



Catalog of Records – Updated January 2019

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

Premises - Fire Safety (Tenant Safety Organization Members)

Space Utilization

Telephone Orders

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

Appropriation Ledgers (OSC Reports)
Bank Balance Report
Bi-weekly Payroll Forms
Charge Back File
Department Cash Expenditure Report
Fiscal Management (Division of Budget Spending Plan)
Credit Card Reports
Payroll Roster
Petty Cash Reconciliation
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: Classification and Compensation

General

General Correspondence-Classification and Compensation

Recommendations, Determinations and Appeals

Trainee Plans and Approvals
Classification & Allocation Requests/Appeals
Negotiating Unit Change Requests

Salary Differentials Requests/Appeals

Out-of-Title Work Grievance Recommendations
Overtime Eligibility Determinations

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 Programs, Organizations and Subjects

Studies and Surveys

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

Program Area: Commission Operations

General

Appeal Guidelines
Correspondence
Leave of Absence Requests
Reinstatement Requests
Suspension of Attendance Rules
Vacant Exempt Class Position Reviews

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: 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
Procurement Materials
Requests for Information (RFI)
Requests for Proposals (RFP)
RFI & RFP Responses
Contracts & Amendments
Enrollment/Experience Reports
Program Invoices
Premium Rates and Costs
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: Internal Audits

Department Internal Audits

Program Area: Internal Controls

Comptroller's Reports
Four Step Process
Internal Control Certifications
Internal Controls Correspondence and Memoranda
Internal Control Program Documentation
Internal Control Reviews and Compliance Tests
Internal Control Summary Reports
Manager's Guide
Vulnerability Assessments

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

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

Program Area: Municipal Service

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

Program Area: Office of Human Resources and Administrative Planning

Brochures and Publications

Employee Evaluation

Personnel Appraisal Program- Rules and Procedures

Employee Related

Administrative Organization - Division/Section Employee Material

Confidential Employee Folder

Employee Benefits and Services

- Dental Program
- General - Excluding Health
- Health Insurance
- Health Programs - Guidelines and Background
- Management/Confidential Life Insurance

General Personnel Administration

Administrative Organization

- Department Tables
- Attendance and Leave - Practices and Policies
- Chronological File - Typing Record

- Conference Folders - Awards
- Correspondence File
- Employee Handbook
- Employee Management Relations (Organized Employee Groups)
- General Reports & Surveys
- General Administration Manual
- Personnel

Recruitment

Application for Employment

Resumes

General

State Employee Training

Completed Course Files

Course of Study Files

Employee Training and Development Record

Management Development, Tuition Support

Sexual Harassment Policy

Program Area: Public Information

General

News Releases

Department Publications Listing

Employee Suggestion Program Information

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 Candidates Control Card
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

Guidelines for Reductions in Force
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
Reports
Self-Identification Report

55 b/c Unit

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

Program Area: Strategic Planning and Management

General

Lean Program Documents
Civil Service Institute Documents and Plan
Strategic Planning Documents
Civil Service Report Tracking
Portfolio Management Documents

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 Booklet Control Cards
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