of the Retirement and Social Security Law
- Case Analysis Summaries of Requests to Re-employ Public Retirees Pursuant to Section 211 of the Retirement and Social Security Law
- Correspondence

Studies and Surveys

- Individual Reports Submitted by Municipal Civil Service Agencies to the State Civil Service Commission
- Summaries of Annual Reports Prepared by the State Civil Service Commission Audits of Municipal Civil Service Agency Operations
- New York City Provisional Reduction Plan Reports
- Position Classification Studies
- Technical Assistance Reviews

Training

- Presentation documents related to topics including:
- Application Review
- Civil Service Rights of Veterans
- Employee Discipline
- Examination Administration
- Jurisdictional Classification
- Municipal Government Consolidation & Organization
- Position Classification
- Recruitment
- Reductions in Force in Local Government (Layoffs)
- Payroll Certification
- Personnel Transaction Management

Employee Suggestion Program Information

Program Area: Public Information

General

- Department Publications Listing
- News Releases
- General Correspondence

Program Area: Staffing Services Division

Eligible Lists and Certifications

- Canvass Report and Responses Certification
- Eligible List
- Extension Notice
- Request for Restoration
- List Restriction Explanation

Examinations

- Alphabetic Rosters
- Announcement - Tentative
- Announcement - Final
- Application of Candidate
- Application Clearance Report
- Application Disapproval - Letter to Candidate
- Candidate Review Declaration
- Content of Examination Folder Checklist
- Continuous Recruitment Listings
- Guide for Expert Examiners and Consultants
- Needs of the Service
- Notice of Cancellation Suspension (CR)
- Notice of Results of Comparable Examination
- Notification of Written or Oral Test Results
- Oral Examiner
- Oral Test
- Record of Disposition of Applications
- Request for Examination Folders
- Request for Statement of Minimum Qualifications
- Summary of Oral Test Examiners' Ratings
- Summary of T&E or Performance Rating Sheet
- Training and Evaluation Material

Manuals

- Attendance and Leave Manual
- Guidelines for Reductions in Force
- NYSTEP User Manuals
- Selective Certification Profile Generator Guide
- Staffing Services Manual
- State Personnel Management Manual

Personnel Data

- Appropriate Title or Eligible List Requests
- APPS Information (Personnel Records/NYSTEP)
- Employment History Record Cards
- 52.6 - Title Decisions Listing
- 70.1 Transfer Decisions
- Leave Benefits

Career Mobility Office

- ARTL/Preferred List/Reemployment Roster Comparability Determinations and Review Documentation
- ARTL/Preferred List/Reemployment Roster Eligible Records
- ARTL/Preferred List/Reemployment Roster List
- Certifications or Clearance Codes
- Transfer/Reinstatement Information Sheet

- Veterans Temporary Hiring Program Information
- Workshop information
- RIF Impact Records

Disability Identification, Gender and Ethnicity

- Civil Service Law/Misc. Legislation
- Department/Division Procedures/Policies
- DPM 100 and 325 forms
- Executive Orders

Program Area: Strategic Planning and Innovation

General

- Lean Program Documents
- Civil Service Institute Documents
- Strategic Planning Documents
- Civil Service Report Tracking
- Portfolio Management Documents
- Mandated State Employee Training

Program Area: Testing Services

Test Development Records

- Examination Planning Materials
- Examination Scoring Records
- Item/Test Analysis
- Job Analysis Materials
- Notice of Intent to Take an Examination (XD-35)
- Test/Score Reviews, Objections, & Appeal Records
- Research Materials, Including Special Analysis Projects, Validity Studies
- Security Agreements for Expert Examiners and Consultants (T-400)
- Test Administration Documents
- Test Development Materials
- Test Guides
- Test Items
- Test Scores

Testing Support Services Records

- Advance Report (State)
- Exam Arrangement Report
- Special Monitors Instructions
- Batch Site Assignments
- Candidate Answer Records
- Candidate Answer Sheets
- Candidate Counts
- Candidate Survey Records
- Candidate Identification Records

- Same Household Report
- Deadline Schedules
- Disposition of Veteran's Credits and Permanent Veterans' Files
- Examination Administration Payment Records
- Examination Admission Records
- Examination Control Records
- Examination Request and Scheduling Records
- New York State Civil Service Examination Announcements
- Print Shop Job Orders
- Shipping Reports
- Special Accommodations and Alternate Test Date Records
- Test Administration Materials
- Test Booklets

Administrative Records, Reports, Manuals, and Training Materials

- Correspondence
- Contracts
- Court Case Records
- Division Control and Tracking Records
- Special Project Records and Reports
- Testing Services Division Examiner's Manual
- Testing Services Division Test Center Supervisors Manual and Monitors Handbook
- Testing Services Division Manager's Report
- Testing Services Division Statistical Reports
- Training and Informational Presentations
- Reference Materials
- Monitors Quick Reference Guide