

**NEW YORK STATE INSURANCE FUND SUBJECT MATTER RECORDS LIST
PURSUANT TO PUBLIC OFFICERS LAW §87(3)(c)
3/19/21**

Committee on Open Government:

<http://www.dos.ny.gov/coog>

[SERIES TITLE]

[DESCRIPTION]

POLICYHOLDER SERVICES

Policyholder Premium Audits	Payroll information compiled by field auditors to determine premiums
Premium Audit Secure Uploaded Documents	Documents uploaded to secure site for auditors to complete audits remotely in lieu of onsite visits
Premium Audit Monthly Performance Reports	Monthly reports on various aspects of PA operations
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 and 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)
Disability Benefits Policy Files	Application and correspondence on policyholder
Disability Payroll Reports	Employers' payroll reports re: premium payments
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 Policyholder Services Division
Rating Board Bulletins, Memos & Correspondence	All information used by WCB & New York Compensation Insurance Rating Board (NYCIRB) 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)	The UPM contains policies, procedure and guidelines relating to the underwriting of workers' compensation insurance
Policyholder Services Field Reports	Data on policyholder ownership, number of employees, sites, operations, payroll, materials, covered entities, safety and demolition surveys, retention efforts and visual education

[SERIES TITLE]

[DESCRIPTION]

Administration Files

Personnel files, general correspondence, memos and releases, NYSIF & department 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

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

Bulletins, manuals, training documentation, and

Documentation

Claims software user documentation

Workers' Compensation Claim Files

All correspondence and documentation pertaining to Workers' Compensation claims

Production Statistics

Claims Department's production statistics

Disability Benefits Claim Files

All correspondence and documentation pertaining to Disability Claim Files

ADMINISTRATION

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

Contracts

Request for Proposals, Invitation for Bid, 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

As described

Legislative Law (Article 1-a) – Lobbying Act

Lobbying forms, certifications, and profiles

Minority & Women's Business Enterprise (M/WBE)

Master Goal Plan

Comprehensive annual M/WBE agency plan

Quarterly Utilization Reports

Reports of NYSIF's M/WBE activity for each quarter

[SERIES TITLE]

[DESCRIPTION]

Personnel & Payroll

Personnel Folders

Complete record of each individual employed by NYSIF

Timecards

Record of employees' daily attendance

Decentralized Eligible List

Eligibility lists for open competitive & 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, SSN, telephone numbers and emergency contacts

Fleet Management

Vehicle Use Cost Reports

Monthly driver 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 record vehicle assignments, track vehicle registrations, NYS inspections, driver's licenses and related vehicle information

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

LEGAL

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 and their counsel, venue, lien information and extraterritorial issues.

Workers' Compensation Appeals

Documents and correspondence used to appeal Workers' Comp. Board's decisions to Appellate Court.

[SERIES TITLE]

[DESCRIPTION]

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	Back-up paper investigation files maintained by individual investigators as needed.

INFORMATION TECHNOLOGY

Vendor Bills/Contracts	The 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.

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

[SERIES TITLE]

[DESCRIPTION]

Actuarial: 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

Actuarial: 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 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

Actuarial: Rating Board Experience Unit

Experience Rating Folders

Data sheets containing new rules from NYCIRB

Accounting: Finance

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 NYS DFS 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 statutory insurance filing to NYS DFS 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)

Accounts Payable Vendor – Oracle

Payment Registry - Treasury & Non-Treasury

Preliminary and final runs occur, additional reports generated "Invoice on hold" and "Invoice aging report"

Five-Year Financial Highlights Executive Summary

As described

WCF BOC Quarterly Reports

As described

Cash Management

Official Payments/KUBRA

Electronic payments for premium.

Unclaimed Funds

Unclaimed funds turned over to OSC

Check Reconciliation-Oracle

Cashed checks, issued by NYSIF, matched to NYSIF Oracle.

Positive Pay File

Confirmation of daily issuance file to Bank.

Accounts Payable Reports

WCF, DBF, ATF Monthly Stop Payments

Created from the mainframe/DBL system except for WCF. DBF policyholder cancels/stops-prepared on an Excel spreadsheet. All are entered on an ADI template and updated to Oracle Financials – General Ledger Datawarehouse Reports

WCF, DBF, ATF Monthly Forgeries

Financial Data Administrators

[SERIES TITLE]**[DESCRIPTION]****Budget**

Annual Administrative Budget
Annual Budget and Expenditures

Annual budget submission for approval per WCL § 88
Final accounting of administrative account
expenditures compared to budget for those accounts

Receivable Mgt

Six-Month Analysis (produced monthly) of the
Inadmissible Accounts

As described

Monthly Analysis of Collection Vendor Results

As described

Semi-annual Departmental Organization Chart

As described

Yearly Analysis of Collection Vendor Receipts
and Inventory

As described

Collection Agencies: Aging of the Inadmissible
Assets by Account Status

As described

Inadmissible Aging of Assets by Account
Status

As described

Inadmissible Assets by Account Status

As described

Inadmissibles by Major Account Status and
Major Collection Code

As described

Receipts Unit of Receivable Management

WC – New business credit to mainframe

Daily reports from iCMS

WC – 312 Download

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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

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 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

DB Unit of Receivable Management

Daily Activity report – DAR

Cancelled policies, requiring reinstatement via
payment or credit

Refund (for reverse debit write-off)

Refund reversed showing a debit write off

Suspense

Improper or no policy numbers

RMS (Third Party Collections Agent)

Reporting policies to third party collection agency RMS

D & B/RMS

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 the 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)

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[SERIES TITLE]

Refund Unit

- 1. Delinquent Activity – Policyholders Accounts. Refund Unit A, B,C & D...1 copy
- 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

Workers Comp. Collection Reports

Daily Reports:

- 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 Rpt for Tran-codes 463 & 464
- History of Cancellation Overrides
- Cancellation Override Report

Financial Planning & Analysis

[DESCRIPTION]

- Note:* (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.

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

INTERNAL AUDIT DEPARTMENT (IAD)

- 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/Audit Plan
A list of all high, medium, and low risk functions identified through the risk assessment process; annual audit plans
- 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 IAD'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.

[SERIES TITLE]

[DESCRIPTION]

INTERNAL CONTROLS DEPARTMENT (ICD)

Office of the State Comptroller (OSC) Internal Controls over the Payment Process B-350 Division of Budget (DOB)	Ensure individuals are authorized to submit and approve invoices for payment
Model Audit Rule Reporting (DFS)	Ensure compliance with the NYS Governmental Accountability, Audit and Internal Control Act Management's Report of Internal Control over Financial Reporting (ICFR)

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.
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COMMUNICATIONS

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
Correspondence	Letters to the editor, businesses, associations, customers, and elected officials on file in hard copy and/or electronic format (held by Customer Service, Albany)

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)

INVESTMENTS

Annual Report	NYSIF's Annual Certified Financial Statements
Investment Committee Quarterly Report	Compiled by the independent Investment Adviser
MWBE Participation (Minority and Women-owned Business Enterprise)	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/success of efforts undertaken during previous year.
Investment Compliance	As described
Weekly Investment Compliance Report	As described
Monthly Investment Compliance Report	As described
Quarterly Turnover Report	As described
Investment Compliance Annual Summary	As described