

**NYS OFFICE OF THE ATTORNEY GENERAL
RECORDS BY SUBJECT MATTER
March 6, 2014**

RECORDS SERIES	AUTHORI- ZATION NUMBER
ADMINISTRATIVE: In addition please see the <i>General Retention and Disposition Schedule for New York State Government Records</i> which covers records common to all state agencies at http://www.archives.nysed.gov/a/records/mr_pub_genschedule.pdf	
Federal grant reporting's and supporting documentation.	16,725
Notice of Benefit Reimbursement Charges Forms.	21,958
Cy Pres approved grants.	21, 303
Cy Pres rejected grants.	21, 304
ANTITRUST:	
Antitrust litigation records - case files, briefs, settlement negotiations and records of Section 343 hearings.	17,123
Subpoenaed documents.	20,687
Certificates of incorporation.	20,688
APPEALS & OPINIONS:	
Concurrent resolutions - Includes formal and informal Attorney General opinions.	11,076
Files from Solicitor General's Office, generally includes miscellaneous court proceedings and appeals, office memoranda, files on attorneys and bureaus, etc.	14,392
Appealed Article 78 court cases.	16,517
Issuance of bonds in state fiscal matters	14,537
CHARITIES:	
Charities Bureau cases other than trusts and estates matters - Includes formal and informal investigations, litigation, and 3 rd party litigation for charities cases not dealing with trust and estate matters.	22,407
Informal trust and estate accounting matters - Most questionable trust and estate accounting matters can be handled informally with the OAG rather than through the courts. The records in this series include trust documents, wills, and annual and final financial reports. Those cases that end up in court are covered in RDA #22,409 and are filed separately.	22,408

RECORDS SERIES	AUTHORI- ZATION NUMBER
Surrogate Court proceedings and Supreme Court trust accountings. This series includes accountings, letters of administration, probate of wills, and other judicial matters. All Surrogate Court proceedings and trust accountings are handled by the Charities Bureau, which attempts to ensure that charity finances are handled appropriately.	22,409
Not-for-profit transactions - This series includes documentation on sales, mergers, dissolutions, and certificate amendments for non-profit organizations throughout NYS. Corporations that hold and administer property for charitable purposes in NY are required to register and report to the Charities Bureau pursuant to Estates, Powers and Trusts Law, Section 8-1.4. Review and approval of these transactions must be made by the Charities Bureau.	22,410
Registration statements - Includes registration applications and organizing documents for non-profit entities required to register with the Charities Bureau. However, some organizations, like religious organizations, are exempt from registering with the Charities Bureau. Those entities may submit a Request for Registration Exemption form, which is also included in this series.	19,457
Annual financial reports - Includes annual financial reports and supporting documentation (e.g. IRS990, NY Form CHAR500, etc.) submitted by charitable organizations required to register with the Charities Bureau. These reports are required by Article 7-A, Section 172 of the Executive Law.	19,456
Annual registration statements and bonds of professional fundraisers and fundraising counsels.	19,459
Annual registration statements of professional solicitors.	19,460
Charities Bureau general correspondence.	19,462
Professional fundraiser contracts and financial statements - All fundraisers held in NYS need to be registered with the Charities Bureau, and must also file all related service contracts and financial reports. The records in this series include these contracts and financial statements.	19,463
Complaints and inquiries - Includes letter Charities Bureau received and its response to complaint or inquiry where matter does not lead into an investigation. If the complaint or inquiry leads to an investigation and litigation, these records would fall under RDA #22,407.	22,411
CIVIL RECOVERIES:	
Litigation accounts closed prior to judgment. This records series includes any debt referred to the OAG's Civil Recoveries Bureau for collection where legal action has commenced and the accounts are closed prior to judgment. Includes legal papers, general correspondence, copies of payment instruments, etc.	22,449

RECORDS SERIES	AUTHORI-ZATION NUMBER
Non-satisfied judgment accounts. Judgments are collectible on personal property for 20 years from the date judgment is filed. If judgment is satisfied, these records fall under RDA 22,452. This series includes legal papers, correspondence, copies of payment instruments, etc.	22,450
Accounts closed prior to litigation. These include any accounts that were resolved without going to litigation. Records series includes general correspondence, copies of payment instruments, etc.	22,451
Satisfied judgment accounts. These are accounts where judgment has been made and the debt has been satisfied. The records series includes general correspondence and other legal documents associated with satisfied judgments.	22,452
Fiscal reporting and revenue. This records series monitors all payments received by the OAG's Civil Recoveries Bureau or by client agencies. Includes copies of checks and reports generated.	22,453
Significant Mental Hygiene Unit cases. Includes legal documentation and correspondence, client correspondence, and other associated materials which may include judgments and information from the Office of Mental Health.	20,748
Investigational material created by the Oil Spill Unit.	20,749
CIVIL RIGHTS:	
Closed case files of investigations and proceedings of civil rights matters.	10,219
Medical records purged from case files of Section 1983 matters.	16, 023
Section 1983 matters - alleged violations of civil rights by inmates incarcerated in state institutions and other alleged civil rights violations.	19,342
Title VII/ADA/age discrimination - Lawsuits alleging discrimination against such factors as age, sex, national origin, religion, retaliation or disabilities.	19,344
CLAIMS:	
Claims against the State, including all copies of legal papers, affidavits, briefs, depositions, and trial transcripts for claims filed against the State of New York in the Court of Claims. All claims are covered in this series except for medical malpractice infant claims (RDA #18050), breach of contract claims (RDA #22420), significant claims against the State (RDA #20700), and claims filed in the Supreme Court or other courts (RDA #22419).	22,415
Medical malpractice infant claims. These are claims brought on behalf of infants where malpractice allegedly has occurred by state employees.	18,050
Notices of Intention (NI) for infants or incompetents where no claim is filed within the retention period. If a claim is filed, the NI becomes part of claim files covered by RDA #22415.	20,462

RECORDS SERIES	AUTHORIZATION NUMBER
Notices of Intention (NI) served on the OAG for Tort Actions, where no claim is filed within the retention period. If a claim is filed, these notices become part of the claim files covered under RDA #22415.	22,416
Motion to initiate a claim. These are motions by claimant to seek permission to late file a claim or proceed as a poor person. This series covers situations in which the motion to initiate is either abandoned or denied. If a motion is accepted, the records become part of the claim files covered by RDA #22415.	22,417
Claims not filed with Court of Claims. These are claims served on the OAG, but not filed with the court. If a claim is filed in court, then the records become a part of the claim files covered under RDA #22415.	22,418
Claims cases in Supreme Court and other courts. This series documents the initial summons and complaint filed in special claims cases which are heard by the State Supreme Court or other courts, rather than the Court of Claims (whose cases are covered mostly under RDA #22415).	22,419
Breach of contract claims against the State. These are claims the OAG defends and prosecutes in the Court of Claims and Supreme Court.	22,420
Significant claims against the State. This series contains potential claims against the State that may be brought due to the delayed accrual of statute of limitations. This would cover cases where there is a potential long-term liability for the State because of the nature of the claim. The trial attorney will determine what claims fall into this category.	20,700
CONSUMER FRAUDS:	
Consumer frauds complaints and related material referred to other agencies.	9,964
Consumer frauds complaints and related correspondence.	13,536
Consumer frauds litigated cases, forms and correspondence.	13,537
Consumer frauds assurances of discontinuance and related forms and correspondence.	13,538
Non-documentary evidence.	20,131
Security breach notifications - Records created pursuant to Section 208, State Technology Law, which requires state agencies to disclose to New York state residents when their computerized private information was or may have been acquired by a person without valid authorization, including notifications to affected persons and to designated state agencies, logs of notifications, and related records.	90379
CONTRACTS:	
Transmittal letters for contracts reviewed and approved by OAG.	14,598
CRIMINAL PROSECUTIONS/INVESTIGATIONS:	
Special investigations including grand jury minutes and court proceedings. These are investigations where the Governor orders the OAG to conduct an investigation which supersedes one being conducted by local officials.	11,185
Files of investigations which do not contain grand jury minutes.	13,291

RECORDS SERIES	AUTHORI- ZATION NUMBER
ENVIRONMENTAL PROTECTION:	
Litigated case files, investigational material, records of proceedings, court papers, documents, etc., in connection with statutory and common law responsibilities.	14,369
Scientific reference and research material.	16,328
Legal reference and research material.	16,329
Love Canal case records.	19,145
Love Canal microfilmed documents.	19,146
Legislative program bill files	21,146
EXECUTIVE RECORDS:	
Attorney General's official records, consisting of subject and correspondence files, reports, proposed legislation, speeches, public schedules, and other records documenting the Attorney General's tenure in office.	21,883
Attorney General's Executive Office staff official records, consisting of subject and correspondence files, and other records documenting the responsibilities of the Executive Office staff.	21,884
Invitations to the AG sent for various political and social functions.	18,567
HEALTH CARE:	
Health care fraud complaints and related material referred to other agencies.	21,131
Health care fraud complaints and related correspondence.	21,132
Health care fraud litigated cases, forms and correspondence.	21,133
Health care fraud assurances of discontinuance and related forms and correspondence.	21,134
Health care fraud legislative program bill files.	21,135
INTERNET:	
Litigated case files.	20,524
Non-litigated inquiries.	20,525
Complaints.	20,526

RECORDS SERIES	AUTHORI-ZATION NUMBER
Non-litigated settlements.	20,527
INVESTOR PROTECTION:	
FBI and NYSIIS fingerprint cards re: securities industry salesman, brokers, etc.	13,941
Registration files re: company takeovers.	13,949
Mutual fund reports.	13,950
Salesperson statements and broker dealer registrations processed by the Real Estate Financing Section.	18,472
Ledgers, books, canceled checks, purchase and sales contracts, correspondence and other records left with the Attorney General during the course of investigations under Article 23A of the General Business Law.	20,467
Investigations and court proceedings concerning securities matters. May include Grand Jury material and/or significant cases.	20,468
Securities registration exemptions and receipts for applications by issuers of securities for an exemption from the necessity of filing a broker/dealer statement.	20,469
Securities registration folders/NASD - For firms and salespersons replaced or covered by the NASD system. Includes registrations, supplements, amendments and receipts.	20,470
Franchise files - registrations, supplements, amendments and receipts (Art. 33 General Business Law).	20,473
Franchise advertising literature filed by franchisers.	20,474
Theatrical registration files - Documents related to registering a theatrical production so that the limited partnership/corporation can sell securities. Included are correspondence, agreements, financial records, sales offerings/circulars and other associated material and documents.	20,476
No action letters - Letters from issuers of securities requesting that "No Action" be taken on the sale of securities in New York State. Documents include letters, requests, receipts and associated material.	20,477
Commodities - Cancelled, un-renewed commodity salesperson statements, supplements and amendments, commodity registrations access files and receipts.	20,478
Transmittals - Listing of checks received; includes receipt number, name of investor, firm, franchise or advisor, freedom of information request, copy of cover sheet and copy of front and back of check.	20,479
Exchange records - Written request by broker/dealer to use the word "exchange" in their title. This request is either approved or disapproved by Investor Protection and Securities Bureau via letter.	20,480

RECORDS SERIES	AUTHORI-ZATION NUMBER
Complaints on investment and investor frauds - These files contain complaints on investment and investor frauds which do not lead to investigations or court proceedings.	20,481
Pending correspondence file - Correspondence sent from public to Investor Protections and Securities Bureau, and correspondence sent to public to complete their files.	20,482
Investment advisory documents Registrations, supplements, amendments and receipts for broker/dealer, broker/dealer excess, securities salesperson and investment advisory files.	20,685
Securities registration documents - Canceled or un-renewed securities salesperson statements, supplements and amendments, broker/dealer registrations, broker/dealer access files and receipts.	20,686
Investigations and court proceedings concerning theatrical matters. Contains investigation reports/supporting material, copy of court proceeding records, correspondence and other associated material.	21,149
LABOR:	
Collection of compensation awards where employers are non-insurers.	5,126
Claimant cases prosecuted for fraudulent collection of benefits and employer cases prosecuted for failure to file reports.	6,823
Supplementary proceedings - employer cases for collection of unpaid taxes.	6,825
Appellate court cases handled mainly in Appellate Division, Third Department and the New York Court of Appeals - contains case histories between the Attorney General's Office and employers and employees claiming benefits.	6,826
Insolvency proceedings and miscellaneous labor related matters.	6,827
Compensation and collection matters concerning judgments, awards or money claims which the records indicate have been paid.	13,540
Criminal prosecution of workers' compensation matters.	13,541
Criminal prosecution for violations of Labor Law.	14,536
Civil collection cases for Labor Department.	14,554
Affirmative litigation - closed files of matters involving violations of Labor Law, Article 6, 8 and 28.	15,268

RECORDS SERIES	AUTHORI- ZATION NUMBER
Workers' compensation matters appealed to the third department.	16,798
Cases and points belonging to the Labor Bureau, consisting of original bound records of workers' compensation cases.	19,754
Claimant cases for collection of overpaid unemployment insurance benefits.	21,124
LEGAL POLICY & PROGRAM DEVELOPMENT	
Crime victims matters.	21, 305
Investigations.	21, 306
Research materials.	21, 307
Litigation case files.	21, 308
Programmatic and outreach records.	21, 309
LEGISLATIVE:	
Copies of Memoranda to the Governor and any associated correspondence and other documentation.	15,432
Legislative program bill files - contains bills, memoranda, correspondence, drafts, notes and background materials.	15,433
LITIGATION (INCLUDING ARTICLE 78s, HABEAS CORPUS, MENTAL HYGIENE, MISC. LITIGATION, AND SIGNIFICANT CASE FILES):	
Tax claims in bankruptcy, dissolution, assignment for the benefit of creditors, etc.	8,233
State habeas corpus matters.	13,543
Article 78 cases: case that challenges a determination of a state agency or officer. Generally includes but not restricted to a review of determination of various state agencies or its officers.	16,519
Miscellaneous litigation correspondence, documents, in-house forms.	17,160
Litigated closed case files, or segments of a case, containing memos, correspondence and related legal documents.	19,341
Federal habeas corpus matters.	19,343
CPL Section 330.20 - records of defendants found not guilty by reason of insanity, i.e., applications, exam orders, commitment orders, orders of retention, order for medication or rejection, etc.	19,345

RECORDS SERIES	AUTHORI-ZATION NUMBER
Article 9 and 15 and Section 730 - civil committees, i.e., application for order of retention, order for medication or rejection, writs of habeas corpus, etc.	19,346
Miscellaneous Mental Hygiene - patient and surrogate matters.	19,347
Guardianship applications and Surrogate Court Matters - referrals, petition for order to show cause, applications, transcript of proceeding, order and notice.	19,348
Significant archival case files - Must meet at least one of the following criteria: 1. The files pertain to a case that resulted in a landmark decision, ruling, or order, and therefore provide evidence of precedent; 2. The files deal with notorious figures or organizations that are likely to be the subject of on-going research; 3. The files pertain to cases involving prominent individuals likely to be the subject of future research; 4. The files define a shift or are illustrative of a major Office of the Attorney General policy or initiative.	19,352
MEDICAID FRAUD:	
MFCU attorney case and court records documenting prosecution of misdemeanors.	19,363
MFCU attorney case and court records documenting prosecution of civil or felony cases.	19,364
MFCU central case files - Records kept in the NYC office that document investigation of Medicaid fraud.	20,017
MFCU Regional Office investigative records that document fraud or abuse.	20,684
Subpoenaed records or records obtained via search warrant.	22,071
ORGANIZED CRIME TASK FORCE:	
Criminal case files.	20,970
Wiretap recorded tapes - original and first copy.	20,971
Administrative files and correspondence.	20,972
Subpoenaed records.	20, 973

RECORDS SERIES	AUTHORI-ZATION NUMBER
Concurrences - internal memos.	20,974
Team activity reports - confidential reports used to track team activities.	90,200
Message books and/or telephone logs.	90,366
PUBLIC INTEGRITY:	
Criminal and civil litigated cases	22,072
Non-litigated inquiries, investigations and complaints	22,073
Non-litigated resolutions	22,074
REAL ESTATE FINANCE:	
Case files which include records and prints; architects' drawings and specifications, intrastate records and files.	13,552
REAL PROPERTY:	
Acquisition of land for conservation purposes, including copies of maps, agreements, reports, etc.	9,188
Acquisition of land for the Power Authority including copies of maps, agreements, reports, etc.	9,963
McCabe files - original project maps and correspondence relating to Land Board Claims and appropriation of real property.	10,077
General files - original project maps and data pertaining to all land acquisitions and real property proceedings.	13,532
Escheat Investigations - petition and supporting papers by Public Administrators to Surrogates Court for leave to sell escheated real property pursuant to Section 33 (4) of Public Lands Law.	13,661
Housing loan files (Mitchell-Lama Act) and public housing loan files.	14,636

RECORDS SERIES	AUTHORI-ZATION NUMBER
Acquisition project files for hostels.	17,530
Highway land appropriation files - Thruway Authority.	17,531
Highway land appropriation files - Department of Transportation.	17,532
Torrens title registrations - review of petition for registration of title under Section 423 of the Real Property Law.	17,533
State-owned building/property files - includes deeds, maps and documents showing how state purchased building and/or property.	19,016
Land disposition files.	19,691
Administrative records and correspondence.	20,968
Acquisition of land for state agencies.	20,969
Abstracts of title.	21, 300
Foreclosure actions (mortgage, tax warrants, liens). Includes notice of mortgage foreclosure, summons and complaint, judgment of foreclosure and sale, notice of sale, etc.	22,339
SEXUAL OFFENDERS MANAGEMENT UNIT:	
Confined, SIST (strict & intense supervision treatment), and dismissed records.	22,137
TELECOMMUNICATIONS & ENERGY:	
Regulatory cases.	21,417
Litigated cases.	21,418
Assurances of discontinuance.	21,419

RECORDS SERIES	AUTHORI- ZATION NUMBER
Legal reference/research material.	21,420
Legislative program bill files.	21,421
Complaints not to be pursued.	21,422