

**NEW YORK STATE INSURANCE FUND SUBJECT MATTER RECORDS LIST  
PURSUANT TO PUBLIC OFFICERS LAW §87(3)(c)  
3/20/19**

**Committee on Open Government:** <http://www.dos.ny.gov/coog>

<u>SERIES TITLE</u>	<u>DESCRIPTION</u>
<b><u>WORKERS' COMPENSATION POLICYHOLDER SERVICES</u></b>	
Policyholder Premium Audits	Payroll information compiled by field auditors to determine premiums
Deposit Premium Reviews	Description of policyholder's location and operations with payroll projections for the policy year
Premium Audit Practices and Procedures Manual	Contains policies, practices, procedures and guidelines for Premium Audit staff to follow.
Premium Audit A-Memos	Contains updates to staff and changes in policies, practices and procedures.
Exit Interview Forms	Contains summary information of audit results. It is provided to the person who presented our auditor with the records at the time of the audit.
New York Construction Classification Premium Audit Adjustment Program (NYCCPAP) Audits	Contains payroll and hours worked information obtained and compiled by field auditors for use in determining the construction credit.
Workers' Compensation Policy Files	Application, New Business System (I-NB), Information Pages (new policy declarations, renewal statements, audit statements) and premium statements; all correspondence on insured (paper and e-file)
Mailing Manifests & Return Receipt Cards for Non-Payment Cancellations	Lists of Certified Notices of Cancellation & Return Receipt Cards
Budget Preparation Data	All information used in preparing budget of Policyholders Services Department
Rating Board Bulletins, Memos & Correspondence	All information used by WCB & Compensation Insurance Rating Board to change procedures
Safety Group Technical Administrative File	Original copies of the group rules for each safety group as well as other papers and correspondence relating to the group
Policyholder Services Administration Informational Memos	All memos to staff re: changes in procedures, laws and regulations
Underwriting Procedural Manual (UPM)	Contains policies, procedure and guidelines relating to the underwriting of workers' compensation insurance

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<b><u>SERIES TITLE</u></b>	<b><u>DESCRIPTION</u></b>
Policyholder Service Reports	Data on policyholder ownership, number of employees, sites, operations, payroll, materials, covered entities, safety and demolition surveys, retention efforts and visual education
Administration Files	Personnel files, general correspondence, memos and releases, NYSIF & Dept.'s directives, WCB and NYCIRB data
Sales & Marketing Reports	Calls made on new prospects, brokers, representatives and agents
Monthly Performance Summaries	Unit & Department activities in policyholder service, loss control, new business acquisition & retention, visual education
Code Rule 59 Program	Consultations, compliance reports, Department of Labor Letters and service history reports

**WORKERS' COMPENSATION CLAIMS**

Vendor Correspondence	Correspondence with vendors as an aid to claims processing
Claims Dept Committees' Reports/Surveys	Reports and surveys relating to claims processing
Claims Department Policy and Procedure Documentation	Bulletins, manuals, training documentation, and Claims software user documentation
Workers' Compensation Claim Files	All correspondence and documentation pertaining to Workers' Compensation claims
Production Statistics	Claims Department's production statistics
Budget Preparation Data	All material pertaining to budget preparation

**DISABILITY BENEFITS**

Disability Benefits Claim Files	All correspondence and documentation pertaining to Disability Claim Files
Disability Benefits Policy Files	Application and correspondence on policyholder
Disability Payroll Reports	Employers' payroll reports re: premium payments

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<b><u>SERIES TITLE</u></b>	<b><u>DESCRIPTION</u></b>
	<b><u>ADMINISTRATION</u></b>

**Facilities Management, Mail & Purchase**

Purchase Orders	Records of all purchases by NYSIF
Register of Registered & Certified Mail	Listing of each piece of mail with all the pertinent data.
Project Folders-Construction, Remodeling & Space Planning	Floor/Building Plans with details about all construction and remodeling, including wiring & equipment
Fire Safety Program	Records of all safety teams and of all fire drills in all offices
Stock Catalogue	Listing of NYSIF's forms and supplies
Building Receptionist Report	Listing of all visitors to the building along with the time, date and individual who visited

**Personnel & Payroll**

Personnel Folders	Complete record of each individual employed by NYSIF
Undistributed Salary Checks	Record of checks not distributed due to absence of employee on payday
Timecards	Record of employees' daily attendance
Payroll Refunds	Record of paychecks (maintained by year) returned to Albany for adjustments and re-issuance. Copy of the refund notice is also maintained in the subject employee's personnel folder
Decentralized Eligible List	Eligibility lists for open competitive and promotion tests
Recruitment/canvass records	Records of all canvasses (maintained for two years), hiring authorizations and related personnel transactions
Computerized employee information	Employee personal data including addresses, social security numbers, telephone numbers and emergency contacts

**Contracts**

Procurements, Request for Proposals (RFPs), Invitation for Bid (IFBs),	Bids/Proposals, Contracts, Contract Amendments, Certified Bid Tabs, Contract Purchase Orders, EO127 forms, ST 220 Tax Certifications, Procurement Record Checklist, Contract Reporter Insertion Forms, Vendor Responsibility Checklist, Bidders List, RFP Evaluation Summaries, Exemption from Advertising Justifications
Article 1-a – Lobbying Act	Lobbying forms, certifications, and profiles

**Minority- and Women-owned Business Enterprise (MWBE)**

Master Goal Plan	Comprehensive annual M/WBE agency plan
Quarterly Utilization Reports	Reports of NYSIF's M/WBE activity for each quarter

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<b><u>SERIES TITLE</u></b>	<b><u>DESCRIPTION</u></b>
<b><u>Fleet Management</u></b>	
Vehicle Use Cost Reports	Monthly reports of mileage, fuel and maintenance costs
Pool Logs	Monthly pool manager reports of mileage, fuel and maintenance costs
Division of Budget Fleet Overview Report	Annual vehicle usage and projected changes to fleet
Internal Vehicle Tracking Logs	To track vehicle assignments, registrations, NYS inspections, drivers' licenses & related vehicle info
NYS Vehicle Registrations	Kept on file for each vehicle owned by NYSIF
Form AC-3173	Agency reports of taxable value of personal use for employer-provided vehicles
NYS Automobile Tracking Applications	Report on fleet management inventory

**DIVISION OF CONFIDENTIAL INVESTIGATIONS**

DCI Case Management System	Electronic investigation files, including case management reports, unit statistical data, investigator comments, restitution records, prosecution data.
DCI Administration Files	Miscellaneous correspondence, logs and memoranda and purchase orders re: administration of the unit, personnel, supplies, equipment and unit vehicles.
Fraud Plan File	Fraud Plan filed with New York State Department of Financial Services, all amendments thereto and correspondence and back-up documents relating to same, public awareness program and yearly statistical data concerning unit performance.
Procedure Manual	Manual outlining procedure protocol for Division.
Investigation Reports/Arrest Packages	Evidentiary presentation folders given to prosecutors when an arrest of a subject is sought.
Legal Files	Files maintained by Division staff attorneys relating to investigations conducted by the unit and files pertaining to general legal matters involving DCI.
Disclosure Logs	Lists of documents disclosed by unit law enforcement agencies, other governmental entities and third parties.
IFB-1s	Reports of suspected fraud to Insurance Frauds Bureau of NYS Department of Financial Services
Investigation Files	Paper investigation files maintained by staff as needed.

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<u>SERIES TITLE</u>	<u>DESCRIPTION</u>
	<u>LEGAL</u>
Legal Administration Files	Files re: legal matters of NYSIF & administration of the Legal Dept.
Collection Litigation Files	All correspondence and documents with a cancelled policyholder re: collection of premiums.
Loss Transfer Files – Third Party	Claims documents and arbitration notices.
Lien Litigation Files – Third Party	Pleadings, legal papers and correspondence.
Child Support/Income Execution Files	Correspondence and files.
Extra-territorial Files	Documents regarding the handling of workers’ compensation claims filed against NYSIF policyholders in states outside New York State.
Litigation files	Documents re: Third-party litigation in connection with Workers’ Compensation/Employer’s Liability coverage.
File Maker Pro Database	Maintained by Legal Collection Division for Debt Collection History.
Legal Litigation Database	Legal Litigation Division indexing system listing cases in litigation noting SIF monitoring attorneys assigned, names of parties and their attorneys, trial counsel assigned to defend SIF’s policyholder, type of case, venue, lien information and legal reserves.
Legal Third Party Division	Database for Third-Party Division noting parties, their counsel, venue, lien information & extraterritorial issues.
Workers’ Compensation Appeals	Documents and correspondence used to appeal Workers’ Comp. Board’s decisions to Appellate Court.

**INTERNAL CONTROLS DEPARTMENT**

Office of the State Comptroller (OSC) Internal Controls over Payment Process	
B-350 Division of Budget (DOB)	Ensure compliance with the NYS Governmental Accountability, Audit and Internal Control Act
Model Audit Rule Reporting (MAR)	Management’s Report of Internal Control over Financial Reporting (ICFR)

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**SERIES TITLE**

**DESCRIPTION**

**INFORMATION TECHNOLOGY**

Vendor Bills/Contracts	RFPs/executed contracts for services used exclusively by ITS. Invoices received for goods/services handled by ITS.
Telephone Bills & Repair Records	All bills presented for payment and repair orders of all NYSIF offices.
Records Concerning Request for ITS	Requests for Programming changes services/Project maintenance for fixing bugs, enhancements and revisions in response to legislative changes. Any and all requests for development by ITS stakeholders.
Hardware Information	Records on all hardware devices utilized by ITS. This would include diagrams, function, estimated useful life, service history, location, etc.
Software Information	Licensing requirements, devices installed on, updates, version information, patches, acquisition history including updates, etc.

**MEDIA AND PUBLICATIONS**

NYSIF Annual Report	Archive copies of annual report dating to 1914 in hard copy and/or electronic format
Workers' Comp. Advisor	Archive copies of policyholder newsletter dating to 1984 in hard copy and/or electronic format
The Reporter	Archive copies of employee newsletter dating to 1982 in hard copy and/or electronic format
Assorted brochures	Archive copies of all commercially printed NYSIF marketing brochures dating to 1982 in hard copy and/or electronic format
Press releases	NYSIF press releases on file in hard copy and/or electronic format
Photos	Staff photos dating to 1982 in electronic format

**BOARD OF COMMISSIONERS**

Quarterly Board Financial Report (encompassing underwriting, claims, financial, and investment reports)	The NYSIF Board of Commissioners meets on a monthly basis, except in August.
Board Meeting minutes and Resolutions	Monthly, as described above

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**SERIES TITLE**

**DESCRIPTION**

**INTERNAL AUDIT DEPARTMENT**

Engagement reports/memoranda and Supporting Workpapers	All documentation for Internal Audit engagements (audit, review, follow up, and consulting service) including final audit reports/memos, supporting documentation, and applicable workpapers
Analyses and Special Projects	All documentation for Internal Audit analysis and special projects, including final reports/memos, supporting documentation, and applicable workpapers
Audit Agendas	A list of all high, medium, and low risk functions identified through the risk assessment process
Memos and Reports	All final engagement reports/memos generated by IAD
Risk Assessments	Documentation supporting Internal Audit's risk assessments, including correspondence with department and district office management and supporting workpapers
General Administration Documentation	All memos to staff and general administrative documentation for the department
IAD Procedural and training Manuals	All Internal Audit Department policies and procedures.
IAD Charter	The formal document that defines the Internal Audit Department's purpose, authority, and responsibility. The Charter authorizes access to records, personnel, and physical properties relevant to the performance of engagements and defines the scope of internal audit activities

**CUSTOMER SERVICE**

Department of Financial Services Complaints	Listing of consumer complaints submitted to the Department of Financial Services regarding NYSIF.
Language Access Tracking System	Database of NYSIF service to individuals with Limited English Proficiency (LEP)
Correspondence	Letters to the editor, businesses, associations, customers, and elected officials on file in hard copy and/or electronic format

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<u><b>SERIES TITLE</b></u>	<u><b>DESCRIPTION</b></u>
	<u><b>INVESTMENTS</b></u>
Annual Report	NYSIF's Annual Certified Financial Statements
Investment Committee Quarterly Report	Compiled by the independent Investment Adviser
Minority- and Women-owned Business Enterprise (MWBE) Participation	NYSIF is required by WCL § 87-i(2)(b) to annually report to the Governor, Legislature and Chief Diversity Officer on the participation of MWBE asset managers, financial institutions and professional service providers in investment and brokerage transactions with or as providers of services for NYSIF, and on the progress and success of efforts undertaken during the previous year.
Investment Compliance Reports	Weekly Investment Compliance Report Monthly Investment Compliance Report Quarterly Turnover Report Investment Compliance Annual Summary

**DEPARTMENT OF FISCAL MANAGEMENT**

**Actuarial**

**Technical Section**

Disability Benefits Operating Results	Periodically as needed summarizing the status of Disability Benefits Fund's operation
Workers' Compensation Operating Results	Periodically as needed summarizing the status of Workers' Compensation operation
Workers' Compensation Premium Information	Computer reports listing Workers' Compensation premiums and associated statistical data

**Special Groups**

Trade Group Accountings	Losses, Premiums & Accounting Statements used in determining group dividends
Retrospective Group Accounting	Losses, Premiums & Accounting Statements used in determining premium adjustment

**Pension Valuation**

Cost of Pension Claims	Standard forms & Actuarial tables used to establish the cost and description of a claim
Mathematical Computations for Aggregate Trust Fund	Computations of the amount of current deposits needed to satisfy future claims and late payments' interest
Payments Made to Aggregate Trust Fund Claimants & Dependents	Listing of checks sent to dependents and claimants



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<b><u>SERIES TITLE</u></b>	<b><u>DESCRIPTION</u></b>
<b>Rating Board Experience Unit</b> Experience Rating Folders	Data sheets containing new rules from NYCIRB
<b><u>Accounting</u></b> <b>Finance</b>	
Audited Financial Statements	Audited Statutory Basis Statements of Admitted Assets, Liabilities and Surplus, Statutory Basis Statements of Income, Statutory Basis Statements of Surplus, Statutory Basis Statements of Cash Flows and Notes to Statutory Basis Financial Statements.
Annual Statement - Department of Financial Services	Annual statutory insurance filing to New York State Department of Financial Services that includes Statement of Assets, Liabilities and Surplus, Statement of Income, Statement of Cash Flows, multiple Underwriting and Investments Exhibits, Notes to Financial Statements, Schedule Ds and Schedule P.
Quarterly Statement – Department of Financial Services (3 filings)	Quarterly statutory insurance filing to New York State Department of Financial Services that includes Statement of Assets, Liabilities and Surplus, Statement of Income, Statement of Cash Flows, multiple Underwriting and Investments Exhibits, Notes to Financial Statements, Schedule Ds and Schedule P
<b>Accounts Payable Vendor – Oracle</b> Payment Registry - Treasury & Non-Treasury Five-Year Financial Highlights WCF BOC Quarterly Reports	Preliminary and final runs occur, additional reports generated “Invoice on hold” and “Invoice aging report”. Executive Summary Quarterly Reports
<b>Cash Management</b> Official Payments Unclaimed Funds Check Reconciliation-Oracle Positive Pay File	Credit card payments for premium. Unclaimed funds turned over to OSC Bank cash checks filed matched to NYSIF Oracle. Confirmation of daily issuance file to Bank.
<b>Accounts Payable Reports</b>	
WCF, DBF, ATF Monthly Stop Payments	Created from mainframe/DBL system except for WCF. DBF policyholder Cancels & Stops are prepared on an Excel spreadsheet. All are entered on an ADI template and updated to Oracle Financials – General Ledger
WCF, DBF, ATF Monthly Forgeries Financial Data Administrators	Monthly Datawarehouse Reports

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<b><u>SERIES TITLE</u></b>	<b><u>DESCRIPTION</u></b>
<b>Budget</b>	
Annual Administrative Budget	Annual budget submission for approval as per WCL Section 88
Annual Budget and Expenditures	Final accounting of administrative account expenditures compared to the budget for those accounts

**Receivables Management**

Six Month Analysis of the Inadmissible Accounts	Produced monthly
Collection Vendor Results	Monthly Analysis
Departmental Organization Chart	Semi-annual
Extraordinary Reinstatement Requests by Business Office	Yearly Analysis
Collection Vendor Receipts and Inventory	Yearly Analysis

**From Beacon:**

Collection Agencies: Aging of the Inadmissible Assets by Account Status  
 Inadmissible Aging of Assets by Account Status  
 Inadmissible Assets by Account Status  
 Inadmissibles by Major Account Status and Major Collection Code  
 Inter-Agency Collection Project (All Inadmissibles)  
 Legal Top 100

**Refund Unit**

1. Delinquent Activity – Policyholders Accounts. Refund Unit A, B,C & D...1 copy	<i>Note :</i> (i) Items #1-4 are daily lists (ii) Item #5 is printed only on declaration of group dividends. (iii) Item #2, Credit Bills, - - Not required to continue to print. (iv) Only one copy each is required for item #1, 2 & 3.
2. Credit Bills. Refund Units A, B, C & D...1 copy	
3. Refund Created by Billing Cycle for Units 1,2,3, & 4...2 Copies	
4. Rejects from Refund Load for Units 1,2,3, & 4...2 copies	
5. Dividends – For Refund Units A,B,C & D...2 copies	

**Receipts Unit of Receivable Management**

WC – New business credit to mainframe	Daily reports from iCMS
WC – 312 Download	--
WC – Comppay: Cashc/AR	Reports from Comppay
ATF – Comppay: Cashc/AR	Reports from Comppay
DB – Cash Receipt Register	Reports from ITS
WC – Cash Receipt Register	Reports from ITS

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15 day legal suspense	Monthly reports sent to Claims Dept.
30 day New Business Suspense	Monthly reports sent to PHS Managers For Finance
Reversal of Credits from Suspense	Payments which are removed from Suspense status and properly applied to a claim, policy or expense account
Acct. to Claims Acct. for the month of ____.	Monthly list of all payments/reimbursements applied to claims

**Disability Benefits Unit of Receivable Management**

Daily Activity report – DAR	Cancelled policies, requiring reinstatement via payment or credit
Refund (for reverse debit write-off) Suspense	Refund reversed showing a debit write off Improper or no policy numbers
RMS (Third Party Collections Agent)	Reporting policies to third party collection agency RMS
D & B	Reporting policies to Dunn & Bradstreet
Legal	Legal policies reported to Legal Dept.
Processing summary	Specific information for Finance Dept.
NG	No good checks, did not clear deposit
Cash register	All money transactions with the bank
Non Scannable report from bank	Checks not scanned by bank, check copies are provided
Scannable report from bank	Payment checks w/bill stubs scanned by the bank
Refunds (list from underwriters)	Policy review showing refund/write-off once payroll report posted
Trial balance (monthly)	

**Workers' Compensation Collection Reports (Daily)**

Daily Activity report (DAR)
NG Report
Processing Summary
Suspense Report
Compensation Policy Reinstatement
Compensation Policy Cancellation
Interest Report
JE Transactions
Delinquency Activity – D & B Agency
Service Charge Report for Tran-codes 463 & 464
History of Cancellation Overrides
Cancellation Override Report

**Financial Planning & Analysis**

Files related to various aspects of planning and budgeting for the different areas